



FÖRVALTNINGSHÖGSKOLAN

# THE QUEST FOR GENDER EQUALITY AND SOCIAL SUSTAINABILITY IN SMALL-SCALE FISHERIES

FAO SSF Guidelines  
Early  
Implementation  
Process in Chile

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**Syfte:** Syftet med denna masteruppsats är att undersöka den tidiga implementeringsprocessen av FAO:s SSF Guidelines i Chile. Särskilt fokus ligger på det övergripande målet att integrera och nå social hållbarhet samt jämställdhet inom sektorn som behandlas i kapitel 8 i SSF Guidelines. Implementeringsprocessen har undersökts och vi har även studerat hur SSF Guidelines har översatts från denna globala FAO kontexten till den lokala nivån i Chile. Denna uppsats syftar även till att reda ut vilka barriärer som påverkar implementeringsprocessen och hindrar kapitel 8 och det övergripande målet om social hållbarhet från att förverkligas.

**Teori:** Det övergripande teoretiska ramverket som använts genom hela forskningsprocessen har bestått av feministiska teoriers definition av genus och jämställdhet. Programteori har använts som normativ teori och syftat till att tolka och strukturera uppsatsens analys. "Follow the policy" teori samt "Implementation structures" teori har använts som deskriptiva teorier för att tolka det inhämtade resultatet av denna uppsats.

**Metod:** Forskningsmetoden som använts har varit kvalitativ och har genomförts genom dokumentanalys, semistrukturerade intervjuer och besök i chilenska småskaliga kustsamhällen. "Follow the policy" teori har även använts utifrån dess metodologiska aspekter för att tolka resultatet.

**Resultat:** Resultatet av denna uppsats visar att implementeringsprocessen av SSF Guidelines med särskilt fokus på kapitel 8 om jämställdhet och social hållbarhet i Chile genomförs framförallt på den globala FAO-nivån. Implementeringsprocessen i Chile har varit svår att identifiera och denna verkar vara relativt vag och ostrukturerad. Barriärerna som påträffats och som verkar ha en negativ påverkan på denna implementeringsprocess har bland annat att göra med de inblandade aktörernas olika uppfattningar kring vilken roll FAO ska ha i processen. Andra betydande barriärer som hittats är kopplade till kvinnors roll i den chilenska småskaliga fiskesektorn och utmaningar inom den chilenska kontexten som till exempel vilken betydelse genus och jämställdhet har fått och med detta en begränsad förståelse för dessa termer och mål.

## **Abstract**

The SSF Guidelines have been described as “the first internationally agreed instrument dedicated entirely to the immensely important ... small-scale fisheries” (FAO, 2015:v). What makes them unique is the fact that they, for the first time in the history of the Food and Agriculture Organization of the United Nations (FAO), are integrating the human rights based approach within the small-scale fisheries sector which puts special emphasis on social issues such as achieving gender equality (B2:1). Chile as an FAO member state was a dedicated actor during the consultation process of the Guidelines, especially in pushing for the inclusion of the SSF Guidelines chapter 8 on gender equality. At the time of writing, almost 3.5 years after the Guidelines were accepted, this thesis seeks to analyse the results of the early implementation process in Chile, with special focus on the advances made on gender equality and social sustainability.

Through the gender equality lens, program theory, “follow the policy” theory and implementation structures theory, this thesis will argue that there are barriers within the Chilean implementation process, which hinder the social aspects of the Guidelines from being implemented. One barrier, identified in the implementation process from the global level to the local context of Chile, regards the different expectations that stakeholders in Chile and the FAO have on the FAO’s role within the implementation process. Moreover, the understanding of gender equality does not seem to travel intact through the levels of implementation, as shown by the practical measures undertaken to achieve gender equality in Chile. Furthermore, within the local context, certain dynamics seem to be present that negatively affect the implementation process of the Guidelines. For instance, the Chilean small-scale fisheries sector is characterised by informal structures making communication with responsible authorities difficult. These barriers are essential to this thesis since they together interfere with the implementation process of the SSF Guidelines and especially the realisation of chapter 8 on gender equality. These barriers will further be outlined putting special focus on how they are affecting the creation of gender equality within the sector. This thesis will conclude by proposing measures that can be taken in overcoming these barriers.

**Keywords:** SSF Guidelines, FAO, Small-Scale Fisheries, Gender Equality, Social Sustainability, Policy Implementation Process

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## Acronyms

COFI	Committee on fisheries - Fisheries and Aquaculture department FAO
CONAPACH	Confederación Nacional de Pescadores Artesanales de Chile
ECOSOC	United Nations Economic and Social Council
FAO	Food and Agriculture Organisation of the United Nations
FAP	Fondo Administración Pesquero
GEF	Global Environment Facility
GM	Gender Mainstreaming
ICSF	International Collective Support of Fishworkers
MDG	Millennium Development Goals
NGO	Non-Governmental Organisation
PMG	Programa Mejoramiento de Gestión
SDG	Sustainable Development Goals
SERNAPESCA	Servicio Nacional de Pesca y Acuicultura
SIDA	Swedish International Development Agency
SSF GUIDELINES	Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication
SUBPESCA	Subsecretaría de Pesca y Acuicultura
UN	United Nations
UNGA	United Nations General Assembly
UN WOMEN	United Nations Entity for Gender Equality and the Empowerment of Women
WWF	World Wildlife Fund

# 1. Introduction

## *1.1 Problem Definition, Purpose and Research Questions*

“Gender equality and equity is fundamental to any development. Recognising the vital role of women in small-scale fisheries, equal rights and opportunities should be promoted.” (FAO, 2015:2)

The above sentences form one of the 13 guiding principles of “The *Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication*<sup>1</sup>” (SSF Guidelines) and give the impression that gender equality has a central role in the realisation process of the Guidelines. The Guidelines were spearheaded by the United Nations Food and Agriculture Organization (FAO), which is a specialised agency of the United Nations founded in 1945 (Macer et al., 2003:480). The purpose of the FAO as a global intergovernmental organisation is to respond to the need for rural development and food security (Ibid:480). This is mainly done through assisting its member states with information and advice on how to handle pressing issues. The SSF Guidelines are one such effort, which aim towards highlighting and increasing the role of small-scale fisheries both at the global and national level in eradicating hunger and poverty (FAO, 2015:v). The Guidelines are a result of a participatory development process, which involved the FAO, its member states, civil society organisations and representatives from fisheries worldwide (Ibid).

The fact that gender equality has been given such a central role within the Guidelines is particularly interesting since questions regarding small-scale fisheries usually revolve around environmental and economic factors rather than social aspects such as gender equality (Bennett, 2005:451). However, of interest here is whether the promise made in the SSF Guidelines that gender equality is to be a central part of the development agenda concerning small-scale fisheries is something that will in fact be integrated into the work done by FAO member states? Moreover, what happens to the ideas behind gender equality when the SSF Guidelines formulated at the global FAO level are implemented within a local context? This

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<sup>1</sup> The official SSF Guidelines policy document can be found in its entirety in Appendix A, at the end of this thesis.



will be the focus of this thesis and the local context in question will be Chile. The research conducted in this thesis will be delimited by focusing to a great extent on the aim of the Guidelines, to achieve sustainable small-scale fisheries through social sustainability with special attention given to the creation of gender equality. This will be done by analysing the early implementation process of chapter 8 on gender equality of the SSF Guidelines in Chile.

Moreover, another delimitation regards studying Chile as the sole local context. This choice is related to the fact that Chile was an influential actor during the development process of the SSF Guidelines and is one of the 10 most important fisheries countries in the world (B1:1; Fao.org, 2017c). In Chile, fisheries, both play an important role as an international export as well as being an essential source of livelihood for many Chileans (A2:1). With the fisheries sector having such a central role in the lives of many Chileans it seems as though it has become a pivotal segment of Chilean national identity. Chile is also an interesting case to study since it is one of the countries in Latin America with the fastest growing economies. It has also actively worked to reduce poverty among its population, which decreased from 26 to 7.9 % of the population between 2000 to 2015 (Worldbank.org, 2017). In order to grasp the early implementation process in Chile, 2 months were spent there conducting interviews and meeting stakeholders. This process was facilitated by the invitation of WWF Chile to cooperate and provide us with office space and relevant contacts.

Thus, this thesis focuses on the Chilean small-scale fisheries sector with its 100 000 registered professionals (C5:1). It is important to note that the majority of the catches of small-scale fishers in Chile are consumed locally. The catches thus represent an important part of Chilean consumption as well as a source of income (A2:1). The coast of Chile consists of approximately 460 *caletas* (word used in Chile meaning small-scale fishing bay or community) and the official number of registered women within the small-scale fisheries sector is estimated to 30% (C5:1). Unofficially the numbers are assessed to be much higher since many women that work with fisheries related tasks are often not certified professionals (C4:4; C2:1). Women in small-scale fisheries in Chile play an important part in sustaining the fisheries, however on many occasions their role is undervalued and studies show that equal work gives unequal pay between women and men (Ramírez Vera, 2015:4). The FAO also raises awareness concerning the fact that social security for women in fisheries in Chile is scarce (Godoy A. et al., 2016:20). Thus, incorporating a gender equality dimension within the

Chilean small-scale fisheries sector is of great importance. Chapter 8 of the SSF Guidelines, which aims towards creating gender equality and making the lives of women in small-scale fisheries better, seems to be a formidable opportunity for Chile. The aim of this thesis is therefore to study the initial implementation process of the SSF Guidelines, focusing especially on chapter 8 concerning gender equality in Chile. Moreover, this thesis has the ambition to contribute to the research in this field by focusing on women and the social aspects of fisheries.

The research questions that will structure this thesis will be the following:

1. What is the nature of the work conducted in practice concerning the implementation of the SSF Guidelines, and specifically on chapter 8 on gender equality both at the global level and in Chile?
2. What are the various barriers that affect how chapter 8 on gender equality of the SSF Guidelines is being implemented in Chile?

By investigating the implementation process of the SSF Guidelines the purpose of this thesis is to outline the many steps that are taken when implementing Guidelines from the global FAO level to the local level. The global level in this thesis will represent the actions taken by the FAO, both by the FAO headquarters in Rome as well as by their regional offices in Panama and Chile. When referring to the local level and context, this entails all the actors in Chile carrying out the implementation process on the ground, e.g. Chilean national fisheries administration, national stakeholders and small-scale fishers. Outlining a roadmap for the implementation process involves cooperation with many actors, studying these relations creates an understanding of the challenges that exist in implementing these complex Guidelines. The ambition of this thesis is to contribute towards a better understanding of the crucial factors that global gender Guidelines need to take into account in order to achieve transformational change in the form of gender equality. By articulating the barriers that have an impact on the implementation process of Chapter 8 of the SSF Guidelines in Chile, the aspiration of this thesis is that these might be useful in recognising circumstances in other local contexts that prevent gender equality from being achieved within small-scale fisheries.

## ***1.2 Disposition***

The research questions of this thesis will be answered through the lens of gender equality theory, program theory, “follow the policy” theory and implementation structures theory. Through the use of this theoretical framework it will be argued that even though gender equality is considered to be a central part of the SSF Guidelines this is not reflected within the initial implementation phase in Chile. This will be linked to a twofold argument, on the one hand, that gender equality is not seen as a vital factor toward achieving sustainability in the small-scale fisheries sector as other interests such as economic productivity, which are given priority. The other part of this argument is connected to the fact that knowledge concerning gender equality is uneven depending on context. Even though the concepts of gender and gender equality seem to be well understood at the global FAO level these definitions have not been conveyed into the local context of Chile. This gap concerning the understanding of gender and gender equality thus affects the solutions put in place in Chile, which linked to the limited comprehension of gender equality results in solutions that will not lead to truly transformative change i.e. gender equality.

To make this argument this thesis will firstly elaborate on the meaning of the concepts of gender and gender equality. The theoretical underpinning of program theory, “follow the policy” theory and implementation structures theory will also be outlined in three separate sections. This will be followed by a chapter expanding on the method used in this thesis. The remainder of this thesis will be divided in three consecutive chapters, these will all be structured in such a manner that they first elaborate on the implementation process of the SSF Guidelines overall and then in detail focus on chapter 8 concerning gender equality and social sustainability. When referring to the Guidelines overall, this involves the overall aim of the Guidelines to create sustainable small-scale fisheries. These overall goals were given more attention than was originally planned linked to the results found at the global and local context, this turn of events will further be expanded upon within Chapter 5. This chapter will further consist of the results of the interviews conducted. It will concentrate on the nature of the implementation process of the SSF Guidelines at the global level focusing on the role of the FAO. Chapter 5 will then analyse the role of women within the Chilean fisheries sector and in a last section focus on the Chilean context and what this entails concerning the implementation of the Guidelines. The 6th chapter will consist of the analysis of this thesis, firstly analysing the results through the creation of a program theory outlining the building

blocks of the program theory that have been identified through the research conducted, and on the building blocks that need to be further clarified. This chapter will also outline the barriers that have been identified as hindering the implementation process of the SSF Guidelines regarding social sustainability as well as putting special emphasis on the enforcement of chapter 8 on gender equality. Measures that can be taken in order to tackle these barriers will terminate this chapter. Finally, this thesis will conclude by encouraging further study within this field and the need to analyse local contexts in detail to be able to determine barriers that are obstructing the implementation process of the aims of the Guidelines, especially the aspects of social sustainability and gender equality.

### ***1.3 Contributions of the Study***

This thesis seeks to contribute to research on how global policies are being implemented within a national context. Focusing especially on how governmental structures and various national factors are affecting the implementation process. In doing so another important objective of this thesis is to elaborate on how crucial parts of the Sustainable Development Goals (SDGs) are being implemented. The SDGs came into effect in January 2016 and aim towards abolishing world poverty through 17 goals (UNGA, 2015:1). The SDGs see sustainability and not least gender equality as crucial factors in achieving their aims (Ibid). The 5th goal entails creating gender equality and puts special focus on not repeating the mistakes of the Millennium Development Goals (MDGs), and ensuring that gender equality policies ensure that structural change is being created (UNGA, 2015:18). The 14th goal addresses “Life Below Water” and target 14b puts special emphasis on promoting small-scale fisheries: “Provide access for small-scale artisanal fishers to marine resources and markets” (UNGA, 2015:24). The term artisanal fishery can also be used when describing small-scale fisheries, the terms are used interchangeably and are sometimes referred to as sub-groups of coastal fisheries (Chuenpagdee et al., 2006:10). In this thesis, the term small-scale fisheries will be used since this is the word used by the FAO and in the official SSF Guidelines document. Additionally, when the term sustainable small-scale fisheries is used, this refers to the transformation process of small-scale fisheries that the Guidelines are seeking to achieve.

The link between gender equality and small-scale fisheries has on a global level become recognised within the framework of international organisations and development agendas.

This thesis will thus contribute to demonstrate how goals number 5 and 14 are being implemented in practice in the case of Chile through the SSF Guidelines.

## ***1.4 Literature Review***

### ***1.4.1 The Small-Scale Fisheries Sector and Gender Equality***

As indicated in the SSF Guidelines introductory chapter sustainable small-scale fisheries account for almost 50% of global fish catches (FAO, 2015:ix). More than 90% of the world's fishers and fish workers are employed in small-scale fisheries and globally about half of them are women (Ibid). Small-scale fisheries inhabit a crucial role since they serve as economic and social engines that provide food and nutrition security as well as sustaining many coastal communities' livelihoods e.g. poverty eradication, sustainable resource utilisation and equitable development (FAO, 2015:v).

The small-scale fisheries sector is one that is characterised by informal structures, which can take many different forms linked to context (Lentisco and Alonso, 2012:111). Because the nature of small-scale fisheries is very complex and will vary to a great extent depending on the setting, giving a straightforward definition to the sector is often considered to be impossible (Chuenpagdee et al., 2006:10). What is deemed as being small-scale in one country might be defined as large-scale in another for instance. However, factors that are used to define small-scale fisheries include the size of the boats used, which usually range between 2 to 24m in length (Ibid). The size of the engine or the gear that is used are also typical characteristics. Small-scale fisheries can also be defined depending on the distance and the depth where the actual fishing occurs. The FAO also recognises the diversity of the sustainable small-scale fisheries sector and acknowledges that it would be pointless to try and formulate a universal definition (Fao.org, 2017a). The definition provided by the FAO is therefore built on characteristics that are likely to be found in this sector: *“Small-scale fisheries can be broadly characterised as a dynamic and evolving sub-sector of fisheries employing labour-intensive harvesting, processing and distribution technologies to exploit marine and inland water fishery resources ... While typically men are engaged in fishing and women in fish processing and marketing, women are also known to engage in near shore*

*harvesting activities and men are known to engage in fish marketing and distribution.”* (Ibid). The aforementioned term harvesting refers to the catching of the fish, while “fish processing” is the period between when the fish have been caught and when they are delivered to customers (Spliethoff, 2017).

In Chile, the fisheries sector is characterised by its two sectors, the industrial and the small-scale fisheries sector. The small-scale fisheries sector is defined by rather large fishing boats that can be up to 18 m in length and areas of about 8 km where they have exclusive fishing rights (B1:2). Concerning the fishers of this sector in Chile there is a huge diversity, however the traditional roles involve men fishing and women collecting seashore resources, such as seaweed (C3:1). Seaweed refers to many different sorts of marine plants and algae that flourish in oceans, rivers and lakes (Oceanservice.noaa.gov., 2017). Besides from collecting seaweed women also work in connecting activities, which refers to all the activities that support small-scale fishing (Sernapesca, 2010:4). These include: the preparation needed for fishing operations such as reparation of the nets and maintenance of gear as well as the post-capture stages, which involve support in lifting out the catch from the boat and transforming the catch into consumable products. Women in Chile are also often linked to post-harvesting activities, which include all the activities that need to be done once the boats have been brought to shore (C3:1).

The tasks usually performed by women in Chilean fisheries seem to fit the criteria of women’s traditional role within fisheries, which in most cases include the pre- and post-harvest activities, ensuring that boats are prepared for fishing as well as processing and marketing the catch (Bennett, 2005:451). Besides these responsibilities, women are also the ones in charge of all family members’ (children, the sick and the elderly) health and dietary needs (Lentisco and Alonso, 2012:106). Of course, the role of women in fisheries varies depending on country and region, present social structures, seasons, traditions and ecological conditions (Ibid). Chuenpagdee et al., (2006:14) for instance argue that contrary to these prevalent beliefs, women and children have a wider role in global fisheries and have in certain cases an active role in the catching of the fish.

However, the majority of the literature argues that the role of women in fisheries has been acknowledged but is not valued equally to that of men. This can be seen through the tasks

that women are responsible for, which are very much restricted to gender-related hierarchies (Bennett, 2005:451). For instance, the reason why most of the activities undertaken by women in fisheries are done on land is related to the fact that this allows women to balance fishing with other obligations and expenses (Chuenpagdee et al., 2006:14). Moreover, in Brazil and other countries in Latin America a woman being present on-board while fishing is deemed as bad luck (Ibid). Women are also in many cases excluded from decision-making processes concerning how fisheries should be managed (Ibid). At the same time, Chuenpagdee et al., (2006:15) argue for the existence of a new trend and that women are to a larger extent taking management-roles in fishing associations, as members of fisher's co-operatives and unions.

The role of gender and women's crucial place within the management of fisheries is one that often remains invisible to researchers and policymakers (Bennett, 2005:451). The focus of national policy agendas lies mostly on production goals and handling problems of overexploitation of fish. Thus, the research done mostly concentrates on traditional male activities including the catching of the fish (Bennett, 2005:452). Previous research claims to be gender-blind when it actually has not taken the gender-dimension into account, as women have not been included in interviews and discussions mostly linked to cultural traditions (Ibid). Another important factor that strengthens the idea of women as invisible workers within fisheries is the fact that most of the data on fisheries is not sex-disaggregated (Ibid). Furthermore, research concerning women's role in the fisheries focuses mainly on the African and Asian continent and little research has been done on the Latin American continent (Bennett, 2005; Lentisco and Alonso, 2012).

Even though the sector struggles to acknowledge the relevance of the effects of gender relations, there is a push from the literature to do so (Chuenpagdee et al., 2006:14). According to Bennett (2005:458) by making gender a central part of the discussion concerning fisheries this would be advantageous in two ways. Firstly, this would challenge both the socially constructed relations between women and men in fisheries. Secondly, it would confront the unequal power dynamic that exists between the role of fishers and processors. By recognising the gender roles that exist in connecting activities, the fact that about half of the women that work in fisheries are over 50 years old and suffer from health problems due to their work, could be made more visible and be dealt with (Chuenpagdee et

al., 2006:17). Additionally, by applying a gender dimension it could be deemed that it is discriminatory that women working with typical female activities such fish processing in Chile are paid much less than men carrying out typical male tasks (C3:1).

Moreover, not applying a gender perspective to fisheries management will most probably have a negative effect in the sense that the aim of creating sustainable livelihoods at the local level will not be fulfilled (FAO, 2015:v). This is the case since in order to understand the causes of hunger and malnutrition it is necessary to involve women as they play a central role in the consumption, production, processing and distribution of food (Fukuda-Parr, 2016:90). Understanding and altering complex gender relations is also necessary in developing a roadmap to sustainable food security since gender relations existing within the household and broader society in many aspects shape what food will be consumed and other determinants of food security impacting health for instance. Food security involves the aim of ensuring that “all people, at all times, have physical and economic access to sufficient, safe and nutritious food that meet their dietary needs and food preferences for an active and healthy life” (World Food Summit 1996 in FAO, 2006:1). There is also the strategic element of empowering women since as has been widely documented the existing gender bias has a negative impact on costs for production and nutrition (Fukuda-Parr, 2016:90). In sum, it is in the end necessary to integrate the role of gender in addressing the effects of globalisation and tackling the present crisis within fisheries (Chuenpagdee et al., 2006:17).

#### ***1.4.2 Chapter 8 of the SSF Guidelines***

The aim of the SSF Guidelines is to give sustainable small-scale fisheries a greater role in contributing both to the global and national efforts towards the eradication of hunger and poverty (FAO, 2015:v). What makes the Guidelines so special is that they promote the human rights based approach and thus focus on the rights of the fishery communities rather than solely on the conservation of fishery resources (B2:1; B1:1). The Guidelines thus seek to promote responsible fisheries through social and economic sustainable development for the sake of current and future generations, with special attention to small-scale fishers (FAO, 2015:ix). The Guidelines themselves are voluntary and thus not binding (Ibid). The first step in the implementation process of the Guidelines is for states to officially endorse them, which must be followed by the translation of the Guidelines into policy and practice (Biswas,



2017:135). Regarding the implementation process of Chile, it can be seen that certain parts of the Guidelines have been integrated within the policy agenda, but definitely not all of them (C6:1).

The Guidelines themselves were developed between 2010 and 2013 when the FAO was involved in enabling a global consultation process regarding the formulation of the Guidelines (B2:1). This was a bottom-up participatory development process, which included more than 4000 government-representatives, small-scale fishers, fishery organisations, researchers among others from more than 6 regions and 120 countries (FAO, 2015:v). The consultation process for Latin America and the Caribbean took place in 2013 in San José, Costa Rica (B2:1). The SSF Guidelines were finally endorsed in June 2014 during the 31<sup>st</sup> session of the FAO Committee on Fisheries (COFI) (FAO, 2015:v). The COFI is FAO's central organism consisting of representatives from all members states (A1:2). Its two main functions are to 1) Review the work done by the FAO considering fisheries works programmes and implementation as well as 2) Conducting recurring reviews regarding global fisheries problems, to then evaluate these problems and propose potential solutions that could be performed by the FAO, its intergovernmental bodies and FAO member states (Fao.org, 2017b).

Considering the time frame and that the Guidelines were endorsed by member-states 3,5 years ago at the time of fulfilling this study, it seems to be a good time to analyse the early implementation process of the Guidelines, especially chapter 8 on gender equality in Chile. Focusing on what the results say concerning the path of the implementation process in Chile as well as the transformative ability of the Guidelines. Moreover, the aim of the Guidelines is that they will create dialogue, policy processes and actions at all levels in order to ensure that the small-scale fisheries sector contributes to food security and poverty eradication (Biswas, 2017:xiv). The Guidelines were developed as a complement to the FAO "Code of Conduct for Responsible Fisheries" from 1995, which set out principles and international standards concerning responsible practices to ensure the conservation of ecosystems and biodiversity (FAO, 2015:v). Regarding gender equality, the SSF Guidelines represent a rather big step forward in comparison to the code that embodies a completely gender-blind approach and does not mention the words "gender" or "women" once (Lentisco and Alonso, 2012:105). Additionally, as highlighted by one of the respondents that was part of the consultation

process of the Guidelines, incorporating gender equality and chapter 8 was a long and hard process, it was to some extent facilitated by the presence of determined women during the negotiations (C6:1).

The 8th chapter of the SSF Guidelines is therefore in many ways a breakthrough since it recognises the importance of women in fisheries (FAO, 2015:v). Through the inclusion of this chapter the FAO seeks to further strengthen women in fisheries as well as raise awareness worldwide concerning gender equality. The 8th chapter consists of four sections, the first highlights the importance of acknowledging that achieving gender equality entails a combined effort and that gender mainstreaming (GM) needs to be a central part of development strategies for small-scale fisheries (FAO, 2015:12). GM involves assessing all legislation, policy or program within any area, concerning what consequences these have for women and men (ECOSOC, 1997). Furthermore, it entails ensuring that the concerns of women and men are incorporated when planning, implementing and evaluating policies or programs within all political and societal spheres, in order to guarantee that women and men benefit equally and that inequality is not preserved (Ibid). GM was developed at the same time as the change in development agendas from the concept of “women in development” to “gender and development” (Bennett, 2005:453). This marked a change from simply incorporating women within the structures of development programmes without changing any underlying power relations and actually incorporating their experiences and perceptions, thus gender mainstreaming (Ibid). Within the fisheries sector this would involve evaluating the effects of development actions with regard to both men and women (Lentisco and Alonso, 2012:107).

There are however critical voices concerning the actual transformative effects of GM. In their analysis of gender strategies applied within the FAO Regional Fisheries Livelihoods programme for South and Southeast Asia from 2010 Lentisco and Alonso (2012:106) argue that even though GM-practices involve the words gender and gender equality they are unfortunately still misunderstood. In most cases they are simply translated to activities that are specific for women without questioning the underlying power dynamics that steer which role women and men traditionally will have within the fisheries (Ibid). Thus, the transformative ability of GM in practice depends very much on how central terms are understood by practitioners at all levels of the implementation process (Lindholm, 2011:23).

The definition used in the FAO gender handbook: “Towards Gender-Equitable Small-Scale Fisheries Governance and Development” (Biswas, 2017), which aims towards providing more concrete information on how the gender equality chapter of the SSF Guidelines can be implemented. The gender handbook underlines the importance of changing underlying power relations and that both women and men need to be involved. It is very close to the definition of gender and gender equality used in the theoretical framework of this thesis (see first section of Theoretical Framework). This gives good pre-conditions for gender equality to be created as a result of the Guidelines, however the SSF Guidelines document itself does not feature a sound definition and gender is mostly associated with the role of women. Since the FAO gender handbook was published the same year as this study was conducted it will not be included when determining the early implementation process of the Guidelines, with special attention to Chapter 8 in Chile. The FAO gender handbook will be used concerning the definition of gender and gender equality as outlined at the global FAO-level and to understand how the FAO envisions the realisation of chapter 8 at the local context.

Another critique of GM is the fact that the creation of gender equality is often promoted by a utility-based approach instead of a right-based one (Squires, 2007:1). The utility-based approach has promoted gender equality as a means toward economic development, which has caught the attention of many nations. However, through portraying gender equality in this manner there is a risk that women in many countries are still the ones in charge of the household chores remains ignored (Lentisco and Alonso, 2012:106). This thus fails to take into account that women, as a result of GM-policies, will most likely face double labour, since without further change women will have more duties in the fisheries and at the same time still be in charge of the household (Ibid). Thus, Lentisco and Alonso (2012:114), argue that in order for GM-strategies to be successful in fisheries it is necessary that the roles of women in fisheries are constantly highlighted and not taken for granted. Instead they need to be continuously studied and analysed in relation to local traditions.

The remaining sections of the 8th chapter of the SSF Guidelines, highlights that FAO member states have an obligation to work towards gender equality as a result of international human rights law (FAO, 2015:12). This should be done through establishing policies and legislation. Moreover, legislation, policies and measures that do not conform with gender equality, need to be altered while still taking into account social, cultural and economic

aspects. The states involved need to encourage women to participate in fisheries organisations as well as ensuring women's equal participation in decision-making processes concerning small-scale fisheries' policies (Ibid). There is a need for developing better technologies that are important to the work of women. The Guidelines also assign the main responsibility concerning the creation of gender equality to the member states (Ibid). In order for gender equality to be achieved the three main actions to be taken by states are specified: 1) States need to recruit both women and men to address these challenges, 2) Ensure that women and men have equal access to technical services, including legal support and 3) All parties involved need to cooperate on the developing of an evaluation system that assesses the legislations, policies and programs put in place with the aim of creating a gender equal society (Ibid).

Little research has been done concerning the ability of gender equality policies to create gender equality within the small-scale fisheries sector. Gender equality is often characterised as a messy, multidimensional and wicked problem (Callerstig et al., 2011:40). The complexity of the problem in combination with the urgency to make progress on gender equality makes it necessary to share all the progress that is being done on gender equality policies in all sectors of society and in all parts of the world.

Through analysing the early implementation process of the SSF Guidelines and by focusing on social sustainability and chapter 8 this thesis seeks to contribute on the barriers that need to be eliminated in order for gender equality policies to be more efficient. Through the use of feminist theory elaborating on the workings of gender equality, program theory, "follow the policy" theory and implementation structure theory as a theoretical framework, the aim of this thesis is increase our understanding of the early implementation process of social sustainability and the gender equality chapter of the SSF Guidelines in Chile. Focus will lie on how gender and gender equality has been understood by practitioners at all levels of the implementation process. Through the use of feminist theories concerning gender equality, the approach taken will be more critical arguing that the transformative character of gender equality is not understood well enough and that gender in many cases is understood as simply involving women. Moreover, this simplified understanding of gender and gender equality will lead to a negative spiral where solutions applied will be insufficient and in the end not result in achieving gender equality.

## **2. Theoretical Framework**

Since the focus of this thesis lies on social sustainability and chapter 8 on gender equality of the SSF Guidelines the main theoretical lens used throughout this study will be the feminist definition of gender and gender equality. This has been done in order to evaluate the initial implementation process of the gender equality chapter of the Guidelines and therefore it is necessary to theoretically define the terms. Moreover, there thus needs to be a definition that according to the theory will entail transformative change leading to gender equality.

Program theory will be used in this thesis to demonstrate the actual efforts initiated from the SSF Guidelines implementation process. Program theory is a normative theory that consists of specific segments that need to be included in order to outline an implementation process that will hopefully reach its aim. One of the reasons for choosing program theory as a part of the theoretical framework is to demonstrate at what stage, at the time of writing, the SSF Guidelines are concerning their implementation process in Chile, focusing on social sustainability and chapter 8 on gender equality.

“Follow the policy” theory and implementation structures theory will be used as descriptive theories shedding light on what actually has happened so far concerning the implementation process taking place in Chile. “Follow the policy” theory being particularly useful in understanding the unexpected turns of event taking place during the implementation process. Implementation structure theory is then used to describe some of the factors affecting the path of the early implementation process of the SSF Guidelines and chapter 8.

### ***2.1 Defining Gender Equality***

Since the concept of gender equality is at the centre of this thesis it is necessary to define its intended meaning and building blocks. Sex and gender are crucial terms in understanding gender equality. Cudd and Andreasen (2015:117) claim that sex and gender were introduced with the aim of indicating that there is a difference between the biological and socially constructed aspects linked to sexual difference. Sex refers to sexual discrepancies such as sexual organs and specific physical appearances (Oakley, 1972:158). Gender differs in the sense that it focuses on the specific characteristics that are attached to the socially constructed

ideas of what it entails to be a woman or a man (Ah-King, 2013:2). Moreover, these social constructs are also recognised as being different depending on culture or time-period. Gender further sheds light on socially constructed ideas and expectations that are present in the relationships between women and men, between women and the relationships between men (Oakley, 1972:159). It is important to emphasise that gender thus refers to both women and men. In understanding how gender roles influence fisheries one such example could be to compare the typical tasks accomplished by women and men within fisheries and more specifically how they interact with the catch (Bennett, 2005:452).

Moreover, these socially constructed ideas of what it entails to be a woman or a man are built in such a manner that inequalities arise between the sexes (de Beauvoir, 2011:45). As argued by Stafford (1997:67) men are perceived as being the norm in the society from which everything is centred around and that women effectively diverge from this norm. De Beauvoir (2011:45) goes a step further and argues that society is built on patriarchal structures, where men are the ones in society that have power and authority. These socially constructed differences thus create unequal power dynamics between the sexes, which oppress women. Globally it can be seen that women are more vulnerable than men in the sense that they are more susceptible to being poor and being victims of gender-related violence (Rai 2002; Sen 1990; European Union 2017).

Furthermore, socially constructed gender roles can also have negative consequences for men. In many cultures and especially in the Hispanic ones the term “Machismo” also known as “Macho” is used to define what it entails to be a man and more specifically how men should act, e.g. men should be brave, dominant, aggressive and show little emotion (Nuñez et al., 2017:3). The idea of machismo is built on traditional masculine biases that believe that women should inhabit their traditional roles and should therefore be subject to men’s domination (Arciniega et al., 2008 in Nuñez et al., 2017:204). Research shows that not only women are affected by these negative norms, but that men can in certain cases develop higher levels of depression, anxiety and anger as a result (Nuñez et al., 2017:204). Thus, the expectations that come with a certain gender role can have harmful consequences for both sexes.

However, since these features associated with gender roles have been socially constructed and are results of historical and cultural processes, this also means that they can be altered in order to become more equitable (Bradley, 2007:4). This is the idea of the concept of women's empowerment. As proposed by Kabeer (1999:435) women's empowerment involves the process where those that in the past have not been allowed to make crucial life choices, finally obtain this ability. It is important to point out that empowerment is not something that can be given to a group, on the contrary after the fact that the existing inequalities in power have been recognised the concerned group must act both individually and in concert to alter underlying structural barriers to equality (Cornwall and Edwards, 2014:4). Women's empowerment is thus intertwined with power dynamics, as expressed by Sen (1997:2 in Cornwall and Edwards, 2014:4) "if power means control, then empowerment therefore is the process of gaining control". Furthermore, in order for women to be empowered there is a need for economic, social and political structures to be effectively remodelled at both the national and international level (Cornwall and Edwards, 2014:4).

Moreover, in order to build effective strategies with this aim it is also necessary to grasp the complexity of these social structures. Frye (1983:4) proposes an analogy between gender inequality and a birdcage. Frye's (1983:4) idea is that if the cage's wires are examined independently of each other and if the focus is put on a single wire, one might wonder why the bird does not fly away. However, this becomes clear when one examines the birdcage as a whole and takes into account the many intertwined wires that together form the cage. It is this network of wires that together form barriers and hinders the bird from escaping (Frye, 1983:5). As argued by Frye (1983:7) it is also this web of barriers that is present in all sectors of life that restrains and governs the lives of women. This comparison also makes a compelling argument regarding the complexity of gender inequality and that solutions with the aim of bringing long-lasting change need to take the many intertwined structures into account if they are to be truly effective. Cornwall and Edwards (2014:5) address this issue and claim that providing women with loans and opportunities to realise business ideas may bring about some economic change in the lives of these specific women, however these rather simple solutions will not in the long run create gender equality since they do not directly address the root causes of gender inequality. Cudd and Jones (2015:77) also emphasise that it is important to involve men in achieving gender equality and making them aware of the fact that they directly or indirectly play a role in maintaining this unjust status quo.

Mark (2000:6) also stresses that strategies used to create gender equality must not fall into the trap of simply encouraging women to pursue the path usually taken by men. Additionally, we should not be fooled by the idea that the presence of women within these specific environments will automatically create equality. Mark (2000:6) argues for the creation of a much more proactive value-system that not only favours interests and values usually labelled as masculine but that also values typical behaviours labelled as feminine. Another suggestion put forward by Mark (2000:6) toward achieving gender equality is that for it to be achieved it needs to be portrayed as something that benefits all members of an organisation or society. It can be seen that this is an approach that has in many aspects been recognised since the concept of sustainability is now understood as encompassing the three pillars of sustainability: environmental, economic and social (Un.org, 2017). Leach, Mehta and Prabhakaran (2016:6) argue that there is a need to be more specific concerning what is meant by the social aspects of sustainability. By this they mean that social sustainability is centred around gender equality that they claim plays a central role in ensuring human wellbeing, ecological integrity, gender equality and social justice. This understanding of social sustainability has been incorporated within international development agendas such as the SDGs, which recognise the importance of creating gender equality in achieving sustainability (UNGA, 2015:1). Additionally, this understanding of social sustainability will also be the one guiding the work of this thesis. Moreover, for the creation of sustainable small-scale fisheries, it is thus important to highlight the gender equality aspect of social sustainability as a critical part in reaching this goal.

## ***2.2 Program Theory***

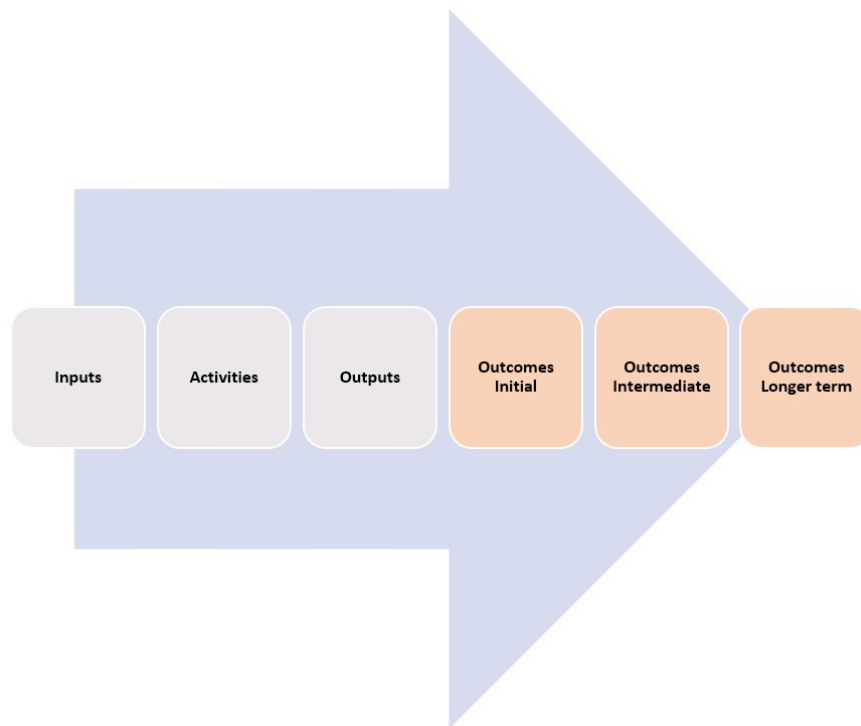
Through the use of program theory, which is an instrument used for evaluation purposes, it becomes possible to, in a logical manner outline the different actions that need to be taken to create the envisioned social benefits (Rossi, Lipsey and Freeman, 2004:134). Through the process of articulating every step along the way to achieve the intended result, it becomes possible to evaluate if the wanted change will actually be implemented (Funnel and Rogers, 2011:13).



According to Rossi, Lipsey and Freeman (2004:146), program theory has two major centrepieces: 1) Program process theory and 2) Program impact theory. Program process theory consists of two fragments: 1) the service utilisation plan and 2) the program's organisational plan (Rossi, Lipsey and Freeman, 2004:146). A service utilisation plan focuses on how and why those affected by the program will get involved in it and what will tip them in the direction wanted by the programme (Rossi, Lipsey and Freeman, 2004:143). A program utilisation plan is thus focused on the recipients as an audience and since the SSF Guidelines are global Guidelines and their target group includes a vast variety of actors such as small-scale fisheries, governmental actors and civil society organisations a program utilisation plan will not be included.

Moreover, the organisational plan consists of the program resources, the personnel, administration and general organisation (Rossi, Lipsey and Freeman, 2004:141). This will be demonstrated in the form of 1) inputs: everything that is invested into the program such as personnel and financial resources 2) activities: the activities undertaken to address the problem affecting the program targets, and 3) outputs: the quality and productivity of the undertaken activities (Lindgren, 2012:69). In sum, Inputs, Activities, Outputs are linked together and show how the expected outcomes are created, i.e. the program impact theory (Rossi, Lipsey and Freeman, 2004:147). The programme impact theory consists of the changes that are expected to be created from the program at different stages: 1) Initial, 2) Intermediate and 3) Long-term (Ibid). Thus, the results outlined in the impact theory will point towards how specific programme activities eventually produce some of the anticipated and desired social benefits (Rossi, Lipsey and Freeman, 2004:143). See figure 1 for an image clarifying the links between the different stages of program theory, demonstrated in a logic model. In addition, the grey boxes illustrate the program process theory and the orange boxes are used to demonstrate the program impact theory.

**Figure 1 - The building-blocks of program theory** (Rossi, Lipsey and Freeman, 2004:147)



### ***2.3 Follow the Policy Theory***

*Follow the policy theory* explains the methodological challenges when conducting research on fast-moving global policies, in globalising networks and across transnational settings (Peck and Theodore, 2012:21). Within this theoretical framework lies an idea that global policies have a social life, building on an understanding that each specific policy acts in many different contexts. The policy will in these contexts be affected and in turn influence the institutions and networks that it acts within (Peck and Theodore, 2012:23). It thus illuminates on the globalising norms and transnational governance that many global policies act within (Peck and Theodore 2012:22). Each global policy possesses specific institutional and ideological characteristics, and put into practice, one can argue that global policies thus possess their own “social lives” (Ibid).

As Peck and Theodore (2012:23) argue, a policy model will reveal its character in its relational constructions i.e. the policy will not simply be travelling intact through the layers of multi-level governance, like an undisturbed product. In every encounter with institutions,

or other actors within the policy area, the policy will be evolving in shape and ability to reach its end goal. In practical terms the policy will go through interventions and centres of translation, meaning that at every level of implementation the policy will be affected and interpreted by the actors responsible for its implementation (Peck and Theodore 2012:24). It is also noted that the implementation process happens when it has enrolled its “audience” or actors that will participate in implementing the policy (Peck and Theodore 2012:23). The audience of the policy is in fact the performer where it represents an active zone of translation into practice. This claim is a significant reason for choosing this theory to guide the analytical aspects of interpreting the results of this thesis. Hence, the process of translation is in practice a process of interpretation, where actors are adapting the policy after their own understanding of the problem. The implementation at the local level is the transformation from being a policy document at the global level to becoming a reality. Therefore, the main focus area of the research conducted in this thesis is the local context of Chile, since the local context will truly show the level of implementation of the SSF Guidelines with special attention to chapter 8.

Policy-makers traditionally view policies as rational products, where the fundamental ideas of the policy will travel without being modified through the multi-level system (Peck and Theodore, 2012:23). Consequently, little attention is given to recognising the social and ideological context of the policy-making process. Peck and Theodore (Ibid) further argue, that it is imperative to acknowledge that policy actors are politically mediated and sociologically complex. Further, it is vital to pay attention to hierarchical and central sources of power and that different actors will inhabit different circumstances, resources and capacities (Peck and Theodore, 2012:25). Follow the policy theory addresses this shortcoming and argues that it is necessary to study the implementation process, since the end result of the policy will be affected by these actors and networks of globalisation (Peck and Theodore 2012:23).

Moreover, the methodological aspects of follow the policy theory involves an exploratory method. It involves the idea that it is important to realise that the path of the policy is where the policy takes the researcher (Peck and Theodore 2012:24). The researcher needs to be prepared to explore a range of methodological strategies and to follow the case from one

level to another. These levels consist of both institutions that have influence in shaping the implementation process, as well as actors that have no direct impact in developing this trajectory. Through interviewing these various actors from all levels, the researcher captures a range of opinions and perspectives that are important to understanding the implementation process (Peck and Theodore, 2012:26). Furthermore, interviewing a wide spectrum of actors will provide an understanding for both the political landscape but as well for the local context and the “street-level relations” (Ibid). Following the policy thus consists of many challenges, one of which is to travel within global policy networks without becoming another creature of these networks (Peck and Theodore 2012:25). When amounts of time are spent within a certain context the risk of “falling for” charismatic global actors and global policy entrepreneurs is a trap to take into account.

One can interpret the follow the policy theory as a mean of thinking or working with a certain policy, to study the chains of implementation through levels in the administration. As further explained in the study conducted by Zapata Campos and Zapata (2015:271) this way of conducting a study will provide explanations concerning the implementation gaps existing between policy goals and outcomes. The approach to follow the policy from the “source” at the global level to the implementation in the local context is also useful for identifying the actors, and the role of the stakeholders involved in the policy process. This approach has been applied during the research process of this thesis in order to understand the nature of the work conducted in practice linked to the Guidelines. The various factors affecting the implementation of the Guidelines and especially chapter 8 on gender equality have been identified through the use of this methodological framework. Moreover, as outlined by Peck and Theodore (2012:29) it is important to keep in mind that follow the policy may not instantly generate generalisable results but can lead to unexpected encounters and unforeseen conclusions.

#### ***2.4 Implementation Structures Theory***

To complement the above theories and to further explain the results of this thesis, a theoretical framework considering the challenges of implementation is necessary. In studies of implementation there has been an understanding of the “implementation deficit” (Hjern and Porter 1997:226), where it seems as if public policies never are implemented in a

satisfactory manner. In most cases it seems as if the modern state promises programmes which it cannot deliver, creating a gap between policy goals and the actual results of the implementation process. To be able to understand this implementation deficit a theory on *Implementation Structures* has been developed. The modern society can be understood as an organisational society in which many important services are provided through multi-organisational programmes that consist of clusters of actors such as governments, associations and companies (Hjern and Porter, 1997:227). These frameworks or clusters of actors are the implementation structures that Hjern and Porter (Ibid) are concerned with and mean that a different strategy needs to be developed that takes into account the influence of these aforementioned structures and actors.

To understand these implementation structures, it is important to find out the “administration imperative” (Hjern and Porter 1997:229), the actors behind pushing this process of policy implementation forward. Who is authorising the programme and what levels of administration can be identified? Hjern and Porter (Ibid) also state that the programme requires local presence, which will be discussed further in the results of this thesis. To understand the level of implementation it is important to bring an understanding of the fact that implementation structures will often be self-selected and will be formed by the initiatives of individuals in relation to the policy (Hjern and Porter 1997:230). In order to analyse the implementation process, it is vital to take into account the dynamic and shifting social structures (Hjern and Porter 1997:231). The clusters of actors do not represent a legally defined unity with its own institutional building, it acts within less formal structures and in less authoritative environments (Hjern and Porter 1997:230-231). By incorporating the implementation structures framework in the study of the SSF Guidelines and more specifically on chapter 8, this will broaden the understanding of the existing barriers affecting the implementation process.

## 4. Method

In order to investigate the concrete measures taken in implementing the SSF Guidelines and identifying the factors affecting the implementation process of the Guidelines and especially chapter 8, the research done has been qualitative. It has been based on document analysis, semi-structured interviews and visits at local small-scale fishery communities in Chile. The chapter analysing the results of this thesis, has in most part been structured through the use of program theory.

To be able to study the policy from its global institutional context to its local implementation, “follow the policy” theory was used. The first step in realising this was to study the official SSF Guidelines document. This was done through document analysis with the objective of understanding how the Guidelines were developed and their intended aims. In order to get further knowledge about the Guidelines themselves and the workings of the FAO, interviews were conducted with experts working within rural development and food security with broad knowledge of the fisheries sector at the Swedish International Development Agency (SIDA). The interviews at SIDA were important in order to gain further understanding of the policy area and start finding options for further interviews. This strategy follows the recommendations of Peck and Theodore (2012:26), which advocate for the combination of observations, documentary analysis and interviews. This mixture of methods will according to Peck and Theodore (Ibid) help the researcher to gain an understanding of the policy practice and implementation process.

To identify the different strategies and key actors in implementing the SSF Guidelines in Chile the following steps were taken as illustrated in the table on the next page:

**Figure 2 - Schematic of the Research Process**

<b>Part 1 - Introduction to the local context and situation in Chile.</b>	<b>Part 2 - Processing and conducting interviews</b>	<b>Part 3 - Analysing result and identifying missing links</b>
<p>- Gaining access to key actors and interviews</p> <p>- Many interviews were conducted at the regional FAO office in Chile which gave good knowledge of the sector and also access to the international setting</p> <p>- Conducting the first interviews</p> <p>- Understanding the local context with the help of WWF Chile, e.g.</p> <ul style="list-style-type: none"> <li>• The impact of the upcoming election that took place on the 19<sup>th</sup> of November 2017 (The Santiago Times, 2017)</li> <li>• History of the fisheries sector in Chile</li> <li>• Changes in the fisheries sector</li> <li>• How the fisheries sector is structured in Chile</li> </ul>	<p>- Understanding the workings of the national fisheries administrations in Chile. When the picture of the national context was clearer, the study could now reach the next analytical level and dig deeper. This involved:</p> <ul style="list-style-type: none"> <li>• Conducting a great majority of the interviews</li> <li>• Reaching the local context with visits to Navidad and Valparaíso</li> <li>• Planning for interviews and conducting interviews was an important part of the study during this phase</li> <li>• Creating an illustration of the national fisheries structure in Chile for</li> </ul>	<p>- Transcribing all interviews and picking out the most relevant parts</p> <p>- Analysing the result in the light of the theoretical framework</p> <p>- Analysing the transcribed interviews; in the search for common themes and locating barriers in preventing implementation of the SSF Guidelines focusing especially on social sustainability and chapter 8 on gender equality</p> <p>- Constructing a program theory to analyse the results</p> <p>- Presenting the findings of this thesis through pictures taken during visits at the local context: Valparaíso and Navidad.</p>

<ul style="list-style-type: none"> <li>• Previous work on achieving sustainable small-scale fisheries in Chile</li> </ul>	<p style="text-align: center;">better understanding</p> <ul style="list-style-type: none"> <li>• Conducting the last missing interviews on Skype, upon return to Sweden</li> </ul>	
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#### ***4.1 Interviews***

The first interview conducted in Chile was at the regional FAO office for Latin America and the Caribbean located in Santiago de Chile, which gave many important insights and further contacts. The preparation prior to the interviews consisted of reviewing the interview guide, this was made to ensure that the questions were relevant for the respondents' profession and their context. The original version of the interview guide can be found in Appendix B at the end of this thesis. The interview guide was split into two sections since it was important for us to be able to understand how the implementation process was being completed concerning the overall aims of the SSF Guidelines. To solely focus on the gender equality and social sustainability goals of the Guidelines proved to be hard since other aspects of the Guidelines were, at the time of conducting the interviews, being given priority.

Moreover, by asking open-ended questions about respondents' knowledge of policy processes in the sector and concerning the work done on creating a gender equal and sustainable small-scale fishery sector a wider understanding was gained concerning the work being carried out at the different levels. During interviews, it sometimes happened that respondents only talked about the issues that they really wanted to discuss, and relying on the interview guide to steer the conversation back to the topics of this thesis, was of tremendous help in these situations. Another occurrence during the interviews was that certain respondents answered many questions at once, from one single question, this resulted in the adaptation of the interview guide on the spot.

The majority of the interviews were conducted face-to-face while we were located in Chile. The interviews with respondents in Central America and Europe were conducted via Skype with a web-camera so as to be able to read reactions and facial expressions. During one



interview the web-camera did not work, but it was still possible for us to understand each other and keeping in mind that the respondent could still see us. The time-lapse for one interview was approximately 45 minutes, with an interval of 30 minutes to 1 hour. Some interviews took longer time and this was the case since they were recorded while we were walking into buildings and being introduced to different professionals. Some respondents gave us a limited time-frame for the interviews and other were more generous with the time allocated for the interviews. The interviews were recorded with a digital voice recorder, Olympus WS-853, and for efficient time management only the relevant parts were transcribed word for word.

According to Peck and Theodores' (2012:26), follow the policy theory the downside with interviews is that they can be somewhat staged and often rather "scripted encounters", especially when they involve trained and articulate policy elites. Gaining access below the official line, in order to reach and understand the entire context can therefore be hard to accomplish. In the case of the fisheries administration in Chile we met with a broad variety of professionals some being part of governmental structures with a high level of bureaucratisation and others being part of less formal structures. Interviewing actors with such different backgrounds and experiences, contributed towards extensive results.

#### ***4.1.1 Selection of Respondents***

The initial research process included conducting three interviews with experts at SIDA. Interviewing professionals within the global fisheries sector helped the study to gain access to other respondents within the field. This was particularly the case concerning getting contacts at the FAO, since one of the respondents from SIDA had previously been working within the FAO structure. This further helped us in understanding the workings of the FAO. This strategy can be understood as a "studying-up" process where one interview will help the researcher to gain access to further interviews (Peck and Theodore, 2012:26). Thus, conducting interviews is a mean to gain insight to difficult-to-access fields, such as individuals with influential roles. When planning the interviews and scheduling the meetings with our respondents it was vital to have a good strategy, which included to plan in advance, have some patience and also some luck in hearing back from potential respondents in time.

To analyse the early implementation process of the SSF Guidelines and chapter 8, the study conducted interviews with actors in different fields and administrative levels of the fisheries sector in Chile. Interviews with respondents from the FAO were particularly important since the FAO plays such a crucial role at all levels of the implementation process i.e. international, regional and national/local level. When focusing on the Chilean national level interviews with the Chilean national fisheries administration consisting of Subpesca and Sernapesca were conducted. Since it is important to incorporate actors other than political institutions, the research also involved representatives from two different NGOs: Oceana and Chile's World Wildlife Fund (WWF). Interviews were also conducted with experts, advisors and consultants in the Chilean fisheries sector as well as national bureaucrats at the Ministry of Women and Gender Equity and the Ministry of Environment. At the ministry-level, we chose to focus on conducting interviews with representatives working with questions related to the research questions i.e. sustainability and gender equality.

Since, the study strives to analyse the implementation process going from the global to the local level, it was necessary to conduct an interview with a representative from the CONAPACH (National Confederation of small-scale fisheries of Chile). The CONAPACH was a crucial actor to interview since they safeguard and represent, nationwide, the interests and rights of small-scale fisheries as well as working to improve the quality of life in small-scale fishery communities. Moreover, while research for this thesis was being conducted, the CONAPACH had an exceptional female leader, Ms Zoila Bustamante, which was the first woman to hold that position. Ms Bustamante was exceptional in the sense that nearly every actor interviewed at the local context in Chile mentioned her as a key-actor in making women within the Chilean small-scale fisheries visible. Additionally, Ms Bustamante was involved and represented CONAPACH during the consultation process of the SSF Guidelines.

The study also conducted interviews with representatives from the local fisheries community in Chile. Two different cases were chosen, the first one on the basis that it had a connection to the FAO's work on implementing the SSF Guidelines and had special consideration for gender equality. The other one was included since it did not have such a traceable link to the FAO and the Guidelines. The idea behind this decision was that by involving these two cases, it would be interesting to see if the one that had no direct relationship with the FAO and their efforts in implementing the Guidelines, would still to a certain extent take them into account.

The case linked to the FAO and the Guidelines, is the GEF (Global Environment Facility)-project, which is funded among others, by the Global Environment Facility and is at the time of writing being conducted in the small-scale fishing bay of Tongoy in the north of Chile. This GEF-project aims towards adapting the fishing community to changes that have been created by climate change and in this work to also empower the women working within this small-scale fishery. The other case that was analysed was the local small-scale fisheries business: “Algueros de Navidad” (Translated: *The Algae Extractors of Navidad*), which is a local small-scale fishery where women extract seaweed from the ocean and process them towards usable goods such as seaweed salt and marmalades.

Choosing these two cases with different backgrounds was used as a way to broaden the understanding of the research questions of this thesis and also for us to experience the Chilean local context. The plan was to during our time in Chile visit the GEF-project in Tongoy but due to food poisoning this was not possible and the interview was conducted via Skype, upon return in Sweden.

#### ***4.1.2 Presentation of the Actors***

The following chart presents the actors interviewed in the research process for this thesis. It is categorised by the institutional level of each actor, as well as their role within the sector. Additionally, their interview code is presented in this table in order to as a reader be able to follow who expressed certain views articulated in the results. Since all the sources interviewed have been made anonymous, a source that is classified as (A1:1) belongs to the FAO Headquarters. Thus the “:1” in this case represents one of the interviewees “personal code”, and the A1 is the category that the person belongs to. In sum, a total of 23 interviews were conducted.

*Figure 3 - Model Presenting the Actors Interviewed*

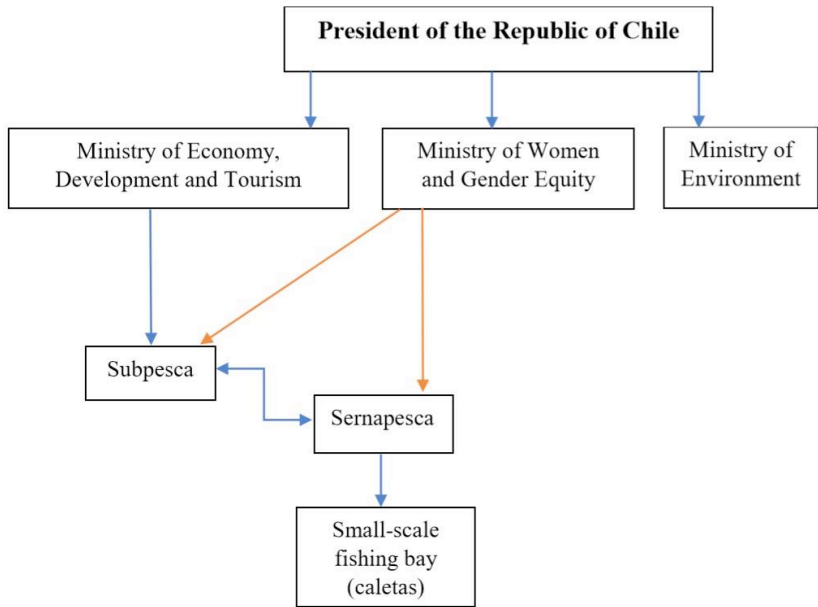
<b>Institutional level</b>	<b>Actor</b>	<b>Role</b>	<b>Interview Code</b>	<b>Number of Interviews conducted</b>
<b>International</b>	FAO Headquarters	Coordinator of policy process	A1	2
	WWF	Supervisor and consultant	A2	2
	OCEANA	Creating campaigns	A3	1
<b>Regional</b>	FAO Regional Office for Latin America and the Caribbean, located in Chile	Supporting implementation process	B1	3
	FAO Subregional Office for Central America, located in Panama	Supporting implementation process	B2	1
<b>National</b>	Ministry of Women and Gender Equity, Chile	Ministry in charge combating violence against women and creating gender equity, established in 2016	C2	1
	Ministry of Environment, Chile	Ministry in charge of environmental protection	C3	1

	Subsecretary of Fisheries and Aquaculture (Subpesca)	Dictating norms and legal practice; the regulating body of the Chilean fisheries administration	C4	4
	National Services of Fisheries and Aquaculture (Sernapesca)	Working at a local level with fishermen unions. The Chilean administering body, who controls and inspects the activities	C5	2
	CONAPACH	The largest Chilean Confederation working with organising small-scale fisheries	C6	1
	Ecosmar Santiago	Consultant firm assisting in small-scale fisheries management plans	C7	2
<b>Local</b>	Algueros de Navidad	Small-scale seaweed company	C8	2
	GEF-project in Tongoy	FAO pilot project on Combating Climate Change in the small-scale fishing bay of Tongoy,	C9	1

		Coquimbo.		
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**Figure 4 - Illustration of the Chilean Fisheries Administration**

The following diagram presents how the Chilean fisheries administration is structured.



#### 4.2 Document Analysis

The official SSF Guidelines policy document and especially chapter 8 on gender equality have provided the basis for this thesis and have served as an important framework in assembling the interview guide. When in Chile it was possible to access documents that were not available online and the same became possible through conducting interviews where we given certain documents through our respondents. The newly released FAO gender handbook was such a case and an important document in order to understand how the FAO envisages achieving gender equality within small-scale fisheries post-2017.

Document analysis was also an important tool in constructing the literature review. This was done by thoroughly analysing the SSF Guidelines policy document as well as articles concerning the small-scale fishery sector and the role of women, which gave sound

knowledge of the field being studied. This in-depth document analysis contributed towards gaining knowledge regarding the research gap and also helped in forming the argument of this thesis. Combining document analysis with field studies gave an extended comprehension that could not have been gained through policy document analysis solely. However, document analysis was the important first step in order to gain an understanding of how to conduct the research for this master's thesis.

### ***4.3 Use of Theory***

Moreover, since this thesis explores the early implementation process of the SSF Guidelines, program theory was firstly used with the aim of creating an understanding for the implementation strategy used in Chile. However, the results of the interviews conducted proved that there was no real implementation strategy in place in the early implementation process. Thus, the framework of program theory will now be used in the analysis of this thesis to highlight the gaps preventing a straightforward implementation process. Consequently, program theory is used as a normative theory illustrating how the implementation process should have worked and laying out the existing barriers preventing it from happening.

Program theory has also been used to understand how the involved stakeholders, both as a group or as individuals understand the programme to work or how they would like it to work i.e. articulating mental models (Funnel and Rogers, 2011:103). This is done through the use of interviews or workshops. The inductive approach to program theory has also been used and it focuses on how the program works in practice through observations in action (Funnel and Rogers, 2011:111). This was carried out through interviews with relevant stakeholders within the small-scale fisheries sector with the aim of mapping out how the program is being implemented in practice.

After the interviews were conducted it became obvious that it was necessary to use descriptive theories to analyse the results in an adequate manner. Follow the policy and implementation structure theory were used with this aim in mind. Additionally, the theoretical framework concerning the feminist definition of gender and gender equality have been used as a lens throughout the whole process in order to analyse the results of this thesis.

#### ***4.4 The Nature of our Relationship with WWF Chile***

The practical work in Chile consisted mainly of interviews and meetings at the institutions and organisations working within the small-scale fisheries field. Through contacts at the Swedish World Wildlife Fund (WWF Sweden), who sent our research proposal to their Chilean colleagues a collaboration with WWF Chile was established. This relationship consisted mostly of our colleagues at WWF Chile putting us in touch with Chilean public servants, consultants, other NGOs and members of the fisheries community. Except for WWF Chile initiating the interviews, our cooperation consisted of providing us office space and internet. Reaching the small-scale fisheries in Chile would almost have been impossible without the use of WWF Chile's contact network. It can be added that WWF Chile helped us schedule the first interviews at the local context and after conducting the first few interviews we organised the rest of them on our own. It is important to note that the results of the interviews were analysed completely independently of WWF Chile. Being able to benefit from the office space at WWF Chile and their many contacts was a tremendous help in realising this thesis.



*Image 1 – Together with colleagues at WWF Chile, picture taken 23rd of October 2017*



#### ***4.5 Visits at Small-Scale Fishing Bays, Public Institutions and Fisheries Confederation***

During the gathering of data for this thesis, part of the process was visiting the small-scale fishing bay: “*Caleta Diego Portales*” in Valparaíso located just outside of Santiago. There we met Cecilia Muñoz and Regina Coz, two unregistered women working in connecting activities. Moreover, a majority of the interviews with the Chilean fisheries administration were conducted in Valparaíso, since that is where the headquarters of Subpesca and Sernapesca are located.



*Image 2 – Picture of Regina Coz to the left and Cecilia Muñoz to the right at the “Caleta Diego Portales” in Valparaíso (28<sup>th</sup> of October, 2017)*

Moreover, the office of the Confederation CONAPACH is also located in Valparaíso and we conducted an interview with their former president Zoila Bustamante<sup>2</sup>. To gather further information from the local level interviews were conducted in Navidad located in the 6th region of Chile. Chile consists of 15 regions (Subdere.cl, 2017) and since Chile extends over many coastal regions, the regions will differ from one another in natural resources and habitat

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<sup>2</sup> During the research conducted in Chile Zoila Bustamante was president of CONAPACH, however in early December 2017 their new president Oscar Espinoza Espinoza was elected (Moreno, 2017).

(Allende, 2004:2). An important reason for going to Navidad was linked to the fact that during interviews many respondents highlighted the importance of women in the seaweed sector in this region. The last interview conducted in Chile was with the Ministry of Women and Gender Equity, which allowed us to gain important knowledge on the national strategy and the instruments used in creating gender equality. The idea behind completing these visits was to gain a better understanding of the local context and the Chilean small-scale fisheries sector in practice, exactly as expressed by one of our respondents working at the Chilean fisheries administration: “to reach the local level gives a richer insight of the practice” (C4:2).

*"To reach the local level gives a richer insight of the practice"*  
- C4:2

#### ***4.6 Validity and Reliability***

Concerning validity, it is important to critically evaluate if the method and the research conducted have actually analysed what they set out to do (Ekengren and Hinnfors 2014:75). During the literature review the most vital definitions, background to the case and the central aspects of the case were presented. The road from theory to empirical data, involves the interviews conducted with the ambition of investigating the implementation process and the possible barriers affecting the implementation. The problematic aspects of conducting interviews at different levels in the process are that there will be a focus on various actors, getting to know parts of the picture but each individual context will not reach a deeper level of analysis. On the other hand, this is an adequate method since the aim is to find out more about the implementation process, and the “social life” of the policy, travelling and being affected by these various actors (Peck and Theodore 2012:23). Conclusions that have been drawn from the research process is that when presenting the results, it is important to keep in mind that some respondents might have their own personal agenda. Moreover, when many reflections and experiences are being confirmed by many different actors from different levels in the administration, our conclusion has been that this is the situation that many respondents are experiencing. Other circumstances that might affect the results are if respondents are aware of what results the thesis is trying to gain and will therefore answer accordingly. This was something that we tried to avoid by bringing up different themes and questions that were not directly linked to the research questions of this thesis.

A present thought while conducting the research was regarding reliability. The research design was constructed in such a way as to minimise the risk of the occurrence of “random errors”. Being critical to the interview situation, the questions asked, and confirming information by reading documents on the matter, the results of this thesis uses the respondents as its prime source. It was necessary for the study to conduct interviews with respondents with different professions and a variety in backgrounds (i.e. education, age and gender), but since the key process investigated was the SSF Guidelines, the most important factor was the respondents’ relationship to the Guidelines. Additionally, meeting many different respondents that put us in touch with other stakeholders and professionals working within the field, provided this thesis with further and deeper knowledge.

#### ***4.7 Generalisation***

Understanding how this global gender equality policy is being implemented in the local context can be applicable to other cases than just that of Chile. As argued previously, bringing more knowledge to the field might be of use for elaborating strategies on successful gender equality policies as well as strengthening the position of women in fishery communities worldwide. The main theory and method used, “follow the policy”, is a method that provides important insights on individual cases. Thus, the results gained, might not be generalisable to other cases, but they will still provide other researchers with a perception concerning key factors affecting the implementation process of the SSF Guidelines, with focus on gender equality and social sustainability. Moreover, what can be learned from studying the case of Chile, building upon previous research and by contributing with more empirical data concerns understanding the work of achieving gender equality within the fisheries sector. The identified barriers for implementation are drawn upon international trends within the framework of achieving gender equality and these can therefore be used on other branches with similar traits as the one investigated in Chile. The barriers to achieving gender equality in the case of Chile are in many cases related to cultural structures. With that in mind, it is likely to find similar barriers in other sectors. Therefore, the results of this thesis should be somewhat generalisable to other efforts towards creating gender equality.

## **5. Results**

In order to investigate the nature of the practical work conducted on the implementation of the SSF Guidelines and specifically regarding, chapter 8 on gender equality, this thesis will in this chapter, present the factors affecting the implementation process of the Guidelines. While presenting these factors, the findings will be linked to the theoretical framework as well as reflections in order to answer the research questions. The results section of this thesis is dedicated to its descriptive theoretical framework; follow the policy and implementation structure theory.

This chapter will start with the section *5.1 The Nature of Implementation of the SSF Guidelines* where the role of the FAO will be further discussed as well as the organisation's global and local actions for implementation. This discussion will follow with the section *5.2 The role of Women in the Chilean Fisheries Sector*, which will present the existing circumstances preventing the creation of gender equality within the sector. This part will focus on the negative consequences that arise when stakeholders do not correctly understand the concept of gender equality, it will also discuss Chilean national efforts concerning gender equality. Finally, *5.3 The Chilean Context* will highlight the important aspect of political trust as well as the challenge of incorporating social aspects in the work done towards achieving sustainable development in Chile.

### ***5.1. The Nature of Implementation of the SSF Guidelines***

#### ***5.1.1 Discussing the Role of the FAO***

To understand the early implementation process of the Guidelines, the role of the FAO is fundamental. The SSF Guidelines have been the most consulted Guidelines in the history of the FAO, but there are still many countries that request further assistance from the FAO to socialise and implement them (B2:1). One of the work tasks undertaken by the FAO is to analyse individual member states' contexts with the aim of giving advice on how the Guidelines could be implemented within that context and assist while countries go into implementation phase (A1:2).

There seems to be a gap in the implementation process, where countries have on the one side accepted the Guidelines, but on the other still expect concrete tools on *how* to go about implementing the Guidelines as well as a more active role played by the FAO especially concerning chapter 8 (B2:1). The results of the thesis show that the expected role of the FAO regarding the implementation process of the Guidelines varies depending on the actor interviewed. The overall misconception seems to be that actors at the local context want the FAO to play a more active role within the implementation process in creating gender equality in Chile (C4:3). Or as brought up by a respondent working for an NGO in Chile the sentiment is that there are not enough FAO representatives pushing for the implementation of the Guidelines in Chile. (A2:2).

A conclusion from the interviews conducted at the local level in Chile is that the FAO is viewed as a serious organisation that can be trusted (A2:2). This can be seen through the fact that the Guidelines are taken seriously and are even considered as a reference document by certain actors at the local level in Chile. Thus, as pointed out by respondents from NGOs in Chile, the Guidelines could provide a mapping of the “how to” in reaching sustainability (Ibid). This is especially the case for countries that are in the process of developing such as Chile and other South American countries where governments in some cases need further assistance in grasping all the building blocks required to create sustainable small-scale fisheries.

The FAO’s idea of their cooperation is that member states should be rather independent in their actions and thus on their own implement and take initiative regarding the Guidelines (B2:1). Many of the FAO bureaucrats interviewed emphasised that the FAO wants the implementation process to be one characterised by a bottom-up process where national stakeholders are the ones in charge of implementing the Guidelines. This idea of the implementation process very much relies on the role of the FAO as a neutral actor that as is indicated by its ethics code, needs to be respectful towards its member states’ culture and does not get involved unless specifically asked to by its member states (B1:1). The importance of the FAO embodying this neutral role has been underlined by respondents since it can ease the transition process and dialogue between national institutions and local stakeholders, such as small-scale fishers concerning the implementation of the Guidelines, with the aim of transforming them into public policies (C8:1).

An example of how the FAO has been involved in assisting countries to transform the Guidelines into public policies is the case of the revision of the Fisheries Law in Chile in 2016 (B2:1, A1:2). The Fisheries Law in Chile has a history of corruption and the revision made by the FAO aimed to identify the critical parts that could be improved (A2:1). This resulted in the incorporation of some of the themes concerning the SSF Guidelines in the law; the precautionary principle and the ecosystem approach in managing the resources (B1:2; C4:1). However, the human rights based approach consisting of the idea of gender equality was not touched upon or incorporated. The big contribution of the SSF Guidelines to the small-scale fisheries sector is the incorporation of the social aspects of sustainability. It is therefore unfortunate that the aspects considered were related to the ecological pillar of sustainability. This shows that the small-scale fisheries sector has a hard time viewing their problems from a social aspect perspective, which will further be discussed in chapter 6, which analyses the results of this thesis.

Moreover, another occurrence that complicates the implementation process and the relationship between the FAO and national stakeholders is when national governmental representatives involved in this process are no longer present, due to political elections (A1:1). This complicates the implementation process and not the least concerning the role of the FAO since it entails that a new relationship needs to be established with new governmental representatives, which further delays the implementation process. Furthermore, as elaborated upon in the theoretical framework; each policy possesses specific institutional and ideological characteristics, in practice these aspects are part of generating the policy's own "social life" (Peck and Theodore 2012:23). Given the negotiation process, the discussion on implementation and the thorough process of accepting the Guidelines, the SSF Guidelines have in many aspects acquired their own so-called social life. The many actors involved are themselves creating this social life of the policy in its early implementation process. Thus, the aforementioned circumstances will create a situation where the social life will have to start over and build new relations. In order to understand the implementation process it is vital to take these social structures, that are dynamic and shifting, into account as argued by Hjern and Porter (1997:231). This is something that representatives at the FAO Headquarters are aware of, and they expressed the need to create better coordination between the FAO and

governments to make this process as smooth as possible and not let it affect the implementation of the Guidelines (A1:1).

### ***5.1.2 The FAO Global Actions and the Implementation Process***

When studying the implementation process of the SSF Guidelines from the global to the local context it is important to take into account that political and social realities will vary depending on what country is being studied (B2:1). This is particularly the case of the FAO with its 194 member states, that thus all to some extent have differing understandings and knowledge concerning gender equality. This has been acknowledged by the FAO that highlights the importance of including local traditions, values and cultures into the implementation process of the SSF Guidelines and chapter 8. Hence, there is no single universal recipe concerning the implementation of the Guidelines (Ibid).

However, the FAO has dedicated a great effort toward creating a tool which defines the complex issue of gender equality in a rather straightforward manner, as well as identifying what concrete measures could look like through the gender handbook (B2:1). The construction of the handbook was done in collaboration with the FAO partner organisation: *International Collective Support of Fishworkers* (ICSF) (A1:1). The FAO and the ICSF firstly created an online survey with the aim of getting input from various stakeholders on the matter. Secondly, two regional events were organised, one in West Africa and the other in Central America, this was done with the objective of developing the handbook in consultation with stakeholders at the local level. It seems as though an important part of the implementation process is to involve a great variety of actors from different parts of the world with the purpose of incorporating their social and political reality within the tools created. Thus, through this bottom-up process new tools are created that are inclusive and rather easy to use when trying to achieve the complex goal of achieving gender equality in practice.

Another tool widely used by the FAO to spread information and make all stakeholders elaborate on their understanding of the thematic, are workshops (B2:1). This is also a good opportunity to bring about change through a bottom-up approach by engaging stakeholders at the local level in working with the key elements of the SSF Guidelines. For instance, to bring

small-scale fishers and government representatives together in order to build a solid connection between them and thus involve the central actors within the implementation process.

One of the key aims of the workshops according to the FAO, is to stimulate stakeholders to grasp what activities they can undertake in implementing the Guidelines. Moreover, another important goal of the workshops is to try and reach a decision and appointing who should be responsible for incorporating the gender equality aspect of the Guidelines within the country's legal framework (B2:1). In many countries, the legal framework of sectoral fisheries is very old and not updated, which entails that the social aspects of the Guidelines are not incorporated. When the FAO did its revision to the Chilean Fisheries Law, the conclusion was that improvements could be made but that, overall, the Chilean Fisheries Law is quite modern (C7:1). Given that the framework of the Chilean fisheries law is quite modern, it could be elaborated that there are good conditions in place to further develop the fisheries law so that it takes into account the social aspects needed for developing a sustainable small-scale fisheries sector. The social aspects involved thus refer to: social protection with safe working conditions and a gender equal environment (B2:1).

At the global level the FAO has organised two workshops, one in Peru and one in Ecuador (B2:1). Since it is understood as an effective instrument by the FAO, more workshops will be conducted as a means toward achieving the implementation process. The setup of the workshops starts with reminding all the stakeholders of the main components of the Guidelines. As a second step, the FAO and the stakeholders have a dialogue about a possible roadmap for the implementation process of the Guidelines within their local context.

The FAO has also organised expert workshops involving fisheries representatives, researchers, government representatives and regional organisations in order to explore this issue on an expert level, and not least on how the human rights based approach can be applied to the small-scale fisheries sector (A1:1). The FAO also tries to take advantage of global events that are organised concerning fisheries. This can take the form of side events where information sessions and meeting agendas are organised to raise awareness around the impact of the Guidelines. The FAO organised one such side event on the importance of small-scale



fisheries at the global UN Ocean conference focusing on SDG14 that took place in June 2017 (Ibid).

Another action taken by the FAO in implementing the Guidelines is through the issuing of a questionnaire prior to the COFI-meeting with member states in 2016 (A1:1). This will eventually become routine and the purpose of the questionnaire is to gather information on whether countries have taken any action regarding the implementation of the SSF Guidelines. The results of the questionnaire were assembled into a report presenting an indicator concerning regional development as well as the actions taken to implement the Guidelines.

Moreover, within the FAO at the global office in Rome a small-scale fisheries task force has been formed dedicated to creating projects contributing to the implementation of the Guidelines. It involves representatives from the departments of gender, indigenous people, partnership office and the legal office.

The FAO also works at the country-level, which in practical terms involves working with communities on the implementation of the SSF Guidelines in different countries, including Chile (A1:1). However, funding to conduct this kind of work is always an issue. Therefore, bureaucrats at the FAO need to be creative in order to find different entry-points, to work at the country level and to find resources supporting this work. One such example is the present GEF-project in the small-scale fishing bay of Tongoy, Coquimbo in the north of Chile where one representative was interviewed for this thesis. According to their programme-plan, emphasis is put on empowering women and increasing their participation in decision-making processes, with the aim of increasing their productivity, income and livelihoods (FAO, 2016:43). The program seeks to achieve this through the use of workshops and training activities at the fishing bays.

This local project seems to take into account the social aspects of the Guidelines and the importance of social sustainability. However, the women included in the programme are the ones registered as fishers, which leaves out all the women working in connecting activities from the implementation process. Consequently, a conclusion to be drawn is that these women working in connecting activities, will not be part of the gender equality effort of empowering women as stated in the programme description (Ibid).

Thus, the work conducted in implementing the Guidelines consists of numerous small actions happening simultaneously, with the aim of transforming the fisheries sector to a sustainable activity. One such example is the process of translating the Guidelines into all the languages used by the members states, and as noted by an FAO representative it is particularly important to include local indigenous languages to spread the message (A1:1). At the start, the Guidelines were available in the 6 official FAO languages, the SSF Guidelines document has now been translated into 16 languages and soon versions in Japanese and more local indigenous languages will be available. Another FAO representative stated that it is important to ensure that the Guidelines are easy to comprehend for everyone involved, for young people as well as for older generations (B:2). In order to reach young people, the FAO is planning to translate the Guidelines into a “comic book version” making the message accessible to this audience.

However, one critique raised by representatives of the local level in Chile is the fact that not enough attention has been put on the language barrier that exists at global FAO conferences and FAO events for Spanish-speakers. Even though Spanish is an official FAO language it is not certain that there will be enough resources to translate the message given by Spanish-speaking participants (C6:1). This, of course, generates frustrations and feelings of exclusion among Spanish-speaking representatives. Thus, overcoming these issues seems important in creating an inclusive implementation process.

The FAO is also currently devoting attention to improving its communication skills concerning the efforts being taken on implementing the Guidelines. This is being done through developing their website, to provide a platform that gathers all activities and information regarding the SSF Guidelines (A1:1). As mentioned by a respondent at FAO Rome, to have an organised website can be seen as a window out to the world; where all reports, interviews, videos, information about upcoming meetings and previous events will be available. It is also important to reach out to the stakeholders and distribute contact information to organisations that the FAO is working with, to facilitate further communication for possible cooperation. Since the external communications aspect of the Guidelines are currently missing it is crucial that this has been recognised by the FAO, since spreading information is an important part of the implementation process of the Guidelines

(A1:1). In sum, the list outlined below shows all the activities that have been identified as being carried out by the FAO in implementing the Guidelines.

#### ***5.1.2.1 Actions from Global Level***

1. Workshops
2. Help and guidance in constructing roadmaps for transforming the SSF Guidelines into public policies
3. Help stakeholders create an understanding for what they can do; and to realise what their role in implementing the SSF Guidelines can be
4. Help in updating and revising previous legal frameworks for small-scale fisheries sector
5. Highlighting and spreading information on previous successful cases for implementation
6. Organising “side-events” at global conferences
7. Constructing the Gender Handbook in cooperation with the ICSF
8. Issuing of Annual COFI-Questionnaire regarding implementation process
9. Small-scale Fisheries Task Force at FAO Rome
10. GEF-Project at the National Level, Tongoy Chile
11. Translating the Guidelines into different languages and in the form of a comic book for introducing the Guidelines to young people
12. “Online presence”; developing a website, spreading the efforts being made on the implementation process

#### ***5.1.3 The FAO and Actions at the Chilean National Level***

When working at the national level the FAO cooperates with actors from the small-scale fisheries sector (B1:1). This cooperation, in many instances, involves working with smaller projects and support efforts being taken to incorporate the Guidelines into public policies. The FAO also tries to demonstrate that determined actions from local actors can actually result in changes in public policies. The small-scale fisheries sector is very complex, which involves working with many different actors and themes at the same time, in order to reach sustainable development. In line with the claim of Hjern and Porter (1997:229) it is necessary that the FAO is aware of the “administration imperative”, i.e. the key actors involved in

implementing the Guidelines within the Chilean context. The interviews have outlined that there is a good comprehension of the actors involved within the different Chilean administrative levels at the FAO (B1:1; B1:3). However, as Hjern and Porter (1997:229) argue it is not always a simple process of being part of the local presence and thus becoming aware of the existing implementation structures affecting the implementation process. Thus, the FAO becoming a more constant presence within the local context could facilitate this process. Furthermore, this is a will that has been expressed by several respondents at the Chilean local level (B1:1).

Moreover, the following questions guide the work of the FAO in relation to local actors that they cooperate with; *How can we make the process more sustainable? How are people organised? Which is the gender structure in this country/place/system/context? Which type of governing-model is going to be used? How is the participation from national stakeholders?* (B1:1). It is key in this process of creating sustainability to make stakeholders understand that they cannot continue to exploit resources that are nearly extinguished (Ibid). At the local level in Chile the role of the FAO is to organise projects and workshops in bringing the implementation process forward (B1:3). The FAO also supports local stakeholders with technical solutions and further documents the progress being made on the implementation process.

Considering the challenges outlined by respondents at the local level, the most important one concerning the Guidelines seems to be that they are voluntary and thus that it is hard to implement influential change through “voluntary Guidelines” (C6:1). However, some key aspects have been identified both by representatives from the FAO and from Chilean NGOs in addressing this shortcoming. Firstly, it is necessary that there is a *collective understanding* of the problems at stake and that both the government and the small-scale fisheries have the same vision and goal (A2:2). If this is not the case there is a risk that actions are counterproductive and the effort taken being futile in the end. Furthermore, the *political will* of all governmental actors involved is also vital, since all formal responsibilities are placed upon the governmental institutions (B2:1). The ties between all the stakeholders involved such as government, civil society and fishers need to be strong since their commitment has to be genuine in order to result in actual change and not just empty words.

## ***5.2 The Role of Women in the Chilean Fisheries Sector***

Nearly every respondent interviewed for this thesis highlighted that the fisheries sector is extremely macho, which is also the case concerning the Chilean culture (A2:1). The extractive parts of the fisheries sector are male-dominated, but it depends on the type of fisheries; in fisheries such as collection of seaweed and small-scale aquaculture the number of women is rising (C3:1). 30% of the registered fishers within the Chilean small-scale sector are women, and a large majority will be found in the profession *seashore collectors* (C5:1). 79,8% of these seashore collectors registered in this category are women, showing that the type of work conducted is deeply connected to perceived gender roles (FAO, 2016:9).

Early on, Chile addressed important issues concerning small-scale fisheries and one of them is that benthic resources are recognised as a type of fishery through the *Chilean Fisheries Law* (B1:1). Benthic resources in Chile are resources that are accessible from the shore, the persons working with benthic resources are referred to as seashore collectors and many women are working within the sector (C4:3). The reasons why women mostly occupy this role is linked to the fact they do not need to board a boat. In addition, since activities that are placed close to the shore, are deemed as less physically demanding (C9:1).

Moreover, since seashore collection is a registered fisheries activity it gives the actors performing it the rights to use this resource (B1:1). In order to do this, they need to have a management plan for the extraction of their resource and in Chile there are many areas where women are working with benthic resources. Being the case that it is a recognised fisheries activity in Chile it has its own syndicate<sup>3</sup>, which serves as a link between small-scale fishers and government institutions in Chile (Ibid). The syndicates are associated with the different professional fishery activity, as a result there are different syndicates for divers, seashore collectors and collectors of seaweed (A2:1). There are also cases where female collectors of seaweed have formed their own syndicates that are exclusively for women, with the aim of constructing a joint strategy for their resource (C4:4). This has been known to be the case especially in the South of Chile where these organisations are motivated and have gained influence.

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<sup>3</sup> In Chile, the fishing communities are organised in Syndicates, Guilds (*Gremio* in spanish) and Cooperatives. They all have very similar function but are set up in a slightly different manner. Regarding this thesis, it will only focus on the syndicates, since these are the ones that the respondents mentioned and were involved with.

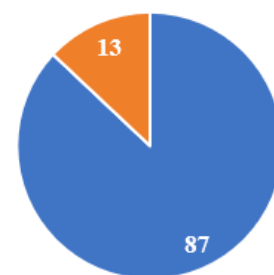
Furthermore, when considering the process of achieving gender equality in Chile, it can be noticed that there is some resistance to this process. Many respondents for instance argue that this work is not really necessary in Chile (C4:3, A1:2). When comparing with other countries, respondents claim that gender inequality is not an issue in Chile, since women have access to education and healthcare (Ibid). They imply that women in Chile have a good situation in comparison to other settings with much more discriminatory practices (C4:3). At the same time, this belief is contradicted by numbers showing a completely different reality. For instance, in Chile, in 30% of all heterosexual relationships domestic violence occurs and every week one woman will be murdered by a man that she has some kind of relationship to (C4:4). This sends out alarming signals on the importance of working with gender inequality issues (C2:1). These mixed perceptions on the thematic are creating a barrier, since by not recognising the problem and being self-critical enough it is ignored and in the end not resolved. As noted by a bureaucrat in Chile in the beginning when gender equality was announced as an issue to be tackled, professionals in general did not understand why they had to work with it and were not convinced (C4:2).

However, as expressed by the Ministry of Women and Gender Equity, Chile is at present times starting to come to terms with the fact that they are indeed behind in this area (C4:4) When cooperating with the CEDAW (Committee on the Elimination of Discrimination against Women of the UN) it was stated that statistics on gender equality in Chile are similar to results found in countries in West Asia. This has sparked a stronger commitment to working with gender equality and incorporating this dimension within public policies (Ibid).

### **5.2.1 Invisible Women**

Moreover, some of the manners in which the gender inequality dynamics can be observed within the small-scale fisheries sector in Chile is the fact that many women working within the sector are not considered to actually be performing a real job. A case study in the province of Chiloé, Chile shows that only 13% of women working within small-scale fisheries in Chiloé are registered, the remaining 87%

*Figure 5 - Percentage of women registered in fishing and aquaculture registers in Chiloé, Chile 2005*



■ Not registered ■ Registered

perform tasks that are not valued as fishing activities and are thus not registered (Godoy A. et al., 2005:82). It can be noted that the study is rather old, being 13 years old at the time of writing, but as noted by a respondent little research is done concerning “invisible women” in the Chilean small-scale fisheries sector and thus for the time being it is still a useful study (C4:4).

In fishing communities near urban centres, it is a common dynamic that women are working in connecting activities and are thus “land-workers” performing tasks such as repairing the nets and preparing the boats (C6:1). The women are working in parallel with the fisheries, with activities that are helping the extraction of fish, in other words performing essential but unrecognised work tasks (C2:1). Since the labour performed by women is not recognised as a real role within the fisheries, these women are excluded from the syndicates and do not have any insurance or social security (B1:1). The women that are excluded from syndicates do not get to benefit from the rights associated with belonging to a syndicate such as being involved in decision-making processes. Linked to the informality within the small-scale fisheries sector, syndicates are the ones to decide on their own if this role performed by women should be acknowledged and if women should be accepted as members. Syndicates have strong ideas concerning how their organisation should be structured and as highlighted by respondents from the national fisheries administration the change thus needs to come from within (C4:1). In order to reach the aim of the Guidelines, especially concerning chapter 8 on gender equality, it is essential for women to gain access to the syndicates to become more visible and for their profession to become equally valued (FAO, 2015:12).

At the time of writing, efforts are being taken in Chile to visualise the entire universe of women, creating more knowledge on the reality that women within small-scale fisheries face (C4:4). Projects are being made on mapping out who the women working in the connecting activities are and what they want to be changed. This is a process that takes a lot of time and resources, since it is being investigated one region at a time. In order to develop public policies dedicated to women in fisheries, the authorities need to value the activities performed by women as formal fisheries activities (Ibid). However, this has in some cases been proven to be a challenge when considering that the fishery authorities value the direct fishery activities (C4:3). The Ministry of Women and Gender Equity further argues that it is necessary that the Ministry of Economy, Tourism and Development, that is in charge of the

fisheries administration, has a local presence and sees the work being performed by women to truly understand their situation and their needs (C2:1). The CONAPACH also demands a more active role played by the concerned Chilean governmental institutions in implementing the Guidelines, to support local actors (C6:1). As outlined by another local stakeholder, there is a will for both national and global fisheries authorities to put their “feet in the sand” and see the sector and its challenges from the perspective of local actors and small-scale fishers (C8:1; C9:1).

However, a big challenge for the Chilean national fisheries administration in being more present and in reaching the fishing communities is that they are often located far away from urban centres. This makes it particularly difficult for the Chilean fisheries administration to reach out to them with information (C4:4). Between 50-60% of small-scale fishers do not belong to a syndicate and are therefore rather isolated from formal structures (C4:3). Since these small-scale fishers are so detached, a strategy that has been used to inform them has been to spread the local management plans in public communications through radio and road signs. When the interviews were conducted it was noticed that many fishing bays do not have formal addresses and that road numbers are not often used either.

Furthermore, the Chilean governmental institutions express the need for them to coordinate and communicate with the small-scale fisheries sector, however the fact that the sector is characterised by informal structures makes it almost impossible (C4:2). This is an important challenge and respondents found it hard to elaborate on how this issue could be solved and especially what measures are being taken with the aim of reaching out to women working within small-scale fisheries (C4:1). A national representative from the national fisheries administration mentioned that when a large part of the population is not informed, this will imply that women in the sector will be twice as misinformed as the men (C4:3). This is related to the fact that in most cases the dissemination of information will take place during the performance of male-dominated work tasks within the fisheries. One such example is when fisheries authorities visit a fishing community in the morning and wait for the boats to arrive to the shore, during this time of day the women will most likely be at home and not present when the information is being given (Ibid). However, a strategy that has been used to



reach out to women is through the radio since as indicated by a respondent from the fisheries administration, women will often be doing other things and at the same time listen to the radio (C4:4).

These circumstances make it hard to organise the efforts and to disseminate information to everyone in the fisheries community, men as well as women. It is unfortunate that efforts to develop the small-scale fisheries sector taken by the government to a large extent depend on formal frameworks, when the activities of the small-scale fisheries sector are characterised by informal structures.

Given the aforementioned challenges of implementing the SSF Guidelines and chapter 8 on gender equality, these informal structures negatively impact the implementation process of the Guidelines. It can be noted that the many labour unions, Syndicates and Confederations are dividing the sector with their different interests and political motives. Respondents further claimed that there is a desire from the fishing communities to professionalise themselves, and become an organised group with acknowledged political power (B1:1). Thus, to give a more complete picture concerning the level of organisation of the small-scale fisheries in Chile compared with other countries it is quite high, however it is a very fractured sector (Ibid). Additionally, it is a sector where women, to a high extent, are invisible. There is therefore a need to address this issue as advocated by the SSF Guidelines and especially chapter 8 on gender equality.

### ***5.2.2 Circumstances Hindering Gender Equality***

The patriarchal structure which dominates Chilean small-scale fisheries can be illustrated through the example of trying to put in place bathrooms for women at the fishing bays and fishing communities (C2:1). The process itself took ten years and after the bathrooms were constructed the men were still the ones handling the keys to the bathrooms. The fact that measures were taken to make women visible, recognising that they are also working within the sector and therefore need bathrooms eliminated an infrastructural barrier to a certain extent. However, leaving the men in charge of the keys at the same time maintained harmful structures. Other examples of discriminatory behaviour conducted by men within the fisheries

sector have been brought up such as men being critical of meetings being held exclusively for women in the fishing communities (C5:1, C5:2). Initially the men were asking suspiciously about what information the services and institutions would be sharing during these meetings and they were critical to this setup. The conclusion that can be drawn from this behaviour and these actions is that certain actors do not want to act to eliminate underlying structural barriers hindering the achievement of women's empowerment as outlined by Cornwall and Edwards (2014:4).

Concerning the language use within the small-scale fisheries sector it is rather apparent that men are the norm (B1:3). The small-scale fishers call themselves and are referred to as "viejos" which in Spanish is an affectionate way of saying "old men" (C4:3). To refer to fishers as old men is also noted by respondents working within the field, as a manner to declare that within the small-scale fishing bays there are very few women performing typical activities classified as proper fisheries activities (C9:1). No different word is used when referring to women in the same position. Another respondent also pointed towards the same trend being present within Chilean official documents concerning fisheries, fishers are still referred to as "los pescadores", which in Spanish means male fishers (C4:3). When this has been commented upon and when more gender inclusive terms have been incorporated, the reactions have often been that there is no need for gender inclusion; since there are barely any women that fish. This thus shows that there is a resistance towards making women more visible in the language use and that there is a need for recognition of this problem at the institutional level (Ibid). Additionally, this use of language completely excludes women and reaffirms the claim made by Stafford (1997:67) that men are indeed understood as norm in society, in this case the small-scale fisheries sector and that everything is centred around this premise.

It has also been highlighted by several respondents working at the national level in Chile that women also are negatively affected by the "machisto" society and that they, as a result, might not see themselves as being part of the group women (C4:3). This is the case since in a macho-society it is not seen as favourable to belong to the group "women" and thus women will not want to be identified as being part of this group. This can be exemplified in the fact they might not show that much solidarity towards other women and take a more individualistic approach. This of course complicates the work further. Moreover, this

negative trend can be linked to the fact that there is no education concerning issues of gender inequality, as suggested by one respondent working at a Chilean NGO (A2:2). This same respondent is more positive to the future outlook and claims that younger generations are much more aware of the problematics of gender inequality. However, as recognised by national bureaucrats, changing negative norms that are embedded within the culture is a complex and slow process (C4:4).

Another factor hardening the creation of gender equality in Chile is the idea that gender equality issues are seen as problems that only should be handled by women. The opinion from the Ministry of Women and Gender Equity is that its function is to be a Ministry for women (C2:1). A quotation from the Ministry illustrates this view: *“The playfield is uneven, the floor is uneven so it wouldn’t make any sense to work with the men right now. We are a Ministry for the women and all our actions are for the women.”* C2:1. All representatives handling gender issues both at the FAO and within the Chilean administrative structures are women, in practice this implies that men are not seen as being part of the problem and that they therefore should not be working with these issues. Male representatives are involved in the work tasks, however the main responsibility lies with the female officials. As outlined by the Guidelines there needs to be both women and men involved in carrying out the work in achieving gender equality within small-scale fisheries (FAO,2014:12). Moreover, as elaborated upon in the definition of gender by Oakley (1972:159), since both genders are part of the problem their needs to be cooperation between them in solving the issue at stake. Thus, how gender and gender equality are understood is in this case reduced to meaning only *women*. This creates a situation where men are excluded from the process of creating gender equality (C3:1). The claim made by Cudd and Jones (2015:77) concerning the importance of involving men in achieving gender equality is thus effectively being ignored.

Furthermore, there is not only the challenge of the stakeholders understanding the concept of gender equality; there is also a gap in the knowledge concerning gender equality within the sector (A2:2). Only one respondent working at the national administrative level in Chile mentioned that men are involved in the work towards creating gender equality within small-scale fisheries (C4:4). This is done through workshops with the aim of making men understand and value the role that women inhabit within the sector. There is also work being

done regarding domestic violence based on the knowledge that alcoholism is a problem occurring within this sector (Ibid).

Another important misconception that can be seen around the issue of gender inequality is that it is understood as a problem that can, by certain Chilean governmental actors and national stakeholders within the sector, be rather easily solved. One such example is the belief that simply because certain syndicates are mixed and both men and women are allowed as members, then gender equality has been created (C6:1). Another respondent noted that a measure that has been taken is “quotas” and that 30% of the workforce should be made up of women (B1:3). However, this quotas-strategy is understood as being temporary since women are currently gaining a more self-evident role within the workplace and therefore this policy will soon not be necessary anymore. This is linked to the fact that how women are viewed in Chile has changed over time according to this respondent, a slow process that has accelerated (Ibid). This again shows the limited understanding of the complex issue of gender equality and the measures that need to be taken to create long-lasting change. It does seem, as argued by Frye (1983:4), that only one separate wire of the birdcage is being examined and therefore gender equality seems to be a problem that can be easily settled. Simply because women are granted presence within typically male-dominated spaces does not entail that all the wires that together form gender oppression will magically be altered. Frye’s (Ibid) birdcage, which illustrates the workings of gender inequality, will not be dismantled unless the root causes that create gender inequality and that are present in every sector of life, are effectively addressed and altered (Cornwall and Edwards, 2014:5).

In the last 10 years a big change has occurred concerning how women are treated in the fisheries sector of Chile. Respondents have highlighted that the leader for the biggest Chilean fisheries Confederation (CONAPACH) was for a long time a woman, which is something that would have been unimaginable a few years ago (C4:4). However, it was mentioned by a respondent from the national fisheries administration that there are still old-fashioned fishermen who cannot stand women being present within the sector. One reason for holding this view is the superstitious belief that women being present is bad luck for the fisheries activities (B1:3). For instance, if a woman touches a net it will not be able to catch any fish, this belief demonstrates an antiquated view of the role of women in fisheries. The old ways are leaving their traces and are somewhat present throughout the majority of the interviews,

stating that the fisheries activities traditionally are a man's world, leaving the women with other work tasks (C7:2).

As stated in the interviews at the local level, the modernisation of society has also contributed to this change regarding the role of women in the fisheries (C8:1). Expressed as a bubble that broke, when knowledge through internet, television and cell phones started to reach the countryside of Chile approximately 10 years ago, the perspective on the role of women started to change as well. The ideas of gender equality are being transmitted as a sign of a new, modern era, as well as giving the women an idea of different ways of viewing their position in society.

### ***5.2.3 The Chilean Work on Gender Equality***

While conducting the fieldwork it became more and more apparent that no work was being done as a direct result of Chapter 8 on gender equality of the SSF Guidelines in Chile. What was found during the research process is that the work conducted at the local context concerning gender equality within the fisheries came from other sources than the ones aimed to be investigated. Reaching out to the actors involved in creating gender equality in Chile still helped in identifying the barriers hindering the implementation of gender equality policies. Thus, after the realisation that the social aspects of the Guidelines were not seen as top priorities both within the global and the local level, the study had to change focus a little bit and put more attention on the implementation process of the goals of the Guidelines overall. This emphasis still contributes with useful information regarding how the social aspects of the Guidelines and particularly chapter 8 are being implemented. Moreover, these circumstances further strengthen the claim made by Peck and Theodore (2012:24) that it is the policy that steers the journey taken by the researcher which will involve unexpected turn of events during the research process. This following section will thus present the results of local actions taken in creating gender equality independently from the Guidelines.

The work being done on gender equality in the Chilean political institutions depends indeed very much on the political will of professionals and their interest in the theme (C2:1). A conclusion that can be drawn from the research conducted is that when working towards creating gender equality it depends on individuals pushing the process forward. The former

President Michelle Bachelet promised in her governmental program that she would create a Ministry of Women and Gender Equity. The gender work in Chile is influenced by the work of UN Women since Bachelet was former Executive Director at UN Women from 2010-2013 (Unwomen.org, 2017). Several respondents believe that the impulses on creating work on gender equality in Chile are directly connected to the fact that during the second time that Bachelet was running as president of Chile, she was probably influenced by her role and experience as Director of UN Women (C2:1; C4:4). Hence, a woman in the president's office was imperative in order to advance with the thematic of creating gender equality in Chile. The results of this thesis show that the level of implementation within a policy area is very much dependent on the initiative of individuals linked to the policy implementation process as argued by Hjern and Porter (1997:230).

The Guidelines advocate for the use of Gender Mainstreaming (GM) as a central tool in creating gender equality within small-scale fisheries. During the interviews conducted it was indicated by certain respondents at the FAO-level that it is being used as a tool, however the most similar approach for working on gender equality in practice found was the instrument PMG (Programa Mejoramiento de Gestión/ Programme to Improve Management) (B1:1; C2:1). The Ministry of Women and Gender Equity are managing the use of this instrument, which obliges, in different forms, the public services to take action and form programmes destined for women with the aim of creating gender equality (C2:1). All the public institutions need to incorporate this manner of working and every year they need to report their activities. If they have not taken the necessary measures they will face economic sanctions (Ibid). This instrument seems to be a more obliging version of the GM-tool, with harsher consequences.

Moreover, there are many institutions that find it very hard to look at their particular field through a *gender equality lens*, which is the case of the small-scale fisheries sector (C2:1). If one looks at Subpesca; their annual work on gender equality partly consists of making statistics and registers for sex disaggregated data within the sector. It has been observed that their programmes are very old and are not evolving with time (Ibid). The two fisheries authorities are rather small agencies, which entails that they have limited resources in form of employees and economic budget, meaning that gender inequality is not seen as a top priority (C2:1). As argued by a bureaucrat working within the national fisheries administration

without the PMG as an incentive there would be no progress on gender inequality related issues (C4:3). Still, the old public institutions keep working at the statistical level, as a part of the directive: all public institutions need to gather sex disaggregated data of actors within the sector (Ibid). These efforts are necessary but there is a need to elevate and go further than simply sticking to numbers. As argued by Cornwall and Edwards (2014:5) simply collecting sex-disaggregated data is not enough of an action concerning gender inequality since it does not alter the underlying power dynamics upholding women's subordinate position.

Furthermore, there are limits to the transformative ability of the PMG-instrument. It is important to keep in mind that gender equality has not yet been completely accepted as a human right and thus that the work of the Ministry of Women and Gender Equity is understood as holding a political agenda (C2:1). In practical terms this means that Ministries who do not value gender equality as an important policy area can give it low funding or will not in practical terms pay any attention to it. The Ministry of Women and Gender Equity can put pressure; but this also depends on the interests of political individuals as well as monetary resources. Thus, the PMG is an important instrument in order to make progress, but as outlined it has its limits. The Ministry of Women and Gender Equity, a new political Ministry, is hoping that their presence will generate more focus on public policies concerning gender equality among other Ministries (C2:1). One observation shared by the Ministry of Women and Gender Equity, is that it is important to keep in mind that the question of gender equality is also linked to personal reflections such as ignorance and prejudice. The same respondents raised frustration over working in a modern society where there are still people that are questioning the subject area.

Concerning the role of women in fisheries, there is now a positive trend with women not only being involved in the extracting activities, but they are also taking part in the commercial activities in the form of business entrepreneurs (A1:2). Another belief is that women have a better understanding for the need for environmental protection within small-scale fisheries in order to create sustainable businesses that will still be able to use fish as a source of livelihood (C4:4). The Chilean belief sees women as having better organisational skills than men, which motivates the fact that women in the fisheries sector are traditionally in charge of administrative tasks (A1:2). Women in Chile have also a higher credibility concerning the management of money and therefore get better loans or credits from the bank, this makes

them the natural organisational leaders in the commercialisation process of the fish. Respondents from the interviews wanted to shed light on the fact that the level of success in local businesses managed by women are higher when compared with men as shown in studies by Fondo Administración Pesquero (FAP) (A2:1). One example found in this study, concerning women and successful business ideas are women being creative and transforming existing substances and materials from the sea into consumable products. This was the case of the “Algueros de Navidad”, which we visited, that sell dried seaweed and marmalade. These products have been successfully exported and other businesses have been developed on the same idea (C4:4).



*Image 3 – Showing a woman preparing the fish stand to sell the catch, photographed in Valparaíso 28th of October 2017*

Another example of a tool used to strengthen women in small-scale fisheries is the national program *Mujer Emprendedora*, meaning entrepreneur women, which is an initiative that rewards women for their business ideas and hard work (A2:1). Together with the *Banco del Estado* (Bank of the State) a price of 2 000 000 Chilean pesos (approximately 2597 euros) is awarded for their motivation, knowledge, and their ability to overcome barriers in their



presented business idea (Subpesca, 2017:5). The initiative is based on the idea of visualising the economic contribution that women stand for within the sector.

The Ministry of Economy is also working with entrepreneurship for women as a mean to strengthen their role within small-scale fisheries (C2:1). Their aim is to teach both individual women and groups of women on how to start a business. One such example is sharing basic knowledge on how to distribute the products and acknowledge the real price of the product. The Business of the “*Algueros de Navidad*”, that was visited during fieldwork conducted for this thesis, was mentioned by many respondents as a good example of the expected outcomes of this entrepreneurship scheme for women. One strategy in order to inspire women and spread information about this opportunity is through using examples such as the “*Algueros de Navidad*” in order to make women think; “if she can do it - then so can I!” (C5:2). Respondents have at the same time raised the fact that unfortunately the successful cases are not in the majority.

Additional examples concerning the work initiated by the national fisheries administration is the organising of workshops in the fishing communities dedicated towards women. In order to make these workshops more accessible for women, it was made sure that there would be a space where the children could play while the women listened and worked (C5:1, C5:2). This solution was created with the perception of women in their role as mothers, taking measures enabling them to be able to bring their children to the workshops. Another typical perception of women within the small-scale fisheries sector is linked to the idea that women are the ones responsible for cleaning and organising the house (C4:1). This has resulted in women managing the commercial activities of the catch. Additionally, a new policy concerning life-insurance also shows this same understanding of gender roles (C4:2). Every small-scale fisher needs to have a life insurance, the idea behind this policy is that if the fisher (which in this case is understood as being a man) dies then his family will still have some money in order to survive. Again, this solution has been created with the underlying belief that women are the ones that stay at home and take care of the family-related chores, while the man is the breadwinner (C4:2).

In sum, there are many initiatives being taken, however there is a lack of coherence between them (C4:3). As expressed by a respondent within a Chilean NGO, these initiatives can be

visualised as individual satellites floating in space, with no interconnectedness, causing a need for better coordination (A2:1). Moreover, the nature of the activities does not target the underlying structures of the problems, such as the patriarchal norms present within the small-scale fisheries.

### ***5.3 The Chilean Context***

#### ***5.3.1 The Issue of Political Trust***

An important dynamic in understanding the Chilean local context and how it impacts the implementation process of the SSF Guidelines is the issue of trust between the involved actors. In order to move forward in the implementation process, the issue of trust must be addressed and the findings concerning this matter will now be presented.

Respondents from NGOs highlight the history of corruption within the sector and that the traditional distribution of resources is a problem (A2:1). The distribution of resources is unequally managed from the government, which favours the large-scale fisheries industry. An important part in reaching out to achieve political trust is to treat all the actors equally within the sector (Ibid). According to a respondent, there is a situation where the law will not recognise the small-scale fisheries as the main provider of fish at the local level (Ibid). This is an important reason why actors in the small-scale fisheries sector feel that they are being treated in an unfair manner and that they are not being recognised properly by the authorities (C6:1).

Respondents talking about the trust between the fishing communities and the fishing authority Subpesca stated that there is no wider extent of credibility from the fishing communities towards Subpesca (C4:1). In this case trust is established between individuals rather than institutions. Officials at Subpesca also state that they have heard fishers comment that the situation was better before they got involved. This dynamic further complicates the work being conducted by Subpesca. It is also expressed, from the national administrative level in Chile, that the legitimacy of institutions and their authority as regulators is at present times being questioned by small-scale fishers (C5:1, C5:2). Many fishers are currently

questioning the law and especially how the legislation processes are being realised. From the side of the authorities at the national level it is understood that there is a feeling of inequality in treatment between different sorts of fisheries, which makes it hard to work and establish regulations. There are therefore current efforts toward trying to build trust and to establish certain measures that will organise the sector more. But it is hard to make these measures a reality (Ibid). A respondent working with small-scale fishing communities in the north of Chile confirmed this dynamic and emphasised the importance of the establishment of personal contacts when cooperating with communities at the local level (C9:1).

Considering the implementation of the Guidelines it is important that trust is created between small-scale fishers, syndicates and concerned governmental institutions. As highlighted from respondents from the small-scale fisheries sector, at the moment they are the ones conducting most of the work and efforts concerning the implementation of the SSF Guidelines. Their impression is that they have been left alone and that governmental institutions are not supporting them nor interested in the matter (C6:1). The respondents working within the Chilean fisheries administration give a completely different account and it thus becomes apparent that actors at different levels of the implementation process need to work on building trust as well as on their communication and cooperation. This is particularly important when considering that the aim of the implementation process is for the SSF Guidelines to become part of Chilean public policies, in order to have a truly transformative effect. In ensuring that this process happens it is necessary that authorities and fishers work on their relationship and establish trust (B1:1).

Moreover, in building trust it is important to demonstrate the benefits from working with the thematic of the Guidelines (C4:1). The process of building trust has been expressed as particularly hard and slow. A strategy mentioned by two respondents working within the Chilean fisheries administration is the importance of using people such as small-scale fishers that have benefited from sustainability measures as ambassadors. Since small-scale fishers rarely trust governmental agencies and are often sceptical to sustainability measures proposed by the government (C4:1). Thus, to use personal experiences and anecdotes will as

highlighted by a respondent be much more effective in convincing communities to accept the proposed sustainability measures, than through contact with national bureaucrats (C4:4).

Another dynamic of political trust within the Chilean small-scale fisheries sector is the work conducted together with indigenous people. This was elaborated upon, by respondents from Sernapesca, who mentioned a project that was carried out over two years involving work with women small-scale fishers that were also indigenous people from the Easter Islands (C5:1, C5:2). The trust dynamic is also important when considering the managing of common resources between the Chilean government and indigenous people that in Chile represent approximately 20% of small-scale fishers. As stated by Sernapesca: “there is a need to be extra cautious and careful when working together with indigenous people” (C5:1). Moreover, as further stated by Sernapesca it is absolutely key that there is an understanding that the work that is being done is done *together*, that the purpose of participating is to cooperate and not to cause an intervention. In order to develop there is a necessity to evolve the work together with the different groups, building an acceptance for the fact that all participants are different and see different solutions (Ibid).

A vital part is to build a certain level of trust between the actors, and in doing this it is important to keep promises. The example of the Easter Islands demonstrates this, as the population in this isolated environment was used to seeing people come to the islands and never return (C5:1). An important first step in building trust was therefore to go back and visit them several times. The Sernapesca bureaucrats shared the lesson that it can be useful to work with more informal tools, such as communication through WhatsApp or other social media, in order to create long-lasting relationships (C5:1; C5:2). Thus, there is a need for political institutions to show flexibility and reach out to the communities affected by the management, remembering that the small details in the process can be very important. This dynamic could be effectively used by the national fisheries administration in working on building trust with small-scale fishers.

The issue of political trust is not only a concern for the authorities since they want the communities to believe in the institutions they are representing. The authorities themselves

are sometimes questioning the motives of the syndicates as raised in the following quote: *“...They have strong personalities, and in some cases when the people have been directors for a long time, they forget what it is to be a fisherman, and become more like directors. There is the thematic of representability and we have to evaluate this very carefully. Sometimes you are talking to the director and you cannot be sure that the information will be transmitted, or spread to levels below his position. In general, not very much information is actually transmitted. So, it is very strange, you are talking to a person to get somewhere and to do your work well, but in reality, that is not the case. So, in my opinion, this is a responsibility for each and every one to investigate the person with influence/the representative director...”* (C4:1).

A few respondents also highlighted that small-scale fishers might join syndicates mostly to benefit from the rights and opportunities that this brings. A respondent further mentioned that in certain cases, syndicates can be formed on the basis that the director is detached from the fisheries activities and with the aim of gaining political power (C9:1). Thus, this trust-dynamic goes in both directions since the political institutions, in some cases, are also suspicious towards the syndicates and the syndicates in their turn do not trust the state.

### **5.3.2 The Challenge of Incorporating Social Aspects**

Taking a global policy and making it reach a local context can be difficult and entail many challenges. Respondents raised the issue that on a global scale, it is relatively easy to agree upon the “good targets and objectives concerning sustainability” but when facing the reality and the local actors, rarely anyone will agree (C3:1). There will be different interests concerning a specific fishing area competing for the same resources, and this entails a hard negotiation process at the local level. The small-scale fisheries sector, involves complex structures connected to its biological issues as well as social issues. In order to have a flourishing social community building on the livelihood of the fisheries the biological issues as well as the social issues need to be dealt with in a sustainable manner. (A2:2). This issue was highlighted by a respondent, which noted, “I live from what my boat will bring me” (C6:1), which highlights the complexity of

*“I live from  
what my  
boat will  
bring me.”  
- C6:1*

the sector. There is a great and intricate challenge in reaching a successful implementation of social aspects in striving towards sustainability in the small-scale fisheries sector. The small-scale fisheries sector is a complex one and authorities will in most cases have to restrict the fishing activities of a productive sector caused by previous and continuing overexploitation (C4:1; A2:1). The authorities are, at the time of writing, imposing limits regarding the quantity of the fisheries activity, which is generating complicated social aspects (C4:1). The clash between these aspects, where the conservation and sustainability measures will collide with the social dynamic of the use of the resource makes it hard for the authorities to work with fishers. Given that political will and collective understanding are key aspects for a successful implementation there is a need to surmount the obstacle consisting of low trust in political institutions since this is negatively impacting the implementation process.

The fact that gender equality has not quite been accepted as a means towards achieving sustainability is something that is raised as an issue by respondents working within an NGO in Chile (A2:2). Tackling gender equality in Chile is not seen as a top priority and the approach is that it will be dealt with if there is time and resources available (Ibid). The fisheries sector is mostly driven by market-interests implying that gender equality will only be addressed by the government once people start to demand it. The fact that gender equality is still not considered as a priority is an important issue that can be addressed through education and highlighting the many negative effects of this problem. The aim is to make people realise and acknowledge that gender equality means sustainability in the long run. Naturally, this is a process that requires a lot of time and interaction with people through workshops for instance (A2:2).

## **6. Analysis**

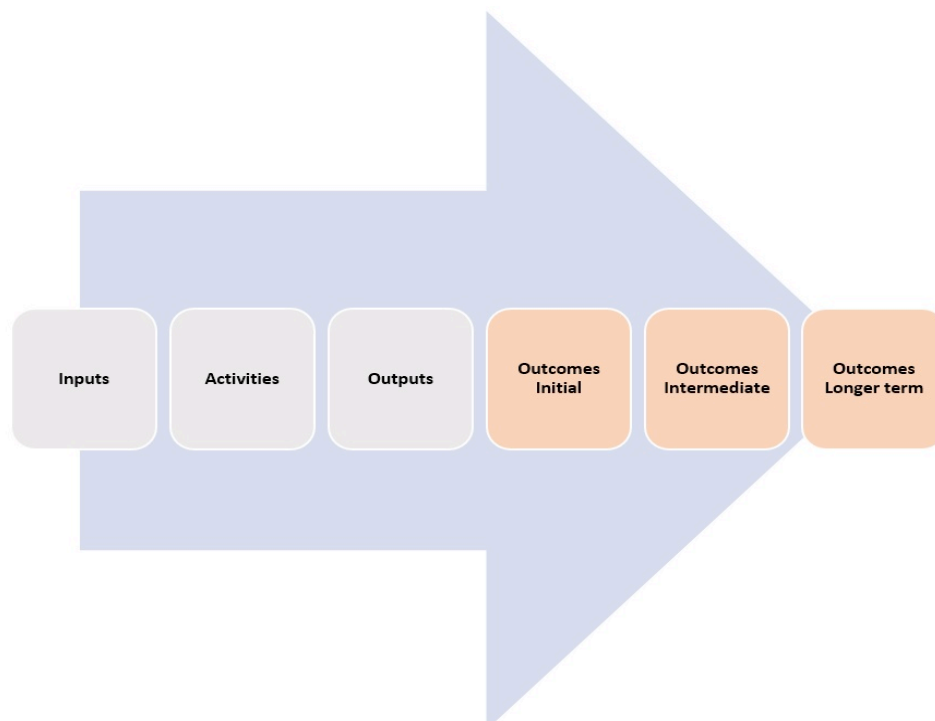
The results of this thesis will be demonstrated within the framework of program theory, to show the building blocks that are, at the time of writing, absent from the implementation process taking place in Chile. The segments of program theory that have been identified concerning the implementation process of the SSF Guidelines in Chile i.e. inputs, activities as

well as intermediate and long-term outcomes will firstly be presented in individual sections. Secondly, the missing building blocks of the program theory will be elaborated upon i.e. outputs and initial outcomes. This discussion in combination with the results identified from the interviews conducted will present the key barriers that to some extent hinder the implementation process. These will be stated in two categories: the first category will address barriers that affect the SSF Guidelines overall and the ones outlined in the second category refer to barriers specifically affecting the realisation of the Guidelines' chapter 8 on gender equality. The remainder of this chapter will in detail discuss each identified barrier and will conclude with a segment on possible measures to be taken in order to tackle these barriers. These have been assembled through reflections when analysing the results as well as suggested by respondents.

### ***6.1 Program Theory***

The following section will outline the analysis through use of the building blocks of program theory.

***Figure 7 - Schematic of Program theory*** (Rossi, Lipsey and Freeman, 2004:147)



### ***6.1.1 Inputs***

The inputs, refer to all the resources that have been allocated in realising the policy (Lindgren, 2012:69). Concerning the implementation process of the SSF Guidelines these have been identified as the following: previous work and knowledge on the area leading to the acceptance of the Guidelines. On a bigger scale, the collective understanding and political will from the actors involved, are also important inputs in creating the right conditions for a successful implementation. Inputs are also staff both at the FAO and within the national context of Chile dedicated to the implementation of the Guidelines. Other important inputs that have been discussed are allocating monetary resources in order to put projects in place at the local level.

### ***6.1.2 Activities Performed by the FAO***

The activities completed in achieving the aims of the Guidelines consist mainly of actions taken by the FAO such as: creating workshops, raising awareness, empowerment of stakeholders, supporting the implementation process, organising events with a global reach to spread information, issuing the COFI-questionnaire, publishing the gender handbook, presence online through the building of a website, translating the Guidelines into different languages, making a comic book version of the Guidelines and forming a small-scale fisheries task force. The FAO is also working towards constructing roadmaps for transforming the SSF Guidelines into national public policies and was part of the process of revising the Chilean fisheries law. Moreover, FAO also assists stakeholders in realising what role they could have in implementing the SSF Guidelines. In encouraging local actors to get involved in the implementation process an important strategy used is to highlight previous successful examples, as well as spreading information about the GEF-project that at the time of writing is being conducted in Chile.

### ***6.1.3 Outcomes: Intermediate and Longer-term***

It can be seen that the goals outlined in the official SSF Guidelines document outlines goals in order to reach gender equality and sustainable small-scale fisheries. These goals can be understood as intermediate goals since they are one step along the way in achieving the end-goal of the Guidelines. These consist of: 1) states need to recruit both women and men to address these challenges, 2) ensure that women and men have equal access to technical



services, including legal support and 3) all parties involved need to cooperate on the developing of an evaluation system that assesses the legislations, policies and programs put in place with the aim of creating a gender equal society (FAO, 2015:12). The long-term outcomes represent the end-goal of the implementation process of the SSF Guidelines and more specifically chapter 8 on gender equality. The long-term outcomes identified are achieving gender equality and social protection for the small-scale fisheries and thus truly incorporating the human rights based approach within the sector. Incorporating the SSF Guidelines will, hopefully, in the long-term ensure the rights of the fishing communities and guarantee their occupational safety. These aspects are of course essential in reaching social sustainability, in order to create sustainability within the sector.

#### ***6.1.4. Missing Blocks from Program Theory***

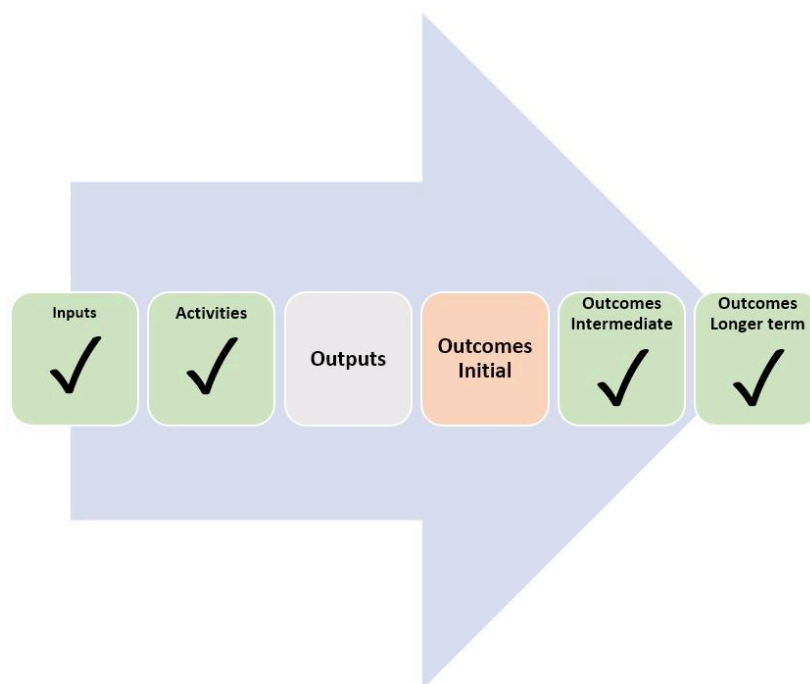
Outputs are specified as the quality of activities, their ability to create progress within the implementation process of the Guidelines as well as their reach (Lindgren, 2012:64). A conclusion to be drawn from interviews is that from the early implementation process it is hard for national actors to estimate the progress that has been achieved in Chile. This can be related to the fact that the results of the evaluation carried out by the FAO through the COFI-questionnaire, only presents data from each world region and not for each individual country.

Moreover, the activities presented above are mostly structured on a global level and can to a limited extent be applied to the local context of Chile. This can be linked to the fact, that Chile as a member state of the FAO is expected to individually generate outputs and command the implementation process at the local level. The fact that the initial outcomes have not been identified in the case of the implementation process of the SSF Guidelines focusing on chapter 8, is most likely linked to fact that there is no given implementation structure such as a rational checklist concerning how this should be accomplished at the local level of Chile. Hence, it can be concluded that at the local level of Chile, the implementation process is rather diffuse.

At the same time, it could be noted that in the case of Chile, the Guidelines have been considered in the formation of new public policies. This could be understood as an expected intermediate outcome, given that this result is an articulated goal within the SSF Guidelines.

However, the parts of the Guidelines that have been incorporated within the Chilean fishery law only considers the ecological aspects of the Guidelines and ignores the social issues raised. Since the focus of this thesis lies on gender equality and social sustainability this result is not recognised as an intermediate outcome within the presented program theory. Thus, figure 8 outlines, the missing building blocks of the program theory for the implementation process of the SSF Guidelines in Chile represent: outputs as well as initial outcomes.

**Figure 8 - Result of Program theory applied to implementation process of SSF Guidelines**



In order for the implementation process to be less vague, this program theory seeks to illustrate the bigger challenges that need to be articulated in a more concrete manner, if possible.

## **6.2 Barriers Preventing the Implementation of the SSF Guidelines**

Moreover, through the results of the interviews outlined in chapter 5 of this thesis and the discussion concerning the missing building blocks of the constructed program theory it has

been possible to outline the barriers hindering the implementation process of the SSF Guidelines. These barriers have been categorised in two sections, the first one outlining the barriers identified when analysing the SSF implementation process focusing on social aspects as a whole. These barriers also affect the realisation of the chapter 8 on gender equality and are the ones that follow:

#### *Barriers hindering the SSF Guidelines*

1. Misconceptions concerning the role of the FAO
2. The SSF Guidelines not being implemented in their entirety
3. Local actors expected to carry out the implementation process
4. Vague implementation structures
5. Mixed perceptions of the end-goal
6. Lack of Communication

Moreover, the second category of barriers were identified when focusing on the implementation of chapter 8 on gender equality within the Chilean context. These barriers will further be explained in detail in the section *6.2 Barriers in Implementing Chapter 8 on Gender Equality*.

#### *Barriers hindering the Implementation Process Concerning Chapter 8*

1. Language use
2. Solutions inserting women within their traditional role
3. Not involving men in the solution
4. Using statistics as the only solution
5. Not understanding the complexity of gender equality

The first barrier identified as affecting the implementation process of the SSF Guidelines, involves the relationship between Chile and the FAO, i.e. “Misconceptions concerning the role of the FAO”. The role of the FAO in the implementation process at the local level is characterised by many competing ideas. The local actors at the Chilean level want more involvement from the FAO while the FAO refrains from getting too involved, which is linked to the fact that it should not be too engaged in the process and also still be a neutral actor. Even though the role taken by the FAO as a mediator is complex it is probably an important

factor since small-scale fishers trust the FAO, which could be linked to its neutral position. Thus, it can be argued that it is important that the FAO keeps its neutral position since at present times small-scale fishing communities in Chile have low political trust in the national fisheries authorities; Subpesca and Sernapesca. It is therefore important that while actors involved in the Chileans fisheries sector rebuild their relationship, that there is at least one major actor that is trusted and granted recognition for the sake of the creation of sustainable small-scale fisheries through the SSF Guidelines.

The second barrier addresses the issue of: “The SSF Guidelines not being implemented in their entirety”. This process can be seen through the fact that in the majority of cases within the Chilean context, the Guidelines are only related to the ecological sphere of sustainability. This exemplifies the claim made by Peck and Theodore (2012:23) that in the policy implementation process actors pick out the parts that they can relate to. This process has resulted in the SSF Guidelines not being implemented in their entirety. It is important to consider however, that this might also be linked to the fact that Chile is a country with a relatively progressive fisheries sector when it comes to biological and ecological values and that it has therefore been the focus concerning the implementation process in Chile. The fact that the Chilean fisheries sector has a hard time applying the gender equality perspective could also explain why social aspects of the Guidelines are being left out. This causes a situation where the social aspects of the Guidelines are not being included within the implementation process. A conclusion to be drawn is therefore that the SSF Guidelines do not function as an undisturbed product during the early implementation phase.

As illustrated through program theory, the long-term goals of the SSF Guidelines are clearly articulated but the implementation strategy is still rather diffuse. The idea of the SSF Guidelines concerning the how-to of the implementation process is for the stakeholders to be the ones mainly taking action and leading Chile into the implementation phase (B1:1). This dynamic creates the third barrier: “Local actors expected to carry out the implementation process”, which is problematic since it puts a lot of responsibility on these individual actors. Moreover, this creates frustration among these actors that are feeling left alone in the process, which is not an effective nor a successful strategy in creating an effective implementation process.

Another dynamic of this problem, is that since the implementation structure is vague it leads to environments that are characterised as being less authoritarian with weak formal structures (Hjern and Porter, 1997:227). For instance, the different actors involved at the local context, cannot simply order or demand certain actions from other organisations. The leader of one syndicate, is the leader of its fishermen and not over the other syndicates. Since the implementation structure is dependent on this cluster of stakeholders acting together this creates an environment with fairly loose structures having many different people in charge. This thus creates ambiguous implementation structures resulting in the fourth barrier outlined as “vague implementation structures”.

The fifth identified barrier represents: “mixed perceptions of the end-goal”. Questions that we started to ask ourselves when the fieldwork was conducted included: *“Do they all have the same understanding of what the problem is? Is this clearly defined or something to be interpreted at the local/national level?”*. Knowing that organisations may have different strategies in going about reaching the same goal is not really the problem, problems can occur when they might have different end-goals altogether. A number of different actors are involved with differing interests, motives and views on how the problem should be tackled. As the implementation structures are vague as outlined by barrier number 4, this can also entail that beliefs concerning the long-term goals of the Guidelines could also be unclear. As outlined by one respondent at the NGO-level in Chile many actions are being taken but they have little interconnectedness between one another, this could result in the fact that the different actions taken at the local could have diverse aims.

The sixth outlined barrier represents the effects of “Lack of Communication”, both going from the global to local level, as well as within the local level itself. It can be seen that at the time of writing, the concrete actions being taken in implementing the Guidelines are not being effectively communicated, from the global FAO level in Rome to the local stakeholders worldwide and not the least in Chile. A respondent from FAO Rome expressed the need for motivating stakeholders in getting involved in the implementation process through the spread of information (A1:1). The FAO is currently taking measures to ameliorate this through developing a website, which hopefully will lead to the desired results. Concerning the local

level, communication between authorities and the fisheries sector is also an issue connected to the remoteness of certain fishery communities and the informal structures of the sector.

### ***6.3 Barriers Preventing the Implementation of Chapter 8 on Gender Equality***

The first barrier identified as hindering the implementation of chapter 8 on gender equality within the Chilean context is the so-called “language use barrier”. What is problematic about this barrier is that it does not acknowledge the presence nor the important work done by women in small-scale fisheries. This barrier can be identified both within the language used by fishers as well as through the language used in policy-documents concerning small-scale fisheries, which refers to them as *pescadores* the masculine term for fishers in Spanish. This is an important barrier to recognise since it further excludes and make women working within small-scale fisheries invisible. Moreover, these practices do not encourage other women to start working within this sector, making the field inaccessible and unwelcoming towards those not being part of the norm i.e. the fishermen. Subpesca further states, that there is resistance towards incorporating a more gender-neutral term when referring to the gender-neutral fishers in their official policy documents as well as in the language used by syndicates (C4:3, C4:4). The language barrier present within Chilean small-scale fisheries thus demonstrates that women are absent from formal structures of small-scale fisheries and that in order for gender equality to be created within the sector this practice needs to be contested.

The second barrier identified concerns the fact that the solutions created still portray women within their traditional roles as mothers and in charge of the household chores. This can be seen through the activities that have been put in place within the small-scale fisheries sector with the purpose of promoting gender equality. These involve making it possible for women to bring their children to work. Another example could be the underlying assumption that women are occupied with household activities during certain hours of the day and meetings are adjusted accordingly. This makes it possible for women to both carry out household tasks as well as being involved in activities in the small-scale fishing communities. It is not mentioned that these responsibilities should be changed, the solutions seem to be to ensure that women can still do both, work within the fisheries and still be in charge of the household.

Furthermore, the life-insurance policy that has been established concerning certified fishermen is also based on traditional beliefs of the role of women. The idea behind this new policy is that the ones that fish are men and that they are the ones that provide for their families. Thus, if they die the woman and their children, which are assumed to be completely dependent on the man's salary will still be able to survive (C4:2). The underlying message of this policy shows that women are not the ones that provide for their families and they thus still depend on their husbands to make it financially. These solutions are thus not real solutions since they are still formed within the existing patriarchal structures and do not seek to alter them.

The third barrier affecting the realisation of the SSF Guidelines' chapter 8 on gender equality is linked to the fact that in Chile men are rarely seen as being part of the solution in creating gender equality. The most apparent example showing this is the attitude demonstrated by the Chilean Ministry of Women and Gender Equity. As they expressed their mission is to work with women and not with men. In all the governmental institutions interviewed in Chile the focal points for gender equality matters were all women and that it thus is up to women to on their own create gender equality. This will be proven to be a hard task as outlined by Cudd and Jones (2015:77) it is necessary to involve men in the efforts taken to achieve gender equality since they directly or indirectly are involved in sustaining these unequal power relations. Additionally, it could be added that this barrier could be linked to the fact that gender does not seem to be correctly understood since it in this context refers only to women.

The fourth barrier that has been established within this area revolves around the idea that statistics are understood as an effective solution in creating gender equality. Within small-scale fishing bays for instance, the manner in which they are judged to be gender equal is simply because there are being present (C6:1). As highlighted by a gender officer within the Chilean fisheries administration this is a limited and faulty tool in many aspects (C4:3). Gender equality is presented as a process that is easy to achieve, since it will be enough to simply insert women within typically male-dominated-fields and patriarchal structures. It thus shows that the development strategy taken resonates more with "women in

development” in contrast to “gender in development”, which aims to transform unequal structures (Bennett, 2005:453). As outlined by Mark (2000:6) the presence of women will not magically alter the situation to a more equitable one. This was exemplified by Ms Zoila Bustamante, that told us that being the first female Director of CONAPACH was never an easy process and at times it was terrible she noted and it was incredibly important to be tough. This “solution” ignores that it is indeed very hard for women to work within these discriminatory practices that in the end will not create long-lasting gender equality as argued by Cornwall and Edwards (2014:5).

It can thus be concluded that all the aforementioned barriers in this section originate from the same root problem: the limited understanding of gender equality. More specifically that the complexity of gender equality is not properly understood. As outlined by Frye (1983:5) all the wires that together form the birdcage, need to be identified one by one and altered in order to liberate its prisoner. The barriers presented are indeed barriers since they do not alter the existing social structures, which could be linked with the fact that the issue of gender equality is still not always recognised as a legitimate problem. It was only recently that bureaucrats within the Chilean fisheries administration started to recognise that they need to work with it and as has been touched upon the social sustainability aspect has so far been hard to integrate within the Chilean small-scale fisheries sector.

The fact that the Chilean culture is characterised as very macho is often used as an excuse to the current situation for women in fisheries and in explaining the resistance towards gender equality measures by certain individuals. The attitude seems to be that the macho-Chilean cultural norms cannot really be altered, however as claimed by Bradley (2007:4) since these gender roles have been socially constructed through historical and cultural practices this entails that they can be adjusted to become more equitable. This would of course require a lengthy process of adaptation but eliminating these harmful behaviours, stereotypes and expectations would be beneficial for everyone involved as outlined by Nuñez et al., (2017:204).

Moreover, recognising that the proposed solutions do not alter underlying structures and the need to accommodate certain stereotypes linked to women as a result of the Chilean macho



culture could also hinder the process of gender equality measures resulting in double labour for women as argued by Lentisco and Alonso (2012:106). This risk entails that gender equality policies only alter the role of women without shifting the responsibilities typically classified as female towards men. This could result in women still being in charge of child rearing and household chores as well as engaging in fulltime work. This again highlights the role of men in assuming more responsibility for typical “female activities” and their role in creating gender equality. In sum, these barriers need to be addressed in order to ensure that women are not burdened with double labour because gender equality measures have not been correctly understood.

#### ***6.4 Possible Measures to Tackle Barriers***

Thus, as outlined through the constructed program theory, outputs are missing from the current implementation process taking place in the local context of Chile. Possible measures that could be taken to overcome some of the barriers will now be outlined. The outputs that could be integrated with the aim of implementing the Guidelines overall will be the first ones to be elaborated upon. An important output that needs to be put in place involves improving the cooperation between all actors involved. This includes the FAO, the national fisheries authorities in Chile, as well as the small-scale fishers. A crucial aspect in enhancing their relationship is working on how they could incorporate a more holistic approach that values the whole chain of action.

Moreover, to make sure that within this partnership and especially within the local context of Chile, all actors involved such as NGOs, fishers and the political institutions need to have the same idea of what end-goal should be reached (A2:2). This is of course hard in considering the issues of trust present in Chile between the authorities and fishers as well as different interests guiding the work of actors. A manner of working with this could be for the Chilean national fisheries administration to take the same approach as used by Sernapesca in working with the indigenous people of the Easter islands. Thus, creating coherence within these two issues need to be given more attention, since they both play an important role concerning the long-term effect of the Guidelines and their ability to be implemented. Another output to be put in place in order to make the implementation process more clear and traceable is to enforce an evaluation system in Chile where all activities that are undertaken to implement

the Guidelines are reported, which could function as a possible initial outcome. In order for this to be possible it is necessary that the informal structures of the small-scale fisheries sector in Chile are addressed.

Regarding the measures that need to be taken considering the implementation of chapter 8 on gender equality in Chile a central one is that the three pillars of sustainability are recognised and given equal value. Moreover, another fundamental action to further progress with the thematic is to acknowledge the need to work with gender equality in Chile at all levels. Thus, to dedicate more efforts in highlighting the importance of solving this problem, is to frame it as beneficial for everyone involved as outlined by Mark (2000:6). In order for this to be realised more capacity needs to be dedicated towards creating knowledge about gender equality and in making sure that the definition given by the FAO is the one that reaches the local level i.e. Chile. In this process, it is also important that the complexity of gender and gender equality are demonstrated in an accessible manner and the fact that gender inequality can be present within cultural norms is addressed. These aforementioned measures are crucial in order for gender equality to reach the small-scale fisheries sector in Chile, however more direct work to be conducted within the sector is to value the role and work carried out by women. Additionally, it is necessary that all women that work within the sector are being acknowledged and thus making women in the connecting activities visible.

## **7. Conclusion**

It can be concluded that the nature of the work conducted in practice in implementing the SSF Guidelines and especially concerning chapter 8 on gender equality has been identified to a large extent to be conducted by the FAO at the global and regional level. These activities consist mostly of arranging workshops and events with the aim of spreading information and empowering stakeholders. Within the FAO headquarters in Rome a small-scale fisheries task force has been created in order to involve representatives from different departments in working with the implementation of the Guidelines. Efforts have also been made by the FAO concerning the communication of the Guidelines, they are for instance being translated into more languages and a website is being created dedicated towards assembling all the

endeavours undertaken worldwide in implementing the Guidelines. Moreover, the FAO has also taken more direct action in encouraging member states to implement the Guidelines, which can be seen through the creation of the gender handbook and through the evaluation process provided by the COFI-questionnaire.

Concerning the actions taken by Chile in implementing the Guidelines these have been harder to identify, especially concerning the implementation of the social aspects of the Guidelines i.e. gender equality and social sustainability. One such example related to the implementation of the SSF Guidelines is the revision of the Chilean fisheries, since it only incorporated the environmental dimensions of the Guidelines. Another activity that has been identified at the local level is the GEF-project, which focuses mostly on the ecological aspects of the Guidelines, but does at the same time consider the gender equality aspects through its aims to empower women. In sum, because of these circumstances and after realising that the social sustainability aspects of the Guidelines including chapter 8 were not central features of the early implementation process, more focus had to be put on the overall implementation process of the Guidelines. This further proves the usefulness of using follow the policy as a theoretical and methodological tool, arguing for the “social life” of policies and that they very much navigate the research process, resulting in unexpected turns (Peck and Theodore, 2012:23; 29).

Even though it has been hard to identify direct actions taken in implementing the Guidelines in Chile, it can still be seen that measures are being taken to achieve the aims of the SSF Guidelines. Making small-scale fisheries more sustainable is a focus area of the Chilean fisheries administration. Subpesca and Sernapesca are trying to establish relationships with fishers by highlighting the benefits that come with turning small-scale fisheries into sustainable ones. Moreover, being that Chile is one of the countries in Latin America with the fastest growing economies, this entails that the circumstances are good and that hopefully it will be able to in the future devote more resources towards creating a more sustainable small-scale fisheries sector.

Concerning the social sustainability pillar and achieving gender equality, the results of this thesis show that the Chilean small-scale fisheries sector seems to struggle in involving these aspects. Even though this issue needs to be addressed, it has been noted by a few respondents that during the last 10 years there has been a change in the perception and understanding of gender equality in Chile. When the subject was first brought up bureaucrats working at the national fisheries administration did not understand why they had to work with the thematic. Even though this is a process that takes time, it seems to be going in the right direction.

Moreover, it is important to remember that Chile was an important actor, in pushing for the inclusion of the gender equality dimension within the Guidelines during the consultation process. This suggests that there is a strong will from certain actors within the small-scale fisheries community to work towards gender equality within the sector. Furthermore, the Chilean fisheries law is rather modern compared to other South American countries and it acknowledges typical female fisheries activities such as the benthic resources sector, which gives women in these activities the right to their resource. When considering the work on gender equality in Chile, it can be concluded that there is a willingness to work with this problem that began before the acceptance of the Guidelines. This can be seen through the work of former President Michelle Bachelet and in the formation of the Ministry of Women and Gender Equity. In sum, the results of this thesis show that overall there is an inclination to work with the gender equality and the social sustainability aspect of the small-scale fisheries sector.

However, as concluded in this thesis it is necessary to overcome certain barriers both at the global level and within the studied local context of Chile. In total 11 barriers have been identified as, at the time of writing, having a negative effect on the implementation process of the SSF Guidelines and the realisation of chapter 8 on gender equality. The barriers are: 1) Misconceptions concerning the role of the FAO, 2) The SSF Guidelines not being implemented in their entirety, 3) Local actors expected to carry out the implementation process, 4) Vague implementation structures, 5) Mixed perceptions of the end-goal and 6) Lack of Communication. Concerning Chapter 8 on Gender equality, the following barriers have been determined as having an important effect within the local context of Chile in

hindering the realisation of the aims of this chapter: 1) Language use, 2. Solutions inserting women within their traditional role, 3) Not involving men in the solution, 4) Using statistics as the only solution, 5) Not understanding the complexity of gender equality.

Thus, this thesis argues that in order for the SSF Guidelines to be more successfully implemented in Chile, an important first step is working towards overcoming the aforementioned barriers. The following section, will propose and further discuss the measures that can be taken in overcoming these barriers and the need for further study regarding this thematic.

### ***7.1 Ways Forward and Further Studies***

Considering how these barriers can be tackled at the different levels of implementation it can firstly be concluded when analysing the SSF Guidelines, that the existing cooperation between all actors involved needs to be improved. As has been outlined there are many competing views and understandings concerning what the role of the FAO should be in the implementation process. It can be concluded that there is a will from actors within small-scale fisheries for the FAO and representatives of the Chilean fisheries administration to be more present. This has been expressed by respondents as wanting decision-makers to put “their feet in the sand” (C8:1; C9:1), in order for them to be able to see the problem from their perspective as well. Just as the consultation process was a bottom-up process the implementation process needs to be one too. As the Guidelines outline, the work carried out linked to the implementation process should indeed be done by local actors, however in realising the bottom-up process they need to feel that they have the support of the FAO and that they are working side by side. This relationship could be established through a more permanent presence of the FAO within crucial local areas in Chile, where there is a will and a demand for this from Chilean fishing communities and Chilean national fisheries administration.

Another important output that needs to be put in place, is for the all actors involved in the implementation process both at global FAO level and the local level of Chile to adopt a more holistic approach. Moreover, that they together value and see the same end-goal as a result of the implementation of the Guidelines. In realising this it is also necessary that efforts are

taken to repair and establish a functioning relationship between the small-scale fishers and the fisheries administration. In doing so it is important that the informal structures of the small-scale fisheries sector are dealt with and that the implementation process is made more concrete through the establishment of an evaluation system.

In addressing the barriers that at the time of writing are interfering with the implementation of the SSF Guidelines' chapter 8 on gender equality, it is firstly fundamental that the 3 pillars of sustainability are all recognised and given equal value. This is proving to be a complex issue since sustainability measures can affect the livelihood of fishers by putting limit on the amount of fish that can be extracted. This further demonstrates the need to truly incorporating all the three dimensions of sustainability i.e. economic, environmental and social aspects. Additionally, this problematic intertwined within the quest for sustainability is present within many different local contexts and thus more research and knowledge on how to deal with this would be beneficial for actors involved in small-scale fisheries worldwide.

Regarding the issue of gender equality, it is necessary that the definition that has been agreed upon at the global FAO level travels without being altered during the implementation process. As has been concluded through this study the understanding of the terms gender and gender equality are not always understood correctly. Thus, it is crucial that gender equality is understood in its entire complexity and that stakeholders are aware of social structures enabling unequal practices and roles present within cultural beliefs and all sectors of society. Solutions that alter and challenge these social structures are the only ones that in the long term will actually create gender equality. Solutions that simply insert women within patriarchal structures will thus not result in the expected change since they will not create equality but only make the situation worse for women by having to face discrimination within male-dominated environments or by being burdened with double labour.

At the global level the FAO could address the problem of altering deeply embedded patriarchal norms through its expertise and important tool: The Gender Handbook. The FAO could also make use of its ability to cooperate and unite countries, to together find more efficient ways of approaching this matter. At the local level in Chile it is imperative that education is provided concerning the workings of gender equality. An initial outcome could therefore be to organise workshops with all stakeholders involved, men as well as women. Moreover, that all members of small-scale fishing communities are educated on this matter

and understand that this is an important problem to deal with. Through this educating process it needs to become apparent that simply collecting sex-disaggregated data is not enough.

Furthermore, it is crucial that all women present within the Chilean fisheries sector conducting “hidden activities” are recognised and valued. In doing so an important part would be to give them the social benefits and security that the SSF Guidelines are advocating for. This could be done simultaneously with educational measures where the Chilean fisheries administration could involve NGOs working with issues concerning fisheries and social sustainability in coordinating the work and involving women working within the sector. Additionally, in making these measures as successful and influential as possible the voice of the women working in small-scale fisheries and highlighting their demands need to be included.

To conclude, there is a need for more research on the subject of incorporating the idea of social sustainability and gender equality within small-scale fisheries. Moreover, that this becomes more of a focus area in the implementation process and that it is not left out, which seems to be the current trend at both the local and global level because it is a complex problem to resolve. As has been outlined in this thesis there is a need for more research concerning how concrete outputs and initial outcomes can be identified within the Chilean sector. It is also necessary to further develop instruments that strive towards eliminating the barriers that have been identified. Chile has implemented the PMG instrument which is a good start since it obliges public institutions to take action concerning gender equality. However, as showed this tool has its limits and it is therefore crucial to work together with Chilean stakeholders within the small-scale fisheries sector to develop tools with a more transformative reach concerning gender equality.

Additionally, since the issues of creating social sustainability and gender equality are issues of global scale it would be useful to conduct more research in other local contexts to identify other barriers hindering global agendas such as the SSF Guidelines from being implemented. The results found in Chile could for instance be compared with those of other Latin American countries and it could maybe be possible to identify a pattern where research from the region

could be useful for individual countries. Through broader research within more local contexts it could be possible to in a more systematic manner identify the barriers and outcomes affecting the realisation of social sustainability and gender equality. This could possibly prove to an efficient way of working with these complex issues.



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## Appendix A – SSF Guidelines Official Policy Document



Food and Agriculture  
Organization of the  
United Nations

### Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries

in the Context of Food Security  
and Poverty Eradication





**Voluntary Guidelines for Securing  
Sustainable Small-Scale Fisheries**  
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Food and Agriculture Organization of the United Nations  
Rome, 2015

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In honour of Chandrika Sharma,  
who worked tirelessly for the  
betterment of the lives of fish  
workers all over the world and  
who contributed invaluable to the  
formulation of these Guidelines.

# Foreword

The Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication (the SSF Guidelines) is the first internationally agreed instrument dedicated entirely to the immensely important - but until now often neglected - small-scale fisheries sector.

The small-scale fisheries sector tends to be firmly rooted in local communities, traditions and values. Many small-scale fishers are self-employed and usually provide fish for direct consumption within their households or communities. Women are significant participants in the sector, particularly in post-harvest and processing activities. It is estimated that about 90 percent of all people directly dependent on capture fisheries work in the small-scale fisheries sector. As such, small-scale fisheries serve as an economic and social engine, providing food and nutrition security, employment and other multiplier effects to local economies while underpinning the livelihoods of riparian communities.

The SSF Guidelines are long overdue because of the need for an international instrument that provides consensus principles and guidance on addressing small-scale fisheries. The SSF Guidelines complement the Code of Conduct for Responsible Fisheries, which, alongside the fishing provisions of the UN Convention on the Law of the Sea, is the most widely recognized and implemented international fisheries instrument. The SSF Guidelines are also closely related to the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forestry in the Context of National Food Security, the Voluntary Guidelines to Support the Progressive Realization of the Right to Adequate Food in the Context of National Food Security, and the Principles for Responsible Investment in Agriculture and Food Systems. Like these instruments, the SSF Guidelines place a high priority on the realization of human rights and on the need to attend to vulnerable and marginalized groups.

The SSF Guidelines are the result of a bottom-up participatory development process based on the recommendations of the Twenty-ninth and Thirtieth Sessions of the FAO Committee on Fisheries (COFI). Between 2010 and 2013, FAO facilitated a global process that involved more than 4 000 representatives of governments, small-scale fishers, fish workers and their organizations, researchers, development partners and other relevant stakeholders from more than 120 countries in 6 regional and more than 20 civil-society organization-led national consultative meetings. The outcomes of these consultations provided the basis for the work of an FAO Technical Consultation, which met in May 2013 and February 2014 to agree on the final text. The endorsement of the SSF Guidelines by the Thirty-first Session of COFI in June 2014 represents a major achievement towards ensuring secure and sustainable small-scale fisheries.

The SSF Guidelines are a fundamental tool in support of the Organization's vision to eradicate hunger and promote sustainable development as outlined in FAO's new strategic framework. They will guide dialogue, policy processes and actions at all levels and help the sector to realize its full contribution to food security and poverty eradication. The challenge is now for FAO Members and all partners to implement the SSF Guidelines.

FAO remains committed to supporting the implementation of the SSF Guidelines and looks forward to continued collaboration with all stakeholders - including governments, small-scale fishers, fish workers and their organizations, civil society organizations, research and academia, private sector and the donor community on the path towards sustainable small-scale fisheries in the context of food security and poverty eradication.

José Graziano da Silva  
FAO DIRECTOR-GENERAL

v



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## Abbreviations and acronyms

### CCA

Climate change adaptation

### CEDAW

Convention on the Elimination of All Forms of Discrimination against Women

### CSO

Civil society organization

### DRM

Disaster risk management

### EAF

Ecosystem approach to fisheries

### HIV/AIDS

Human immunodeficiency virus / acquired immunodeficiency syndrome

### ICESCR

International Covenant on Economic, Social and Cultural Rights

### IGO

Intergovernmental organization

### ILO

International Labour Organization

### IMO

International Maritime Organization

### IUU

Illegal, unreported and unregulated (fishing)

### MCS

Monitoring, control and surveillance

### NGO

Non-governmental organization

### RIO+20

United Nations Conference on Sustainable Development (Rio+20)

### THE CODE

Code of Conduct for Responsible Fisheries (FAO)

### UN

United Nations

### UN DRIP

United Nations Declaration on the Rights of Indigenous Peoples

### UNFCCC

United Nations Framework Convention on Climate Change

### WTO

World Trade Organization



## Preface

These Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication have been developed as a complement to the 1995 FAO Code of Conduct for Responsible Fisheries (the Code). They were developed to provide complementary guidance with respect to small-scale fisheries in support of the overall principles and provisions of the Code. Accordingly, the Guidelines are intended to support the visibility, recognition and enhancement of the already important role of small-scale fisheries and to contribute to global and national efforts towards the eradication of hunger and poverty. The Guidelines support responsible fisheries and sustainable social and economic development for the benefit of current and future generations, with an emphasis on small-scale fishers and fish workers and related activities and including vulnerable and marginalized people, promoting a human rights-based approach.

It is emphasized that these Guidelines are voluntary, global in scope and with a focus on the needs of developing countries.

Small-scale and artisanal fisheries, encompassing all activities along the value chain – pre-harvest, harvest and post-harvest – undertaken by men and women, play an important role in food security and nutrition, poverty eradication, equitable development and sustainable resource<sup>1</sup> utilization. Small-scale fisheries provide nutritious food for local, national and international markets and generate income to support local and national economies.

Small-scale fisheries contribute about half of global fish catches. When considering catches destined for direct human consumption, the share contributed by the small-scale fisheries

increases to two-thirds. Inland fisheries are particularly important in this respect where the majority of the catches from small-scale fisheries are directed to human consumption. Small-scale fisheries employ more than 90 percent of the world's capture fishers and fish workers, about half of whom are women. In addition to employment as full- or part-time fishers and fish workers, seasonal or occasional fishing and related activities provide vital supplements to the livelihoods of millions. These activities may be a recurrent sideline activity or become especially important in times of difficulty. Many small-scale fishers and fish workers are self-employed and engaged

1. The term 'fishery resources' in this document covers all living aquatic resources (in both marine and freshwaters) that are commonly subject to harvesting.

in directly providing food for their household and communities as well as working in commercial fishing, processing and marketing. Fishing and related activities often underpin the local economies in coastal, lakeshore and riparian communities and constitute an engine, generating multiplier effects in other sectors.

Small-scale fisheries represent a diverse and dynamic subsector, often characterized by seasonal migration. The precise characteristics of the subsector vary depending on the location; indeed, small-scale fisheries tend to be strongly anchored in local communities, reflecting often historic links to adjacent fishery resources, traditions and values, and supporting social cohesion. For many small-scale fishers and fish workers, fisheries represent a way of life and the subsector embodies a diverse and cultural richness that is of global significance. Many small-scale fishers, fish workers and their communities – including vulnerable and marginalized groups – are directly dependent on access to fishery resources and land. Tenure rights to land in the coastal/waterfront area are critical for ensuring and facilitating access to the fishery, for accessory activities (including processing and marketing), and for housing and other livelihood support. The health of aquatic ecosystems and associated biodiversity are a fundamental basis for their livelihoods and for the subsector's capacity to contribute to overall well-being.

Despite their importance, many small-scale fishing communities continue to be marginalized, and their contribution to food security and nutrition, poverty eradication, equitable development and sustainable resource utilization – which benefits both them and others – is not fully realized.

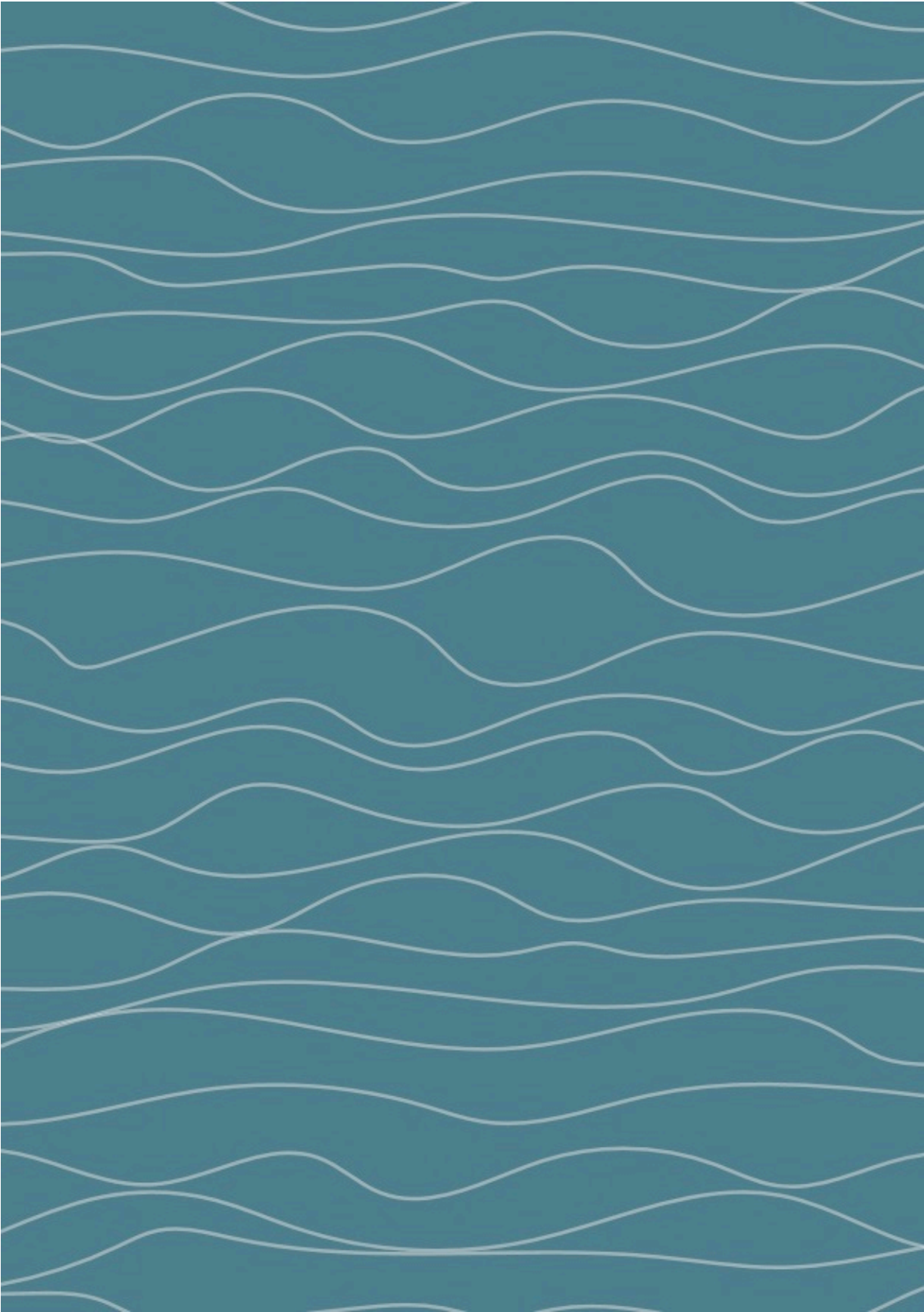
Securing and increasing the contribution of small-scale fisheries face many challenges and constraints. The development of the fisheries sector over the past three to four decades has in many cases around the world led to overexploitation of resources and threats to habitats and ecosystems. Customary practices for the allocation and sharing of resource benefits in small-scale fisheries, which may have been in place for generations, have been changed as a result of non-participatory and often centralized fisheries management systems, rapid technology developments and demographic changes. Small-scale fishing communities also commonly suffer from unequal power relations. In many places, conflicts with large-scale fishing operations are an issue, and there is increasingly high interdependence or competition between small-scale fisheries and other sectors. These other sectors can often have stronger political or economic influence, and they include: tourism, aquaculture, agriculture, energy, mining, industry and infrastructure developments.

Where poverty exists in small-scale fishing communities, it is of a multidimensional nature and is not only caused by low

incomes but also due to factors that impede full enjoyment of human rights including civil, political, economic, social and cultural rights. Small-scale fishing communities are commonly located in remote areas and tend to have limited or disadvantaged access to markets, and may have poor access to health, education and other social services. Other characteristics include low levels of formal education, existence of ill health (often including above-average incidences of HIV/AIDS) and inadequate organizational structures. The opportunities available are limited, as small-scale fishing communities face a lack of alternative livelihoods, youth unemployment, unhealthy and unsafe working conditions, forced labour, and child labour. Pollution, environmental degradation, climate change impacts and natural and human-induced disasters add to the threats facing small-scale fishing communities. All these factors make it difficult for small-scale fishers and fish workers to make their voices heard, defend their human rights and tenure rights, and secure the sustainable use of the fishery resources on which they depend.

These Guidelines have been developed through a participatory and consultative process, involving representatives of small-scale fishing communities, civil society organizations (CSOs), governments, regional organizations and other stakeholders. A Technical Consultation of the Food and Agriculture Organization (FAO) which took place in two sessions on 20-24 May 2013

and on 3-7 February 2014 then reviewed the Guidelines. They take into account a wide range of important considerations and principles, including equality and non-discrimination, participation and inclusion, accountability and the rule of law, and the principle that all human rights are universal, indivisible, interrelated and interdependent. The Guidelines are consistent with and promote international human rights. These Guidelines are complementary to the Code and its related instruments. They also take into account the technical guidelines related to the Code, such as the Technical Guidelines for Responsible Fisheries No. 10 "Increasing the Contribution of Small-Scale Fisheries to Poverty Alleviation and Food Security", as well as other voluntary international instruments, such as the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (Tenure Guidelines) and the Voluntary Guidelines to support the Progressive Realization of the Right to Adequate Food in the Context of National Food Security (Right to Food Guidelines), as applicable. States and other stakeholders are encouraged to also consult these other guidelines, as well as relevant international and regional instruments, to fully integrate applicable obligations, voluntary commitments and available guidance.



# Part 1

## Introduction

### 1. Objectives

- 1.1 The objectives of these Guidelines are:
- a) to enhance the contribution of small-scale fisheries to global food security and nutrition and to support the progressive realization of the right to adequate food,
  - b) to contribute to the equitable development of small-scale fishing communities and poverty eradication and to improve the socio-economic situation of fishers and fish workers within the context of sustainable fisheries management,
  - c) to achieve the sustainable utilization, prudent and responsible management and conservation of fisheries resources consistent with the Code of Conduct for Responsible Fisheries (the Code) and related instruments,
  - d) to promote the contribution of small-scale fisheries to an economically, socially and environmentally sustainable future for the planet and its people,
  - e) to provide guidance that could be considered by States and stakeholders for the development and implementation of ecosystem friendly and participatory policies, strategies and legal frameworks for the enhancement of responsible and sustainable small-scale fisheries, and
  - f) to enhance public awareness and promote the advancement of knowledge on the culture, role, contribution and potential of small-scale fisheries, considering ancestral and traditional knowledge, and their related constraints and opportunities.

1.2 These objectives should be achieved through the promotion of a human rights-based approach, by empowering small-scale fishing communities, including both men and

women, to participate in decision-making processes, and to assume responsibilities for sustainable use of fishery resources, and placing emphasis on the needs of developing countries and for the benefit of vulnerable and marginalized groups.

### 2. Nature and scope

2.1 These Guidelines are voluntary in nature. The Guidelines should apply to small-scale fisheries in all contexts, be global in scope but with a specific focus on the needs of developing countries.

2.2 These Guidelines are relevant to small-scale fisheries both in marine and inland waters, i.e. men and women working in the full range of activities along the value chain, and pre- and post-harvest activities. The important linkages between small-scale fisheries and aquaculture are recognized, but these Guidelines principally focus on capture fisheries.

2.3 These Guidelines are addressed to FAO Members and non-Members, at all levels of the country, as well as to subregional, regional, international and intergovernmental organizations (IGOs) and small-scale fisheries actors (fishers, fish workers, their communities, traditional and customary authorities, and related professional organizations and CSOs). They are also aimed at research and academic institutions, the private sector, non-governmental organizations (NGOs) and all others concerned with the fisheries sector, coastal and rural development and the use of the aquatic environment.

2.4 These Guidelines recognize the great diversity of small-scale fisheries and that there is no single, agreed definition of the subsector. Accordingly, the Guidelines do not prescribe a

standard definition of small-scale fisheries nor do they prescribe how the Guidelines should be applied in a national context. These Guidelines are especially relevant to subsistence small-scale fisheries and vulnerable fisheries people. To ensure transparency and accountability in the application of the Guidelines, it is important to ascertain which activities and operators are considered small-scale, and to identify vulnerable and marginalized groups needing greater attention. This should be undertaken at a regional, subregional or national level and according to the particular context in which they are to be applied. States should ensure that such identification and application are guided by meaningful and substantive participatory, consultative, multilevel and objective-oriented processes so that the voices of both men and women are heard. All parties should support and participate, as appropriate and relevant, in such processes.

2.5 These Guidelines should be interpreted and applied in accordance with national legal systems and their institutions.

### 3. Guiding principles

3.1 These Guidelines are based on international human rights standards, responsible fisheries standards and practices and sustainable development according to the United Nations Conference on Sustainable Development (Rio+20) outcome document 'The future we want', the Code and other relevant instruments, paying particular attention to vulnerable and marginalized groups and the need to support the progressive realization of the right to adequate food.

**1. Human rights and dignity:** recognizing the inherent dignity and the equal and inalienable human rights of all individuals, all parties should recognize, respect, promote and protect the human rights principles and their applicability to communities dependent

on small-scale fisheries, as stipulated by international human rights standards: universality and inalienability; indivisibility; interdependence and interrelatedness; non-discrimination and equality; participation and inclusion; accountability and the rule of law. States should respect and protect the rights of defenders of human rights in their work on small-scale fisheries.

All non-state actors including business enterprises related to or affecting small-scale fisheries have a responsibility to respect human rights. States should regulate the scope of activities in relation to small-scale fisheries of non-state actors to ensure their compliance with international human rights standards.

**2. Respect of cultures:** recognizing and respecting existing forms of organization, traditional and local knowledge and practices of small-scale fishing communities, including indigenous peoples and ethnic minorities encouraging women leadership and taking into account Art. 5 of the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW).

**3. Non-discrimination:** promoting in the small-scale fisheries the elimination of all kinds of discrimination in policies and in practice.

**4. Gender equality and equity** is fundamental to any development. Recognizing the vital role of women in small-scale fisheries, equal rights and opportunities should be promoted.

**5. Equity and equality:** promoting justice and fair treatment – both legally and in practice – of all people and peoples, including equal rights to the enjoyment of all human rights. At the same time, differences between women and men should be acknowledged and specific measures taken to accelerate de facto equality, i.e. using preferential treatment where required to achieve equitable outcomes, particularly for vulnerable and marginalized groups.

**6. Consultation and participation:** ensuring active, free, effective, meaningful and informed participation of small-scale fishing communities, including indigenous peoples, taking into account the UN Declaration on the Rights of Indigenous Peoples (UN DRIP) in the whole decision-making process related to fishery resources and areas where small-scale fisheries operate as well as adjacent land areas, and taking existing power imbalances between different parties into consideration. This should include feedback and support from those who could be affected by decisions prior to these being taken, and responding to their contributions.

**7. Rule of law:** adopting a rules-based approach for small-scale fisheries through laws that are widely publicized in applicable languages, applicable to all, equally enforced and independently adjudicated, and that are consistent with existing obligations under national and international law, and with due regard to voluntary commitments under applicable regional and international instruments.

**8. Transparency:** clearly defining and widely publicizing policies, laws and procedures in applicable languages, and widely publicizing decisions in applicable languages and in formats accessible to all.

**9. Accountability:** holding individuals, public agencies and non-state actors responsible for their actions and decisions according to the principles of the rule of law.

**10. Economic, social and environmental sustainability:** applying the precautionary approach and risk management to guard against undesirable outcomes, including overexploitation of fishery resources and negative environmental, social and economic impacts.

**11. Holistic and integrated approaches:** recognizing the ecosystem approach to fisheries (EAF) as an important guiding

principle, embracing the notions of comprehensiveness and sustainability of all parts of ecosystems as well as the livelihoods of small-scale fishing communities, and ensuring cross-sectoral coordination as small-scale fisheries are closely linked to and dependent on many other sectors.

**12. Social responsibility:** promoting community solidarity and collective and corporate responsibility and the fostering of an environment that promotes collaboration among stakeholders should be encouraged.

**13. Feasibility and social and economic viability:** ensuring that policies, strategies, plans and actions for improving small-scale fisheries governance and development are socially and economically sound and rational. They should be informed by existing conditions, implementable and adaptable to changing circumstances, and should support community resilience.

#### **4. Relationship with other international instruments**

**4.1** These Guidelines should be interpreted and applied consistent with existing rights and obligations under national and international law and with due regard to voluntary commitments under applicable regional and international instruments. They are complementary to and support national, regional and international initiatives that address human rights, responsible fisheries and sustainable development. The Guidelines were developed complementary to the Code and support responsible fisheries and sustainable resource utilization in accordance with this instrument.

**4.2** Nothing in the Guidelines should be read as limiting or undermining any rights or obligations to which a State may be subject under international law. These Guidelines may be used to guide amendments and inspire new or supplementary legislative and regulatory provisions.





## Part 2

# Responsible fisheries and sustainable development

### 5. Governance of tenure in small-scale fisheries and resource management

5.1 These Guidelines recognize the need for responsible and sustainable use of aquatic biodiversity and natural resources to meet the developmental and environmental requirements of present and future generations. Small-scale fishing communities need to have secure tenure rights<sup>2</sup> to the resources that form the basis for their social and cultural well-being, their livelihoods and their sustainable development. The Guidelines support equitable distribution of the benefits yielded from responsible management of fisheries and ecosystems, rewarding small-scale fishers and fish workers, both men and women.

#### 5a. Responsible governance of tenure

5.2 All parties should recognize that responsible governance of tenure of land, fisheries and forests applicable in small-scale fisheries is central for the realization of human rights, food security, poverty eradication, sustainable livelihoods, social stability, housing security, economic growth and rural and social development.

5.3 States, in accordance with their legislation, should ensure that small-scale fishers, fish workers and their communities have secure, equitable, and socially and culturally appropriate tenure rights to fishery resources (marine and inland) and small-scale fishing areas and adjacent land, with a special attention paid to women with respect to tenure rights.

5.4 States, in accordance with their legislation, and all other parties should recognize, respect and protect all forms of legitimate tenure rights, taking into account, where appropriate, customary rights to aquatic resources and land and small-scale fishing areas enjoyed by small-scale fishing communities. When necessary, in order to protect various forms of legitimate tenure rights, legislation to this effect should be provided. States should take appropriate measures to identify, record and respect legitimate tenure right holders and their rights. Local norms and practices, as well as customary or otherwise preferential access to fishery resources and land by small-scale fishing communities including indigenous peoples and ethnic minorities, should be recognized, respected and protected in ways that are consistent with international human rights law. The UN DRIP and the Declaration on the Rights of Persons Belonging to National or Ethnic, Religious and Linguistic Minorities should be taken into account, as appropriate. Where constitutional or legal reforms strengthen the rights of women and place them in conflict with custom, all parties should cooperate to accommodate such changes in the customary tenure systems.

5.5 States should recognize the role of small-scale fishing communities and indigenous peoples to restore, conserve, protect and co-manage local aquatic and coastal ecosystems.

5.6 Where States own or control water (including fishery resources) and land resources, they should determine the use and tenure rights of these resources taking into consideration, inter alia, social, economic and

2. The term 'tenure right' is used in accordance with the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security.

environmental objectives. States should, as applicable, recognize and safeguard publically owned resources that are collectively used and managed, in particular by small-scale fishing communities.

**5.7** Taking due account of Art. 6.18 of the Code, States should where appropriate grant preferential access of small-scale fisheries to fish in waters under national jurisdiction, with a view to achieving equitable outcomes for different groups of people, in particular vulnerable groups. Where appropriate, specific measures, inter alia, the creation and enforcement of exclusive zones for small-scale fisheries, should be considered. Small-scale fisheries should be given due consideration before agreements on resource access are entered into with third countries and third parties.

**5.8** States should adopt measures to facilitate equitable access to fishery resources for small-scale fishing communities, including, as appropriate, redistributive reform, taking into account the provisions of the Voluntary Guidelines on Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security.

**5.9** States should ensure that small-scale fishing communities are not arbitrarily evicted and that their legitimate tenure rights are not otherwise extinguished or infringed. States should recognize that competition from other users is increasing within small-scale fisheries areas and that small-scale fishing communities, in particular vulnerable and marginalized groups, are often the weaker party in conflicts with other sectors and may require special support if their livelihoods are threatened by the development and activities of other sectors.

**5.10** States and other parties should, prior to the implementation of large-scale development projects that might impact small-scale fishing

communities, consider the social, economic and environmental impacts through impact studies, and hold effective and meaningful consultations with these communities, in accordance with national legislation.

**5.11** States should provide small-scale fishing communities and individuals, including vulnerable and marginalized people, access through impartial and competent judicial and administrative bodies to timely, affordable and effective means of resolving disputes over tenure rights in accordance with national legislation, including alternative means of resolving such disputes, and should provide effective remedies, which may include an entitlement to appeal, as appropriate. Such remedies should be promptly enforced in accordance with national legislation and may include restitution, indemnity, just compensation and reparation.

**5.12** States should strive to restore access to traditional fishing grounds and coastal lands to small-scale fishing communities that have been displaced by natural disasters and/or armed conflict taking into consideration the sustainability of fisheries resources. States should establish mechanisms to support fishing communities affected by grave human rights violations to rebuild their lives and livelihoods. Such steps should include the elimination of any form of discrimination against women in tenure practices in case of natural disasters and/or armed conflict.

## **5b. Sustainable resource management**

**5.13** States and all those engaged in fisheries management should adopt measures for the long-term conservation and sustainable use of fisheries resources and to secure the ecological foundation for food production. They should promote and implement appropriate management systems, consistent with their

existing obligations under national and international law and voluntary commitments, including the Code, that give due recognition to the requirements and opportunities of small-scale fisheries.

**5.14** All parties should recognize that rights and responsibilities come together; tenure rights are balanced by duties, and support the long-term conservation and sustainable use of resources and the maintenance of the ecological foundation for food production. Small-scale fisheries should utilize fishing practices that minimize harm to the aquatic environment and associated species and support the sustainability of the resource.

**5.15** States should facilitate, train and support small-scale fishing communities to participate in and take responsibility for, taking into consideration their legitimate tenure rights and systems, the management of the resources on which they depend for their well-being and that are traditionally used for their livelihoods. Accordingly, States should involve small-scale fishing communities – with special attention to equitable participation of women, vulnerable and marginalized groups – in the design, planning and, as appropriate, implementation of management measures, including protected areas, affecting their livelihood options. Participatory management systems, such as co-management, should be promoted in accordance with national law.

**5.16** States should ensure the establishment of monitoring, control and surveillance (MCS) systems or promote the application of existing ones applicable to and suitable for small-scale fisheries. They should provide support to such systems, involving small-scale fisheries actors as appropriate and promoting participatory arrangements within the context of co-management. States should ensure effective monitoring and enforcement mechanisms to deter, prevent and eliminate all forms of

illegal and/or destructive fishing practices having a negative effect on marine and inland ecosystems. States should endeavour to improve registration of the fishing activity. Small-scale fishers should support the MCS systems and provide to the State fisheries authorities the information required for the management of the activity.

**5.17** States should ensure that the roles and responsibilities within the context of co-management arrangements of concerned parties and stakeholders are clarified and agreed through a participatory and legally supported process. All parties are responsible for assuming the management roles agreed to. All endeavours should be made so that small-scale fisheries are represented in relevant local and national professional associations and fisheries bodies and actively take part in relevant decision-making and fisheries policy-making processes.

**5.18** States and small-scale fisheries actors should encourage and support the role and involvement of both men and women, whether engaged in pre-harvest, harvest or post-harvest operations, in the context of co-management and in the promotion of responsible fisheries, contributing their particular knowledge, perspectives and needs. All parties should pay specific attention to the need to ensure equitable participation of women, designing special measures to achieve this objective.

**5.19** Where transboundary and other similar issues exist, e.g. shared waters and fishery resources, States should work together to ensure that the tenure rights of small-scale fishing communities that are granted are protected.

**5.20** States should avoid policies and financial measures that may contribute to fishing overcapacity and, hence, overexploitation of

resources that have an adverse impact on small-scale fisheries.

## 6. Social development, employment and decent work

6.1 All parties should consider integrated, ecosystem and holistic approaches to small-scale fisheries management and development that take the complexity of livelihoods into account. Due attention to social and economic development may be needed to ensure that small-scale fishing communities are empowered and can enjoy their human rights.

6.2 States should promote investment in human resource development such as health, education, literacy, digital inclusion and other skills of a technical nature that generate added value to the fisheries resources as well as awareness raising. States should take steps with a view to progressively ensure that members of small-scale fishing communities have affordable access to these and other essential services through national and subnational actions, including adequate housing, basic sanitation that is safe and hygienic, safe drinking-water for personal and domestic uses, and sources of energy. Preferential treatment of women, indigenous peoples, and vulnerable and marginalized groups – in providing services and giving effect to non-discrimination and other human rights – should be accepted and promoted where it is required to ensure equitable benefits.

6.3 States should promote social security protection for workers in small-scale fisheries. They should take into account the characteristics of small-scale fisheries and apply security schemes to the entire value chain.

6.4 States should support the development of and access to other services that are appropriate for small-scale fishing communities with regard to, for example, savings, credit and insurance schemes, with special emphasis on ensuring the access of women to such services.

6.5 States should recognize as economic and professional operations the full range of activities along the small-scale fisheries value chain – both pre- and post-harvest; whether in an aquatic environment or on land; undertaken by men or by women. All activities should be considered: part-time, occasional and/or for subsistence. Professional and organizational development opportunities should be promoted, in particular for more vulnerable groups of post-harvest fish workers and women in small-scale fisheries.

6.6 States should promote decent work for all small-scale fisheries workers, including both the formal and informal sectors. States should create the appropriate conditions to ensure that fisheries activities in both the formal and informal sectors are taken into account in order to ensure the sustainability of small-scale fisheries in accordance with national law.

6.7 States should take steps with a view to the progressive realization of the right of small-scale fishers and fish workers to an adequate standard of living and to work in accordance with national and international human rights standards. States should create an enabling environment for sustainable development in small-scale fishing communities. States should pursue inclusive, non-discriminatory and sound economic policies for the use of marine, freshwater and land areas in order to permit small-scale fishing communities and other food producers, particularly women, to earn a fair return from their labour, capital and management, and encourage conservation and sustainable management of natural resources.

**6.8** States and other stakeholders should support already existing, or the development of complementary and alternative income-generating opportunities – in addition to earnings from fisheries-related activities – for small-scale fishing communities, as required and in support of sustainable resource utilization and livelihood diversification. The role of small-scale fisheries in local economies and the links of the subsector to the wider economy need to be recognized and benefited from. Small-scale fishing communities should equitably benefit from developments such as community-based tourism and small-scale responsible aquaculture.

**6.9** All parties should create conditions for men and women of small-scale fishing communities to fish and to carry out fisheries-related activities in an environment free from crime, violence, organized crime activities, piracy, theft, sexual abuse, corruption and abuse of authority. All parties should take steps to institute measures that aim to eliminate violence and to protect women exposed to such violence in small-scale fishing communities. States should ensure access to justice for victims of inter alia violence and abuse, including within the household or community.

**6.10** States and small-scale fisheries actors, including traditional and customary authorities, should understand, recognize and respect the role of migrant fishers and fish workers in small-scale fisheries, given that migration is a common livelihood strategy in small-scale fisheries. States and small-scale fisheries actors should cooperate to create the appropriate frameworks to allow for fair and adequate integration of migrants who engage in sustainable use of fisheries resources and who do not undermine local community-based fisheries governance and development in small-scale fisheries in accordance with

national law. States should recognize the importance of coordinating among their respective national governments in regard to migration of fishers and fish workers in small-scale fisheries across national borders. Policies and management measures should be determined in consultation with small-scale fisheries organizations and institutions.

**6.11** States should recognize and address the underlying causes and consequences of transboundary movement of fishers and contribute to the understanding of transboundary issues affecting the sustainability of small-scale fisheries.

**6.12** States should address occupational health issues and unfair working conditions of all small-scale fishers and fish workers by ensuring that the necessary legislation is in place and is implemented in accordance with national legislation and international human rights standards and international instruments to which a State is a contracting party, such as the International Covenant on Economic, Social and Cultural Rights (ICESCR) and relevant conventions of the International Labour Organization (ILO). All parties should strive to ensure that occupational health and safety is an integral part of fisheries management and development initiatives.

**6.13** States should eradicate forced labour, prevent debt-bondage of women, men and children, and adopt effective measures to protect fishers and fish workers, including migrants, with a view to the complete elimination of forced labour in fisheries, including small-scale fisheries.

**6.14** States should provide and enable access to schools and education facilities that meet the needs of small-scale fishing communities and that facilitate gainful and decent employment of youth, respecting their career choices and

providing equal opportunities for all boys and girls and young men and women.

**6.15** Small-scale fisheries actors should recognize the importance of children's well-being and education for the future of the children themselves and of society at large. Children should go to school, be protected from all abuse and have all their rights respected in accordance with the Convention on the Rights of the Child.

**6.16** All parties should recognize the complexity that surrounds safety-at-sea issues (in inland and marine fisheries) and the multiple causes behind deficient safety. This applies to all fishing activities. States should ensure the development, enactment and implementation of appropriate national laws and regulations that are consistent with international guidelines of FAO, the ILO and the International Maritime Organization (IMO) for work in fishing and sea safety in small-scale fisheries<sup>3</sup>.

**6.17** States should recognize that improved sea safety, which includes occupational health and safety, in small-scale fisheries (inland and marine) will best be achieved through the development and implementation of coherent and integrated national strategies, with the active participation of the fishers themselves and with elements of regional coordination, as appropriate. In addition, safety at sea of small-scale fishers should also be integrated into the general management of fisheries. States should provide support to, among other things, maintenance of national accident reporting, provision of sea safety awareness programmes and introduction of appropriate legislation for sea safety in small-scale fisheries. The role of

existing institutions and community-based structures for increasing compliance, data collection, training and awareness, and search and rescue operations should be recognized in this process. States should promote access to information and to emergency location systems for rescue at sea for small-scale vessels.

**6.18** Taking into account the Voluntary Guidelines for the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security including section 25<sup>4</sup>, all parties should protect the human rights and dignity of small-scale fisheries stakeholders in situations of armed conflict in accordance with international humanitarian law to allow them to pursue their traditional livelihoods, to have access to customary fishing grounds and to preserve their culture and way of life. Their effective participation in decision-making on matters that impact them should be facilitated.

## 7. Value chains, post-harvest and trade

**7.1** All parties should recognize the central role that the small-scale fisheries post-harvest subsector and its actors play in the value chain. All parties should ensure that post-harvest actors are part of relevant decision-making processes, recognizing that there are sometimes unequal power relationships between value chain actors and that vulnerable and marginalized groups may require special support.

**7.2** All parties should recognize the role women often play in the post-harvest

3. These include, inter alia, the 1968 Code of Safety for Fishermen and Fishing Vessels (since revised), the 1980 FAO/ILO/IMO Voluntary Guidelines for the Design, Construction and Equipment of Small Fishing Vessels, and the 2010 Safety Recommendations for Decked Fishing Vessels of Less than 12 Metres in Length and Undecked Fishing Vessels.

4. Section 25 is entitled *Conflicts in respect to tenure of land, fisheries and forests*.

subsector and support improvements to facilitate women's participation in such work. States should ensure that amenities and services appropriate for women are available as required in order to enable women to retain and enhance their livelihoods in the post-harvest subsector.

**7.3** States should foster, provide and enable investments in appropriate infrastructures, organizational structures and capacity development to support the small-scale fisheries post-harvest subsector in producing good quality and safe fish and fishery products, for both export and domestic markets, in a responsible and sustainable manner.

**7.4** States and development partners should recognize the traditional forms of associations of fishers and fish workers and promote their adequate organizational and capacity development in all stages of the value chain in order to enhance their income and livelihood security in accordance with national legislation. Accordingly, there should be support for the setting up and the development of cooperatives, professional organizations of the small-scale fisheries sector and other organizational structures, as well as marketing mechanisms, e.g. auctions, as appropriate.

**7.5** All parties should avoid post-harvest losses and waste and seek ways to create value addition, building also on existing traditional and local cost-efficient technologies, local innovations and culturally appropriate technology transfers. Environmentally sustainable practices within an ecosystem approach should be promoted, deterring, for example, waste of inputs (water, fuelwood, etc.) in small-scale fish handling and processing.

**7.6** States should facilitate access to local, national, regional and international markets

and promote equitable and non-discriminatory trade for small-scale fisheries products. States should work together to introduce trade regulations and procedures that in particular support regional trade in products from small-scale fisheries and taking into account the agreements under the World Trade Organization (WTO), bearing in mind the rights and obligations of WTO members where appropriate.

**7.7** States should give due consideration to the impact of international trade in fish and fishery products and of vertical integration on local small-scale fishers, fish workers and their communities. States should ensure that promotion of international fish trade and export production do not adversely affect the nutritional needs of people for whom fish is critical to a nutritious diet, their health and well-being and for whom other comparable sources of food are not readily available or affordable.

**7.8** States, small-scale fisheries actors and other value chain actors should recognize that benefits from international trade should be fairly distributed. States should ensure that effective fisheries management systems are in place to prevent overexploitation driven by market demand that can threaten the sustainability of fisheries resources, food security and nutrition. Such fisheries management systems should include responsible post-harvest practices, policies and actions to enable export income to benefit small-scale fishers and others in an equitable manner throughout the value chain.

**7.9** States should adopt policies and procedures, including environmental, social and other relevant assessments, to ensure that adverse impacts by international trade on the environment, small-scale fisheries culture, livelihoods and special needs related to food

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security are equitably addressed. Consultation with concerned stakeholders should be part of these policies and procedures.

**7.10** States should enable access to all relevant market and trade information for stakeholders in the small-scale fisheries value chain. Small-scale fisheries stakeholders must be able to access timely and accurate market information to help them adjust to changing market conditions. Capacity development is also required so that all small-scale fisheries stakeholders and especially women and vulnerable and marginalized groups can adapt to, and benefit equitably from, opportunities of global market trends and local situations while minimizing any potential negative impacts.

## 8. Gender equality

**8.1** All parties should recognize that achieving gender equality requires concerted efforts by all and that gender mainstreaming should be an integral part of all small-scale fisheries development strategies. These strategies to achieve gender equality require different approaches in different cultural contexts and should challenge practices that are discriminatory against women.

**8.2** States should comply with their obligations under international human rights law and implement the relevant instruments to which they are party, including, inter alia, CEDAW, and should bear in mind the Beijing Declaration and Platform for Action. States should endeavour to secure women's equal participation in decision-making processes for policies directed towards small-scale fisheries. States should adopt specific measures to address discrimination against women, while creating spaces for CSOs, in particular for women fish workers and their organizations, to participate in monitoring their implementation. Women should be encouraged to participate

in fisheries organizations, and relevant organizational development support should be provided.

**8.3** States should establish policies and legislation to realize gender equality and, as appropriate, adapt legislation, policies and measures that are not compatible with gender equality, taking into account social, economic and cultural aspects. States should be at the forefront of implementing actions for achieving gender equality by, inter alia, recruiting both men and women as extension staff and ensuring that both men and women have equal access to extension and technical services, including legal support, related to fisheries. All parties should collaborate to develop functional evaluation systems to assess the impact of legislation, policies and actions for improving women's status and achieving gender equality.

**8.4** All parties should encourage the development of better technologies of importance and appropriate to women's work in small-scale fisheries.

## 9. Disaster risks and climate change

**9.1** States should recognize that combating climate change, including in the context of sustainable small-scale fisheries, requires urgent and ambitious action, in accordance with the objectives, principles and provisions of the United Nations Framework Convention on Climate Change (UNFCCC), taking into account the United Nations Conference on Sustainable Development (Rio+20) outcome document 'The future we want'.

**9.2** All parties should recognize and take into account the differential impact of natural and human-induced disasters and climate change on small-scale fisheries. States should develop policies and plans to address climate



change in fisheries, in particular strategies for adaptation and mitigation, where applicable, as well as for building resilience, in full and effective consultation with fishing communities including indigenous peoples, men and women, paying particular attention to vulnerable and marginalized groups. Special support should be given to small-scale fishing communities living on small islands where climate change may have particular implications for food security, nutrition, housing and livelihoods.

9.3 All parties should recognize the need for integrated and holistic approaches, including cross-sectoral collaboration, in order to address disaster risks and climate change in small-scale fisheries. States and other relevant parties should take steps to address issues such as pollution, coastal erosion and destruction of coastal habitats due to human-induced non-fisheries-related factors. Such concerns seriously undermine the livelihoods of fishing communities as well as their ability to adapt to possible impacts of climate change.

9.4 States should consider assisting and supporting small-scale fishing communities affected by climate change or natural and human-induced disasters, including through adaptation, mitigation and aid plans, where appropriate.

9.5 In case of disasters caused by humans, impacting small-scale fisheries, the responsible party should be held accountable.

9.6 All parties should take into account the impact that climate change and disasters may have on the post-harvest and trade subsector in the form of changes in fish species and quantities, fish quality and shelf-life, and implications with regard to market outlets. States should provide support to small-scale fisheries stakeholders with regard to adjustment measures in order to reduce negative impacts. When new technologies

are introduced, they need to be flexible and adaptive to future changes in species, products and markets, and climatic variability.

9.7 States should understand how emergency response and disaster preparedness are related in small-scale fisheries and apply the concept of the relief-development continuum. Longer-term development objectives need to be considered throughout the emergency sequence, including in the immediate relief phase, and rehabilitation, reconstruction and recovery should include actions to reduce vulnerabilities to potential future threats. The concept of 'building back better' should be applied in disaster response and rehabilitation.

9.8 All parties should promote the role of small-scale fisheries in efforts related to climate change and should encourage and support energy efficiency in the subsector, including the whole value chain – fishing, post-harvest, marketing and distribution.

9.9 States should consider making available to small-scale fishing communities transparent access to adaptation funds, facilities and/or culturally appropriate technologies for climate change adaptation, as appropriate.



## Part 3

# Ensuring an enabling environment and supporting implementation

### 10. Policy coherence, institutional coordination and collaboration

**10.1** States should recognize the need for and work towards policy coherence with regard to, inter alia: national legislation; international human rights law; other international instruments, including those related to indigenous peoples; economic development policies; energy, education, health and rural policies; environmental protection; food security and nutrition policies; labour and employment policies; trade policies; disaster risk management (DRM) and climate change adaptation (CCA) policies; fisheries access arrangements; and other fisheries sector policies, plans, actions and investments in order to promote holistic development in small-scale fishing communities. Special attention should be paid to ensuring gender equity and equality.

**10.2** States should, as appropriate, develop and use spatial planning approaches, including inland and marine spatial planning, which take due account of the small-scale fisheries interests and role in integrated coastal zone management. Through consultation, participation and publicizing, gender-sensitive policies and laws on regulated spatial planning should be developed as appropriate. Where appropriate, formal planning systems should consider methods of planning and territorial development used by small-scale fishing and other communities with customary tenure systems, and decision-making processes within those communities.

**10.3** States should adopt specific policy measures to ensure the harmonization of policies affecting the health of marine and inland

waterbodies and ecosystems and to ensure that fisheries, agriculture and other natural-resource policies collectively enhance the interrelated livelihoods derived from these sectors.

**10.4** States should ensure that fisheries policy provides a long-term vision for sustainable small-scale fisheries and the eradication of hunger and poverty, using an ecosystem approach. The overall policy framework for fisheries should be coherent with the long-term vision and policy framework for small-scale fisheries and human rights, paying particular attention to vulnerable and marginalized people.

**10.5** States should establish and promote the institutional structures and linkages – including local–national–regional–global linkages and networks – necessary for achieving policy coherence, cross-sectoral collaboration and the implementation of holistic and inclusive ecosystem approaches in the fisheries sector. At the same time, there is a need for clear responsibilities and there should be well-defined points of contact in government authorities and agencies for small-scale fishing communities.

**10.6** Small-scale fisheries stakeholders should promote collaboration among their professional associations, including fisheries cooperatives and CSOs. They should establish networks and platforms for the exchange of experiences and information and to facilitate their involvement in policy- and decision-making processes relevant to small-scale fishing communities.

**10.7** States should recognize, and promote as appropriate, that local governance structures may contribute to an effective management of small-scale fisheries, taking into account the

ecosystem approach and in accordance with national law.

**10.8** States should promote enhanced international, regional and subregional cooperation in securing sustainable small-scale fisheries. States, as well as international, regional and subregional organizations, as appropriate, should support capacity development to enhance the understanding of small-scale fisheries and assist the subsector in matters that require subregional, regional or international collaboration, including appropriate and mutually agreed technology transfer.

## **11. Information, research and communication**

**11.1** States should establish systems of collecting fisheries data, including bioecological, social, cultural and economic data relevant for decision-making on sustainable management of small-scale fisheries with a view to ensuring sustainability of ecosystems, including fish stocks, in a transparent manner. Efforts should be made to also produce gender-disaggregated data in official statistics, as well as data allowing for an improved understanding and visibility of the importance of small-scale fisheries and its different components, including socio-economic aspects.

**11.2** All stakeholders and small-scale fisheries communities should recognize the importance of communication and information, which are necessary for effective decision-making.

**11.3** States should endeavour to prevent corruption, particularly through increasing transparency, holding decision-makers accountable, and ensuring that impartial decisions are delivered promptly and through appropriate participation and communication with small-scale fishing communities.

**11.4** All parties should recognize small-scale fishing communities as holders, providers and receivers of knowledge. It is particularly important to understand the need for access to appropriate information by small-scale fishing communities and their organizations in order to help them cope with existing problems and empower them to improve their livelihoods. These information requirements depend on current issues facing communities and concern the biological, legal, economic, social and cultural aspects of fisheries and livelihoods.

**11.5** States should ensure that the information necessary for responsible small-scale fisheries and sustainable development is available, including on illegal, unreported and unregulated (IUU) fishing. It should relate to, inter alia, disaster risks, climate change, livelihoods and food security with particular attention to the situation of vulnerable and marginalized groups. Information systems with low data requirements should be developed for data-poor situations.

**11.6** All parties should ensure that the knowledge, culture, traditions and practices of small-scale fishing communities, including indigenous peoples, are recognized and, as appropriate, supported, and that they inform responsible local governance and sustainable development processes. The specific knowledge of women fishers and fish workers must be recognized and supported. States should investigate and document traditional fisheries knowledge and technologies in order to assess their application to sustainable fisheries conservation, management and development.

**11.7** States and other relevant parties should provide support to small-scale fishing communities, in particular to indigenous peoples, women and those that rely on fishing for subsistence, including, as appropriate, the technical and financial assistance to organize, maintain, exchange and improve traditional

knowledge of aquatic living resources and fishing techniques, and upgrade knowledge on aquatic ecosystems.

**11.8** All parties should promote the availability, flow and exchange of information, including on aquatic transboundary resources, through the establishment or use of appropriate existing platforms and networks at community, national, subregional and regional level, including both horizontal and vertical two-way information flows. Taking into account the social and cultural dimensions, appropriate approaches, tools and media should be used for communication with and capacity development for small-scale fishing communities.

**11.9** States and other parties should, to the extent possible, ensure that funds are available for small-scale fisheries research, and collaborative and participatory data collection, analyses and research should be encouraged. States and other parties should endeavour to integrate this research knowledge into their decision-making processes. Research organizations and institutions should support capacity development to allow small-scale fishing communities to participate in research and in the utilization of research findings. Research priorities should be agreed upon through a consultative process focusing on the role of small-scale fisheries in sustainable resource utilization, food security and nutrition, poverty eradication, and equitable development, including also DRM and CCA considerations.

**11.10** States and other relevant parties should promote research into the conditions of work, including those of migrant fishers and fish workers, and inter alia health, education, decision-making, in the context of gender relations, in order to inform strategies for ensuring equitable benefits for men and women in fisheries. Efforts to mainstream gender should include the use of gender

analysis in the design phase of policies, programmes and projects for small-scale fisheries in order to design gender-sensitive interventions. Gender-sensitive indicators should be used to monitor and address gender inequalities and to capture how interventions have contributed towards social change.

**11.11** Recognizing the role of small-scale fisheries in seafood production. States and other parties should promote the consumption of fish and fishery products within consumer education programmes in order to increase awareness of the nutritional benefits of eating fish and impart knowledge on how to assess fish and fishery product quality.

## 12. Capacity development

**12.1** States and other parties should enhance the capacity of small-scale fishing communities in order to enable them to participate in decision-making processes. To this effect, it should be ensured that the range and diversity of the small-scale fisheries subsector along the entire value chain is appropriately represented through the creation of legitimate, democratic and representative structures. Specific attention should be paid to the need to work towards the equitable participation of women in such structures. Where appropriate and necessary, separate spaces and mechanisms should be provided to enable women to organize autonomously at various levels on issues of particular relevance to them.

**12.2** States and other stakeholders should provide capacity building, for example through development programmes, to allow small-scale fisheries to benefit from market opportunities.

**12.3** All parties should recognize that capacity development should build on existing knowledge and skills and be a two-way process of knowledge transfer, providing for flexible and suitable learning pathways to meet the needs of

individuals, including both men and women and vulnerable and marginalized groups. Moreover, capacity development should include building the resilience and adaptive capacity of small-scale fishing communities in relation to DRM and CCA.

**12.4** Government authorities and agencies at all levels should work to develop knowledge and skills to support sustainable small-scale fisheries development and successful co-management arrangements, as appropriate. Particular attention should be given to decentralized and local government structures directly involved in governance and development processes together with small-scale fishing communities, including the area of research.

### **13. Implementation support and monitoring**

**13.1** All parties are encouraged to implement these Guidelines in accordance with national priorities and circumstances.

**13.2** States and all other parties should promote aid effectiveness and responsible use of financial resources. Development partners, specialized Agencies of the United Nations, and regional organizations are encouraged to support voluntary efforts by States to implement these Guidelines, including through South–South cooperation. Such support could include technical cooperation, financial assistance, institutional capacity development, knowledge sharing and exchange of experiences, assistance in developing national small-scale fisheries policies and transfer of technology.

**13.3** States and all other parties should work together to create awareness of the Guidelines, also by disseminating simplified and translated versions for the benefit of those working in small-scale fisheries. States and

all other parties should develop a specific set of materials on gender to secure the effective dissemination of information on gender and women's role in small-scale fisheries and to highlight steps that need to be taken to improve women's status and their work.

**13.4** States should recognize the importance of monitoring systems that allow their institutions to assess progress towards implementation of the objectives and recommendations in these Guidelines. Assessments of the impact on the enjoyment of the progressive realization of the right to adequate food in the context of national food security and on poverty eradication should be included. Mechanisms allowing the results of monitoring to feed back into policy formulation and implementation should be included. Gender should be taken into consideration in monitoring by using gender-sensitive approaches, indicators and data. States and all parties should elaborate participatory assessment methodologies that allow a better understanding and documentation of the true contribution of small-scale fisheries to sustainable resource management for food security and poverty eradication including both men and women.

**13.5** States should facilitate the formation of national-level platforms, with cross-sectoral representation and with strong representation of CSOs, to oversee implementation of the Guidelines, as appropriate. Legitimate representatives of small-scale fishing communities should be involved both in the development and application of implementation strategies for the Guidelines and in monitoring.

**13.6** FAO should promote and support the development of a Global Assistance Programme, with regional plans of action to support the implementation of these Guidelines.

These Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication have been developed as a complement to the 1995 FAO Code of Conduct for Responsible Fisheries (the Code). They were developed to provide complementary guidance with respect to small-scale fisheries in support of the overall principles and provisions of the Code. Accordingly, the Guidelines are intended to support the visibility, recognition and enhancement of the already important role of small-scale fisheries and to contribute to global and national efforts towards the eradication of hunger and poverty. The Guidelines support responsible fisheries and sustainable social and economic development for the benefit of current and future generations, with an emphasis on small-scale fishers and fish workers and related activities and including vulnerable and marginalized people, promoting a human rights-based approach.

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## Appendix B – Interview Guide

### *Interview with the FAO*

- Tell us about your background and what is your formal title?
- What work tasks/projects are you working with at the moment?
- As you know we are interested in the FAO policy SSF guidelines. What are the FAO biggest strengths according to you in the matter?
- Also on a more general note, what are the biggest qualities of the FAO?
- About the SSF guidelines, we wanted to know how these are presented internationally, and how the information reaches the NGOs, public institutions etc.
- About the SSF guidelines, is there some kind of record, listing of all the states that are willing to address the guidelines?
- Is there some system or record for gathering all the efforts that the states make in the strive toward complying with the guidelines?
- Is there a formal evaluation process to estimate the efforts and the progress on the SSF guidelines?
- What are the biggest challenges with implementing a global policy?
- As we have understood, the implementation of the Guidelines is a matter concerning the fishing communities, and in Chile there seems to be a big interest from the community to understand and implement the Guidelines. Is that the general case? Do you find it harder to engage the communities in some places? Why do you think this is happening?
- And also challenges with gathering all the information of all member states?
- FAOs part in implementing the guidelines; how does it work? With whom are you working with? How do you know that the state or system delivers the result that the guidelines strives towards?
- What is the role of the FAO regional office in Panama?
- We have been informed that you organised a workshop regarding the Guidelines in 2015, can you tell us a bit more about that, what you did and what was the aim?
- What are the keys to find a successful implementation when it comes to sustainable small-scale fisheries?
- How do we get the small-scale fishing community to be interested in sustainable development?



- How do you, from a global level, engage enthusiasm at the local level?
- How do you work with spreading the information?
- What kind of fisheries do you target?

## **Gender Equality**

About the gender equality section of the SSF guidelines:

- What concrete methods or strategies are you using to achieve gender equality?
- How do you measure gender equality in practice?
- We noticed that you are incorporating gender equality in many of your different fields, again how do you put the ambition to practice?
- What is your goal with implementing this section of the SSF guidelines? (the aim of gender equality)
- Why do you think the gender equality policy is not always a priority within the fishing environment?
- The guidelines are very useful to know what direction the field or discipline should work towards. Do you also help with concrete measures or programs for action or other practical help to implement these changes?