CASE STUDY OVERVIEW

**OBJECTIVES OF THE TEMPLATE**

The purpose of this template is to provide guidance on how to use the information you provided in the questionnaire in writing your case study paper. Assuming that all case study writers follow this template, all the case study papers submitted for the conference proceedings will be comparable and allow us to have a better understanding of what types of tenure and rights-based approaches are most appropriate, why, where and how.

Each case study paper should:

* Provide an overview of a selected fishery and its management;
* Evaluate how a rights based approach is contributing to the long-term sustainable use of the resource, the economic viability of the fishery and the achievement of a socially equitable fishery;
* Provide information that is relevant to at least one of the eight themes of the conference;
* Identify challenges, lessons learned and best practices for implementing rights based approaches to fisheries management; and
* Suggest next steps for improving the contribution of the rights based approaches to achieving sustainability goals.

The conference themes include history and experiences with: (1) **customary tenure rights** and **indigenous peoples’ tenure rights** in fisheries, (2) **open access** fisheries, (3) limited access fisheries: **input controls** (licenses, IEs, TURFs), (4) limited access fisheries: **output controls** (Total Allowable Catch, Individual Quotas, Community Development Quotas, Catch Shares, Quota Management System), (5) the **post-harvest** sector, (6) **competing fisheries stakeholders** (migratory fishing, industrial and small-scale fisheries, national, regional, international issues), (7) **multiple use in coastal zone** management and rights (aquaculture, marine protected areas, tourism, etc.), and (8) **social aspects** of tenure and user rights in fisheries (human rights, right to food, gender, indigenous peoples, youth).

During the conference, the authors will present their case study papers during one of the conference’s concurrent sessions.

**DEADLINE AND SUBMISSION**

We ask that you to submit a digital version of the case study paper and any relevant supporting information to the UserRights 2018 Secretariat on or before **1 September 2018**. Please submit your case study paper by e-mail to: [UserRights-2018@fao.org](mailto:UserRights-2018@fao.org).

CASE STUDY TEMPLATE

**AUTHOR INFORMATION**

Please include the following information at the beginning of your paper.

* Title
* Author names and affiliations
* Contact information for author correspondence
* Acknowledgements (including funding sources, if any)
* Abstract (maximum 300 words). This can be the same as or a modified version of the abstract you initially submitted for the conference.

We would like you to write a case study paper based on the fishery that you used for responding to the “Questionnaire on Tenure and Rights in Capture Fisheries” using the general outline below and the specific outline presented on the next few pages.

In total, the case study should not exceed 6000 words (excluding references).

**Please contact Juan Lechuga Sanchez at** [**UserRights-2018@fao.org**](mailto:UserRights-2018@fao.org) **for questions or more information.**

**CASE STUDY CONTENTS**

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| --- | --- |
| Section | Expected Contents |
| Introduction | An overview of the fishery: the fishery resource, fishing activity and its socio-economic importance, stakeholders. |
| Management of the fishery and rights-based approach | An in-depth description management of the fishery, the type of rights-based approach to fishery management that exists for the fishery, as well as allocation mechanisms and characteristics of the user rights. |
| Contribution of the rights-based approach to fishery management in achieving sustainability | An evaluation of the impact of the rights-based approach on the sustainability of fishery resource, economic viability of the fishing activity, and social equality. |
| Main challenges and way forward | Personal opinion about what should be changed in the rights based system for helping to achieve ecological, economic, and social sustainability. |

The case study should follow the outline below. Details on the specifics of what should be included in each section are described starting on the next page.

The specific outline presented on the following pages should be used as it follows:

* Please maintain the numbered sections and headings provided in the outline.
* Use the instructions provided under each section heading as a guide.
* Please delete the instructions (in *italics* under each heading) given under each section heading once you have written your paper.
* The contents of each section, especially in Section 3 (Contribution of the rights-based approach to achieving sustainability), will depend on the specific biological, social, economic and institutional context of your fishery.
* When writing your case study, please expand on your answers to the questionnaire so that we can draw comparisons with other case studies. We have included references to relevant questions of the questionnaire to assist you when writing each section.
* Throughout your case study paper, please include any additional information that you think is relevant to your selected fishery.
* Throughout your case study paper, please provide information relevant to the conference theme(s) on which you are focusing.

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# Introduction

## 1.1 Description of the fishery

This section aims to give a description of the fishery indicating where fishing takes place, what the target species are, and who fishes, when, and how. Please also describe the presence of conflicts between participants of the fishery, and between participants of the fishery and other fisheries or sectors. When describing the geographical location and communities involved in the fishery, it would be most appreciated if you can use maps and the geographic coordinates (i.e., latitude and longitude) of the fishing grounds. This can help to show the fishing area, where there may be marine protected areas, other local communities involved in the fishery and ports/landing sites. Please include the following information from the questionnaire:

* ***Fishery: Question 1***
* ***Geographical location and ecosystem of the fishery: Questions 2, 3***
* ***Target species and status: Questions 4, 5***
* ***Communities/ports/landing sites/countries involved: Questions 10, 11, 12, 18, 42***
* ***Fishing gear and fleet characteristics (including ownership): Questions 22, 23, 24, 25, 26, 27, 28, 29***
* ***Fishing trips : Questions 19, 20***
* *Conflicts: Competition over the fishery resource and over the fishing ground (between sectors): Questions 79, 79/a, 80*
* ***Hazardous events affecting the fishery : Questions 83, 84***

## 1.2 Economic contribution and social implications of the fishing activity

*This section aims to describe the economic importance and social role of the fishery for local communities and fishing fleets. Please elaborate on where the catch is bought/sold/traded, how it is used (human or non-human consumption), the level of employment that it generates at local level, the dependence of the fishers on the fishery, and non-fishing livelihoods available. Please include* the following information from the questionnaire*:*

* *Markets/destination of the catch and product form: Questions 7, 8, 9*
* *Employment, income and reliance on the fishery: Questions 13,14, 15, 16, 17, 21*

# Management of the fishery and rights-based approach

*In this section, if more of one group/community/fleet target the resource, please describe how the rights are distributed between groups/communities/fleets.*

## 2.1 Management of the fishery

*This section is intended to provide an overview of the management system of the fishery, describing who is responsible for managing the fishery, who participates in making and enforcing the rules and if the rules are efficiently enforced. If available, please describe the management plan for the fishery, the frequency and quality of data collection and stock assessment done in support of management, and how allowable catch is determined each year. If the fishery is faced with multiple other uses in the same area, for example marine protected areas, tourism or aquaculture, please provide text that explicitly describes those other uses and how they affect the fishery. Please include* the following information from the questionnaire*:*

* *Management authorities and management system: Questions 30, 31, 32*
* *Input into management : Questions 33, 34*
* *Management measures: Questions 35, 36, 37*
* *Monitoring and enforcement: Questions 73, 74, 75, 76*
* *Conflict resolution : Questions 81, 82*

## 2.2 Brief history of the former rights-based approaches used in the fishery

*In this section, please describe any previous rights based management systems that have been used in this fishery. Please include the reasons why the management system was shifted to the current rights system.*

*Please note that, if no rights based management systems other than the current system have been used, it is not necessary to include this section in the case study.*

## 2.3 Rights-based approach: allocation and characteristics

*This section aims to describe the current rights based approach used in the fishery. Please elaborate on how all forms of user rights were allocated, the criteria used for allocating the rights, how long the rights are valid and, in case of the user right being transferable, the limits on who can hold, receive or own the user right. This should include both legally recognized and customary rights that are allocated to the harvest sector (e.g., individual fishers, vessels, communities) and the post-harvest sector (e.g., fish processors). Please include* the following information from the questionnaire*:*

* *Current rights based approach: Questions 38, 39, 40 (in case of legally recognized fishing rights) ; Question 38, 51 (in case of customary fishing right)*
* *Allocation mechanisms and criteria: Questions 41, 44, 45, 46 (in case of legally recognized fishing rights); Questions 52, 54, 55, 55/a, 57 (in case of customary fishing right)*
* *Duration of rights: Question 47 (in case of legally recognized fishing rights); Question 56 (in case of customary fishing right)*
* *Transferability of the rights: Questions 48, 48/a, 50 (in case of legally recognized fishing rights); Questions 58, 60 (in case of customary fishing right)*
* *Limitations: Question 42, 43, 49 (in case of legally recognized fishing rights); Question 53, 59 (in case of customary fishing right)*
* *Reallocation of rights delivery after a hazardous event: Questions 77, 78*

# Contribution of the rights-based approach to achieving sustainability

*This section seeks to understand the impact of the distribution of right over the three pillars of sustainability. Please include at least sections 3.1, 3.2 and 3.3 described below, although you many modify the order, focus and content of this section depending on the conference theme(s) relevant to the case study and the context of the fishery.*

*For example, if the focus of your case study is the interaction between small-scale fisheries and large scale fisheries, you should focus on the nature of those interactions, social equality in the fishery, and the nature of conflicts between large scale and small-scale fisheries (competing over the same resource or not) and its biological, social and economic effects. Similarly, if your case study includes post-harvest fisheries rights, you may include text on how post-harvest rights contribute to the sustainability of the fishery.*

## 3.1 Sustainable use of the resources

*This section aims to identify if the rights-based approach and the allocation of rights are helping to achieve the sustainable use of the fishery resource, not just by limiting access and/or catch to sustainable levels, but also by promoting a sustainable behavior by fishers. A discussion should be provided to assess the evolution of the biological status of the resource since the rights based approach was implemented. Please include* the following information from the questionnaire*:*

* *Target species characteristics : Question 61*
* *Stock assessment: Questions 6, 6/a*

## 3.2 Economic viability of the fishery

*This section aims to evaluate the economic effects of the rights-based approach on the fleet and/or local fishing communities. This section should provide insight on problems with overcapacity in the fishery and whether fishing rights have reduced overcapacity or allowed the fishery to avoid other problems. In addition, a discussion should be provided on whether the rights based system has induced concentration of fishing rights and how, and how the rights based system has affected the fleet, gear, and employment in the fishery. Please include* the following information from the questionnaire*:*

* *Evolution of the fishing effort and fishing capacity: Questions 63, 64, 65, 66, 67, 68*
* *Concentration of ownership: Question 69, 70, 71*
* *Evolution of employment: Question 62*

## 3.3 Social equality

*This section aims to evaluate the social impact of the fishing rights and whether those rights have helped promote social equality and human rights, including right to food. This section should provide insight into the social impact of rights concentration (if any); whether the allocation of rights has ensured gender equality; whether the allocation of rights has ensured and respected indigenous rights to access the resource; whether the allocation of rights has ensure the access of new generation of fishers to the resource; how the presence of conflict has changed since rights were allocated; and how the rights-based system has helped reallocate rights or distribute aid to fishery participants in the event of a hazardous event (e.g., earthquake, hurricane, etc.). Please include* the following information from the questionnaire*:*

* *Concentration of ownership and it’s social impact: Question 72*
* *Equitable access to the resource (inequities regarding gender, future generations, indigenous and ethnic groups): Question 45 (in case of legally recognized fishing rights); Question 57 (in case of customary fishing right)*
* *Identification of rights holders for reallocation or aid provision: Question 85*

# Main challenges and way forward

## 4.1 Challenges for the fishery

*The aim of this section is to discuss the challenges that this fishery as a whole ‑ including fishers, processors, post-harvest stakeholders, managers, and others ‑ has faced during the development and implementation of the current management and rights based approach. If the fishery is not managed by a rights based approach, please discuss the challenges that the fishery and its participants have faced over the last 10 years. Please discuss any challenges that the fishery has with illegal, unregulated and underreported (IUU) fishing activity.*

*Please also discuss existing challenges between competing fisheries stakeholders, including small- and large scale fishers, migratory fishers, as well as national, regional and international issues that are relevant to the fishery.*

*If this fishery has experienced conflicts between small-scale and large-scale fishers, please describe those interactions. These conflicts may exist between small- and large-scale participants within this fishery or between this fishery’s participants and fishers in another fishery. Please include descriptions of the following, where applicable:*

* *What types of interactions between small- and large-scale fishers exist?*
* *What types of conflicts exist between small- and large-scale fishers? If there are no conflicts, please describe the nature of the positive relationships between these two types of fishers and the benefits of that relationship for this fishery.*
* *What is the cause of the conflict(s)?*
* *What challenges has this conflict(s) created for the fishery?*
* *Has the introduction of a rights-based management system improved the conflict(s) or introduced new conflict between small- and large-scale fishers?*
* *Have hazardous events affected small-scale and large-scale fishers differently?*

## 4.2 Improving fishery sustainability in the future

*The aim of this section is to provide your personal opinion about what, if anything, could be changed or improved in the management of this fishery in order to increase the fishery’s sustainability, including the long term sustainable use of the fisheries resources, economic viability of the fishery, and social equitability.*