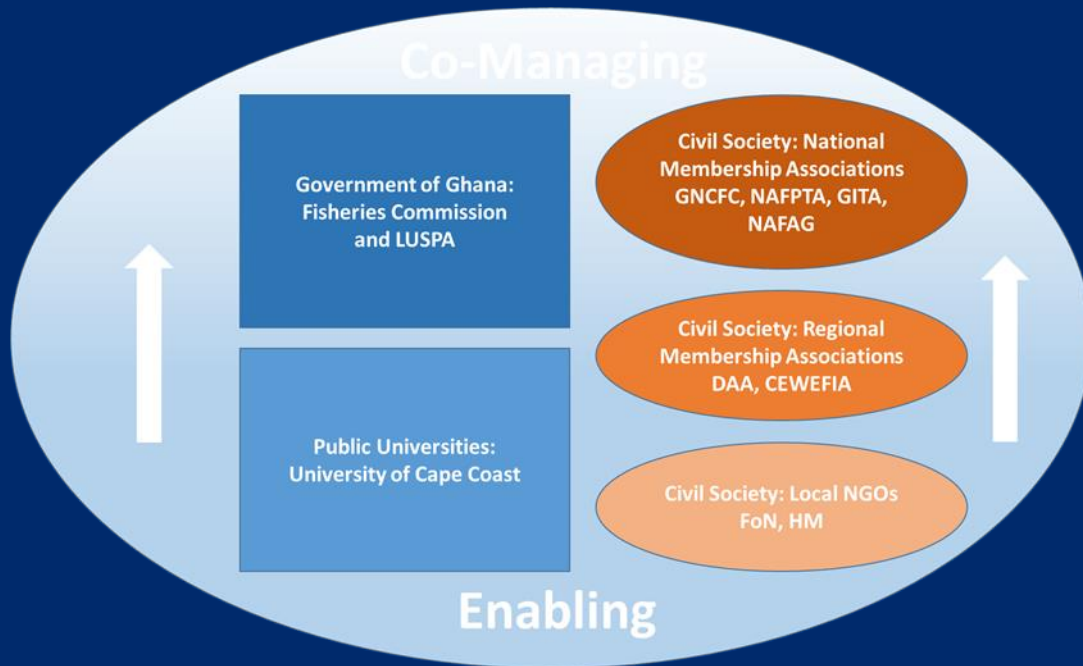




## SUSTAINABLE FISHERIES MANAGEMENT PROJECT (SFMP)

### CSO and GOG Organizational Capacity Development Outcomes Qualitative Snapshot



AUGUST, 2018



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**Cover graphic:** Organizations supported by the SFMP Organizational Capacity Development Component (Credit: Kent)

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Resonance Global: <https://resonanceglobal.com/>  
SNV: <http://www.snvworld.org/en/countries/ghana>

## ACRONYMS

CEWEFIA	Central and Western Region Fishmongers Improvement Association
CLaT	Child Labor and Trafficking
CRC	Coastal Resources Center at the University of Rhode Island
DAA	Development Action Association
DAASGIFT	Daasgift Quality Foundation
DFAS	Department of Fisheries and Aquatic Sciences (UCC)
DOPA	Densu Oyster Pickers Association
FAO	Food and Agriculture Organization
FC	Fisheries Commission
FEU	Fisheries Enforcement Unit
FON	Friends of Nation
HM	Hen Mpoano
ICFG	Integrated Coastal and Fisheries Governance
IR	Intermediate Results
IUU	Illegal, Unreported, and Unregulated (Fishing)
GNCFC	Ghana National Canoe Fishermen’s Council
GSO	Graduate School of Oceanography, University of Rhode Island
M&E	Monitoring and Evaluation
MSMEs	Micro, Small and Medium Scale Enterprises
MoFAD	Ministry of Fisheries and Aquaculture Development
NAFPTA	National Fish Processors and Traders Association
OCA	Organizational Capacity Assessment
PHU	Post-Harvest Unit of the Fisheries Commission
SFMP	Sustainable Fisheries Management Program
SNV	Netherlands Development Organization
SSG	SSG Advisors
UCC	University of Cape Coast
URI	University of Rhode Island
USAID	United States Agency for International Development
VSLA	Village Savings and Loans Association
USG	United State Government

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## **EXECUTIVE SUMMARY**

The objective of the USAID/Ghana Sustainable Fisheries Management Project (SFMP), a five-year project (October 2014 - October 2019), is to rebuild marine fisheries stocks and catches through adoption of responsible fishing practices. The success and the sustainability of fisheries management results supported by SFMP in Ghana depend on the engagement and the capacity of stakeholder institutions over time. Organizational Capacity Development (OCD) of government, public university, and civil society organizations in the fisheries sector is, thus, an important cross cutting result area of SFMP. The project's organizational capacity assessment (OCA) and OCD initiatives supports 9 Government of Ghana (GOG) and Public University units as well as 8 civil society organizations (CSOs). The CSOs are comprised of 4 local NGOs and regional membership associations, who are SFMP's implementing partners/sub-awardees, and 4 national membership associations.

This is a report of a rapid assessment conducted outside the regular cycle of baseline, mid-term and final OCAs with a different focus and methodology. It is intended to provide a brief consolidated qualitative snapshot of organizational capacity development outcomes achieved to date for the key categories of CSO, GOG, and public university partners as a result of USAID/SFMP support, and their significance. It highlights how these categories of organizations have demonstrated and applied improved capacity/competencies and remaining challenges. Based on Key Informant Interviews, it also provides observations on how effective the SFMP strategy to invest in capacity development for each of these categories has been as a contribution to the overall Theory of Change (TOC), project goal and objectives. Key points are summarized as follows:

### **For Civil Society Local NGOs and Regional Membership Associations**

Local NGO and regional membership association implementing partners of SFMP have increased their organizational capacity and demonstrated their value added for sustainable fisheries management as a result of SFMP support. This has created a more robust local NGO and regional membership association civil society presence in the fisheries sector that was lacking prior to SFMP and has the potential to replicate and sustain achievements.

#### **Results for Sustainable Fisheries Management:**

- The first local participatory Fisheries Co-Management Plans in Ghana with delegated use rights to legally recognized community-based co-management institutions have been developed, are recognized by stakeholders at all levels, and are being implemented as MOFAD approval and codification is pending.
- The fisheries sector Anti-Child Labor and Trafficking Strategy developed with the support of SFMP was approved by the Minister of MOFAD in July 2018 as stakeholders in the Central Region, at the district and community level, are organizing and taking action to support and reduce risk for vulnerable communities and households.

#### **Challenges:**

- Financial sustainability through service provision business models and diversified project and donor portfolios remains a challenge.
- Relationships with national membership associations in the fisheries sector, such as the GNCFC and NAFPTA, are sometimes perceived as competitive and opportunities for synergy may be lost.

## **For Civil Society National Membership Associations**

National membership associations have an increased understanding of their potential as leaders of sustainable fisheries management in Ghana and of strategic approaches for achieving that goal. At the same time, the OCA process and capacity development support provided by SFMP gave them an understanding of the significant gaps that exist between their organizational reality and the vision of a well-managed, transparent and accountable national association that represents its' constituents.

### **Results for Sustainable Fisheries Management:**

- Among the national membership associations and MOFAD/FC there is general agreement on the urgency and the need for concerted actions to sustainably manage Ghana's small pelagic fisheries and that a priority action should be a closed season of at least one month for both artisanal and industrial fisheries in Ghana's entire EEZ.
- The role of women in sustainable fisheries management is better understood and broadly acknowledged by men and women in government and civil society and women's influence has increased.

### **Challenges:**

- The nascent status and critical gaps in organizational capacity of national associations constitutes a challenge to sustaining and building on progress achieved towards sustainable management of the small pelagic fishery realized to date in the artisanal sector.
- The contentious relationship between the GNCFC and MOFAD was demonstrated to be among the most significant barriers to progress on implementing urgently needed fisheries management measures.
- Leadership in pro-actively developing opportunities to address the economic hardship members face in implementing sustainable management measures in the small pelagic fishery is an important yet under-realized role for the national membership associations.

## **For Government of Ghana Fisheries Commission**

For the first time in Ghana, MOFAD announced a significant management measure for the small pelagic fishery including the artisanal sector (a one-month closure in Ghana's entire EEZ for August 2018.) Although ultimately rescinded, attitudes in the Fisheries Commission have shifted based on a deeper understanding of the mutual interest of government and civil society to ensure that strong, transparent and accountable national civil society membership organizations representing artisanal fishermen participate in decision-making to achieve sustainable management of the resource.

### **Results for Sustainable Fisheries Management:**

- A growing scientific evidence base is widely accepted as the foundation for dialogue and decision-making on sustainable fisheries management approaches and measures.
- The FC is promoting the Ahotor Oven developed with SFMP support, in addition to a Class I certification scheme for artisanal processing units. These initiatives provide high quality healthy processed fish products to the Ghanaian market, health and economic benefits for artisanal processors, and environmental benefits for coastal communities and society at large.

**Challenges:**

- FC organizational restructuring and functionality improvements anticipated since the beginning of SFMP and expected to be implemented in the context of the WB-WARFP support have still not materialized. This is perceived to be one of the key barriers to the ability of the FC to function in a more effective policy development and implementation role.
- A management measure for the small pelagic fishery that includes the artisanal sector and has the potential to have a significant impact on reversing the downward trend in the status of the stock remains to be implemented. Artisanal canoe fisheries remain open access and input subsidies are in effect incentivizing overexploitation.
- Important enabling conditions for sustainability of quality fisheries data collection, analysis and application in fisheries management decision-making are not yet secured.
- Prosecution of illegal practices is still perceived to lack transparency and effective punishment of offenders.
- Achievements towards a critical mass of early adopters of the Ahotor oven by fish processors for improved availability of quality, healthy, and hygienic processed product on the Ghanaian market and for health, environmental and economic benefits at the production level are recent and not yet sufficient to catalyze widespread adoption.

**For Public Universities: UCC**

UCC's DFAS and CCM are actively contributing to higher quality development and implementation of sustainable fisheries management planning through their expanded role as a non-partisan stakeholder providing evidence-based research, advisory support, communications and outreach, and educating qualified professionals and increasing gender equity for the workforce in various disciplines that serve the sector and its' institutions.

**Results for Sustainable Fisheries Management:**

- UCC's organizational capacity contributes directly to three of SFMP's four Intermediate Results: Strengthened information systems and science-informed decision-making; Increased constituencies that provide the political and public support needed to rebuild fish stocks, and; Implementation of applied management initiatives for several targeted fisheries ecosystems.
- Of a total of 5 graduate level degree candidates from Ghana in advanced degree programs at URI funded by SFMP (4 female Masters and 1 male PhD), 3 have graduated with their Master's degree. One is employed with the FC/FSSD and two others from UCC are expected to graduate in 2019.
- The researcher/resource user divide is reducing.

**Challenges:**

- Sustainability plans for the CCM non-degree training programs and GIS services based on fee for service models have not yet been put into practice to test their feasibility.
- Plans for sustainable financing to continue and expand CCM's outreach and extension capacity have been developed, but not yet implemented.
- Equity among DFAS faculty is weak. There are no current female faculty and three new recruits all are male. Three of 6 final candidates for research assistants are female.
- A relatively low number of students in general in Ghana are choosing the natural and biological sciences as Business and IT degree programs are increasing in popularity.



## **For Government of Ghana LUSPA (Land Use and Spatial Planning Authority)**

Coastal resilience and fisheries are better understood by technicians and decision-makers in the Western and Central Region LUSPAs, local authorities, and the general public and are better integrated into land use planning. This has manifested in the permitting process.

Results for Sustainable Fisheries Management:

- Coastal resiliency increased through better placement and planning.

### **Challenges:**

- The business plan for the CR LUSPA GIS training center supported by SFMP is not likely to be feasible as originally planned on a fee basis, but the facility is being well utilized by LUSPA and other agencies.
- Gender equity within the LUSPA is weak.

## **Lessons Learned and Future Perspectives for Organizational Capacity Development**

- The project did not invest enough in national membership associations and should have included them sooner.
- Fisheries Co-Management Institutions delegated use rights and management responsibilities in current or future co-management plans, whether local or national should be prioritized in future capacity development initiatives.
- Supporting multiple organizations of a similar type in an organizational capacity development initiative can create a community of practice and promote learning, adapting and sharing peer to peer for more effective and sustainable progress.
- Supporting Fisheries Commission capacity to implement effort control measures, including a closed season covering the artisanal fishery, managed access, and removing or re-aligning subsidies should be a top priority for the remaining years of SFMP and other current or future projects in the sector.
- Development, implementation and analysis of viable business plans and sustainable financing mechanisms for both government and civil society initiatives supported by SFMP requires more time and technical assistance.

## **SECTION 1: INTRODUCTION**

### **1.1 The Sustainable Fisheries Management Project**

The objective of the USAID/Ghana Sustainable Fisheries Management Project (SFMP), a five-year project (October 2014 - October 2019), is to rebuild marine fisheries stocks and catches through adoption of responsible fishing practices. The project contributes to the Government of Ghana's fisheries development objectives and the US Government's Feed the Future Initiative. Working closely with the Ministry of Fisheries and Aquaculture Development (MOFAD) and the Fisheries Commission (FC), USAID/Ghana SFMP aims to end overfishing of key stocks important to local food security through achievement of the following intermediate results, with the cross-cutting themes of gender, public private partnerships and capacity development of targeted organizations:

- Improved legal enabling conditions for co-management, use rights and effort-reduction strategies.
- Strengthened information systems and science-informed decision-making.
- Increased constituencies that provide the political and public support needed to rebuild fish stocks.
- Implementation of applied management initiatives for several targeted fisheries ecosystems.

### **1.2 Organizational Capacity Development**

Organizational Capacity Development (OCD) of government, public university, and civil society organizations in the fisheries sector is an important cross cutting result area of SFMP.<sup>1</sup> The success and the sustainability of fisheries management results supported by SFMP in Ghana depend on the engagement and the capacity of stakeholder institutions over time. Organizational needs evolve continuously, thus SFMP intends to facilitate organizational strengthening. The objective of the capacity development initiative is to facilitate and support capacity development of key local partner organizations:

- for effective implementation and sustainability of the fisheries sector results SFMP supports.
- to improve the quality and sustainability of the services local organizations provide to their constituencies
- in the case of civil society organizations (CSOs), to better position them to be ready and capable of receiving direct funding from USAID and other donors.

The custom indicator tracked for this crosscutting result area is the, "Number of institutions with improved capacity to develop and implement managed access fisheries management plans." This effort currently includes 8 CSOs and 9 Government of Ghana (GOG) and Public University units.

The CSOs are:

Local NGOs (SFMP Implementing Partners/Sub-awardees):

- Hen Mpoano (HM)<sup>2</sup>

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<sup>2</sup> SFMP IR 7.

- Friends of the Nation (FoN)

Regional Membership Associations (SFMP Implementing Partners/Sub-awardees):

- Central and Western Region Fishmongers Improvement Association (CEWEFIA)
- Development Action Association (DAA)

National Membership Associations:

- Ghana National Canoe Fishermen's Council (GNCFC)
- National Fish Processors and Traders Association (NAFPTA)
- Ghana Industrial Trawlers' Association (GITA)
- National Fishermen's Association of Ghana (NAFAG)

The GOG and Public University Units are:

- Monitoring, Control and Surveillance Unit of the Fisheries Commission (MCS/FC)
- Fisheries Scientific Survey Division of the Fisheries Commission (FSSD/FC)
- Post-Harvest Unit of the Fisheries Commission (PHU/FC)
- Marine Fisheries Management Division of the Fisheries Commission (MFMD/FC)
- Fisheries Enforcement Unit (FEU), an interagency body.
- University of Cape Coast/Center for Coastal Management (UCC/CCM)
- University of Cape Coast/Department of Fisheries and Aquatic Science (UCC/DFAS)
- Western Region Land Use and Spatial Planning Authority (LUSPA/WR) (formerly Town and Country Planning Department (TCPD))
- Central Region Land Use and Spatial Planning Authority (LUSPA/CR)

To identify priority needs and to measure and document capacity development outcomes over the life of the project for the CSOs, SNV conducted baseline Organizational Capacity Assessments (OCAs) using a standardized approach and a quantitative scoring tool adapted from USAID's OCA toolkit. For CEWEFIA, DAA, HM, and FoN, (and DQF) baseline OCAs were conducted in 2015 and midterms conducted in 2017. For NAFPTA, GNCFC and GITA, baseline OCAs were conducted in Year 3 (Q1, FY 2017) and mid-terms in Year 4 (Q2 FY 2018) for NAFAG a baseline was conducted in Q2 FY 2018. End of project OCAs for all 8 CSOs are planned for 2019. For the 9 GOG and public university units, a baseline (2015) and a mid-term (May/June 2017) organizational assessment using a qualitative approach was conducted by URI/CRC and documented in a consolidated baseline report and a consolidated midterm report covering the 9 units. An end of project assessment for the 9 GOG and public University units is also planned for late FY2019.

Meanwhile, USAID/Ghana is preparing to conduct a mid-term evaluation of the SFMP project in the first half of FY2019. Progress has been made, some significant outcomes demonstrated and lessons learned on CSO, GOG and Public University institutional capacity development in the more than one-year period since the last formal assessments were conducted. Institutional capacity issues in the fisheries sector in Ghana were highlighted in dramatic fashion in Q4 of FY 2018 as this assessment was taking place. A nationwide closed season was announced by MOFAD and rescinded shortly thereafter following a letter to the President from the GNCFC. The experience is generally considered by all stakeholders to be a near miss in terms of finally bringing stakeholders together in a coherent and timely manner to take long overdue, urgently needed, and coordinated action for sustainable management of small pelagic fisheries stocks. For key institutional actors, failure to achieve the desired outcome brought into focus very concretely their own capacity gaps and the need to more

effectively fulfil their institutional roles and responsibilities going forward. SFMP OCAs and capacity development support provided to date have contributed strongly to this realization, and to the greater urgency and clarity of vision key institutions now have about what they want to accomplish, the progress they have made, and the changes they still need to make if they are to lead transformative change in the sector. These developments and their importance for strategic decision-making going forward may not be well highlighted and captured in the SFMP mid-term evaluation if the 2017 OCA reports are the latest reference available to the evaluation team. In addition, there is no single document that summarizes capacity development outcomes and their relevance for all types of SFMP partner institutions; CSOs, GOG, and Public Universities.

## **1.2 Objective**

This report is not intended to replicate the methodology used at baseline and mid-term, document capacity development inputs, or comprehensively inventory progress for each organization. It is intended to provide a brief consolidated qualitative snapshot of organizational capacity development *outcomes* achieved to date for the categories of CSO, GOG, and public university partners as a result of USAID/SFMP support, and their significance. The objectives are to:

- Highlight how these categories of organizations have demonstrated and applied improved capacity/competencies and remaining challenges.
- Comment on how effective the SFMP strategy to invest in capacity development for each of these institutional categories of organizations has been as a contribution to the overall Theory of Change (TOC), project goal and objectives.

## **1.3 Methods**

### **1.3.1 Document Review**

Key background documents reviewed are listed in Annex I.

A summary of equipment inputs by SFMP to each GOG and University Unit is presented in Annex II.

Substantial equipment, infrastructure, material and human resources inputs were provided to the 5 CSO Implementing Partner/Sub-awardees as documented in their sub-awards, including vehicles, office rent, equipment, supplies, operating costs, and salaries. DAA and CEWEFIA each received infrastructure funding and technical assistance to establish their own Fish Processing and Training Centers.

NAFPTA and GNCFC were each provided with a full time Intern, computer, printer, table, chair and mifi funded by SFMP.

Training and other capacity development activities benefitting the GOG, University and CSO organizations are documented in detail in SFMP Quarterly and Annual Progress Reports and Technical Reports. The specific number of people trained and person hours of USG funded training that each organization benefitted from overall is not easily tabulated in a detailed breakdown by organization.

### **1. 3.2 Key Informant Interviews**

The Key Informant interviews that are the basis for the findings presented in this report were conducted in August 2018 at URI and in country as detailed in Annex III. The key informant interviews focused on the themes of:

- How these organizations have demonstrated and applied improved capacity/competencies and remaining challenges?
- Efficacy of the SFMP strategy to invest in civil society, government and public university institutional capacity through organizational capacity development within these categories and their sub-types in contribution to the overall Theory of Change (TOC), project goal and objectives.
- Lessons learned and future perspectives for organizational capacity development.

## **SECTION 2: FINDINGS AND CONCLUSIONS**

### **2. 1 Civil Society: Local NGOs and Regional Membership Associations (SFMP IPs) (HM, FoN, DAA, CEWEFIA)**

#### **Key Perceived Overall Outcome and Contribution to the Theory of Change**

*Local NGO and regional membership association implementing partners of SFMP have increased their organizational capacity and demonstrated their value added for sustainable fisheries management as a result of SFMP support. This has created a more robust local NGO and regional membership association civil society presence in the fisheries sector that was lacking prior to SFMP and has the potential to replicate and sustain achievements.*

Unlike in the agriculture and health sectors in Ghana, local NGOs and regional membership associations in the fisheries sector were limited in number and capacity prior to SFMP. Those doing some work had limited activities with a fisheries focus. SFMP's decision to work with HM, FoN, DAA and CEWEFIA (and DQF initially) was an investment in raising the profile and leveraging the value added of local NGOs and regional membership associations in the fisheries sector on a sustainable basis in Ghana. For example, HM was newly established in 2014 as a result of the USAID/Integrated Coastal and Fisheries Governance Project (ICFG) in Western Region. SFMP's approach in partnering with these organizations was also a strategy for reaching beyond the previous project's focus only in Western Region to the tens of thousands of fisheries stakeholders at the community level spread across 300 landing sites necessary to promote sustainable management of the small pelagic fishery, a coast-wide stock. The FC did and does not have the staffing, the structure, and the community relationships to do grassroots extension and outreach at that scale. Representative key informant responses illustrate this outcome.

### The significance of local NGO contributions

“There is an avalanche of partners for the first time. SFMP has given them the capacity...Earlier there was a feeling that the NGOs (international and local) were taking the role of Government. That is now past.” (FC)

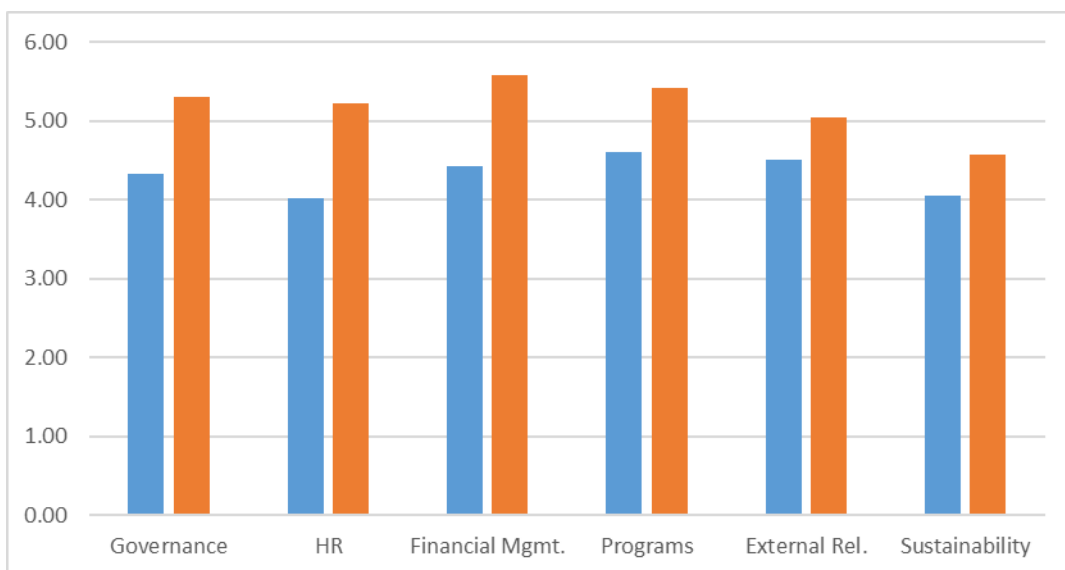
“Government has limited funds and limited staff, especially in Western and Central Regions. Involving NGOs in direct contact with fishermen has brought us closer to fishermen” (FC)

“We were able to have 94 meetings with Judiciary all along the coast because of SFMP and FoN.” (FC/FEU)

### Demonstrated Organizational Capacity Development

*All four local NGOs and regional membership associations have taken steps to improve governance, human resources, financial management, programs, external relations and sustainability.*

The overall improvements for this group are documented in the average baseline and mid-term OCA scores for these four organizations as shown in Figure 1 below.



**Figure 1: Local NGO and Regional Membership Association average OCA baseline (blue) and midterm (orange) scores (Maximum score = 6; n = 4).**

With SFMP assistance they reviewed and in some cases revised their constitutions, strengthened their Boards through training and development of active sub-committees, and developed or improved and implemented Standard Operating Procedures. They improved financial management by shifting to automated systems established with SFMP financial support and training, and by undergoing external audits funded by SFMP covering three consecutive years, tracking their response to previous findings.

“We have improved financial management because of SFMP support through advanced software (Quickbooks). Regular feedback on financial management has also helped. We

improved financial controls because of the audit. FoN got EU funding because of the SFMP contracted external audit. We would not have had access to that funding without it.” FoN.

The total amount of new funding from other sources secured by these organizations over the four project years to date totals approximately \$1.27 Million and included grants from Star Ghana, BUSAC, Rainforest Trust, UCSOND, OXFAM America, DAI Ghana Limited, Australian High Commission-Ghana, European Environmental Bureau, Ghana Center for Democratic Development, DAI, NOAA, and EJF/EU, CARE/EU, and the North American Women’s Association. This result demonstrates the increased fundraising and implementation capacity of this group. It has also contributed to capitalization of lessons learned and coordination across the various donor efforts in the sector as HM and FoN are, for example, implementing partners of both USAID/SFMP and EU funded projects.

This group of organizations has also demonstrated improved capacity to provide services to their beneficiary constituencies and to address outreach and extension gaps in the sector. For SFMP’s output indicator, “Number of people receiving USG supported training in natural resources management and/or biodiversity conservation, and climate change, disaggregated by gender (EG 4.8.1-27/ 4.8.2-6)”, the five local NGOs and regional membership associations (including DQF) account for 56% of the total Year 1 – 4 cumulative result (3,659 people out of 6,583 total) and 63% of the females.

Key informant responses also highlight that improvements in the quality of the programming delivered to constituents by this group as a result of project support has been meaningful. For example, local fisheries co-management planning processes for the Pra, Ankobra and Densu estuaries. Another example, is the joint development with the PHU/FC and the Ghana Standards Authority of a Class 1 Certification Scheme for artisanal processing units that demonstrate a suite of minimum hygiene standards. DAA reports that, "This is the first time in the history of our local processors they will experience certification. They haven't even dreamt of accessing these markets." The capacity of both DAA and CEWEFIA to deliver training for hygienic fish processing and to provide certified processed fish products for the Ghanaian market has been improved as they each inaugurated a fish processing and training center in 2018. A third example, among many others, is CEWEFIA’s leadership in anti-Child Labor and Trafficking (CLaT) work resulting in increased awareness, development of action plans with communities to reduce risk for vulnerable households, interdiction actions, and policy development.

### **Key Results for Sustainable Fisheries Management**

The first local participatory Fisheries Co-Management Plans in Ghana with delegated use rights to legally recognized community-based co-management institutions in defined management areas in the Pra, Ankobra, and Densu River estuaries have been developed, are recognized by stakeholders at all levels, and are being implemented as MOFAD approval and codification is pending.

These processes were led and facilitated by FoN, HM and DAA with SFMP support. They account for 100% of the results for one of the highest level outcomes in the project Theory of Change achieved to date, IR4. Implementation of applied management initiatives for several targeted fisheries ecosystems. The outcome indicator for this result is, “Number of hectares of biological significance and/or natural resources under improved natural resource management as a result of USG assistance (EG 4.8.1).” The area covered by the local plans is 3,215 hectares. As efforts to manage fishing effort in the small pelagic fishery by instituting a

coast-wide one month closed season for artisanal fisheries have not yet been successful, it is important that three local plans represent the first examples of closed seasons implemented in Ghana. In 2018, areas within these plans were closed permanently or for periods ranging from 3 to 5 months, depending on the area and the plan. They stand as a model for the country, demonstrating that such significant and urgently needed management measures are possible, even if the context is more complex for small pelagic fisheries on a national scale. Key informants perceived that the local co-management institutions governing the local co-management plans, although nascent, have the capacity to lead and sustain their own processes going forward, and are networked to request support from FoN, HM, DAA, Regional FC staff and others as needed. Key informants also highlight that local NGO and regional membership associations now have the capacity to facilitate replication of the local co-management process in other estuaries.

"We didn't know it was going to be magic. Women collecting data and telling others why they are collecting data. Closed season. Co-management bringing people together. We see that another co-management plan for the Sokome area can follow the Densu approach." DAA

The fisheries sector Anti-Child Labor and Trafficking Strategy developed with the support of SFMP was approved by the Minister of MOFAD in July 2018 as stakeholders at the district and community level in the Central Region are organizing and taking action to support and reduce risk for vulnerable communities and households.

According to the U.S. Embassy in Ghana, because of this and other efforts by the Government of Ghana to combat Child Labor and Trafficking, "the U.S. Department of State upgraded Ghana's classification to Tier 2 in the 2018 State Department's Trafficking in Person report, paving the way for further cooperation and development assistance." In addition, one case of interdicting child traffickers was documented in 2016 as a result of SFMP's support and the leadership of CEWEFIA and the other SFMP implementing partners together with the FC on this issue. These organizations now have the capacity to continue delivery of CLaT programming after SFMP ends using the curriculum and community outreach approaches developed and tested under the project in support of the recently approved MOFAD Strategy that was informed by that experience.

### **Key Challenges**

Financial sustainability through service provision business models and diversified project and donor portfolios remains a key challenge for the local NGO and regional membership association implementing partners of SFMP.

Although these organizations have diversified their funding portfolios, the other projects they participate in are not as large and do not have as substantial a role for local NGOs and regional membership organizations as SFMP. Calibrating staffing and activity levels to available financial resources will most likely require these organizations to downsize going forward. Working with a diversity of projects and donors has provided the local NGOs and regional membership associations with useful perspective on what costs are generally considered reasonable and might be sustainable for their payroll, operating and overhead costs. DAA and CEWEFIA, have established their training and processing centers as separate accounts and SFMP is providing support for the development of business plans with the aim of self-financing and potentially generating revenue to invest in and sustain DAA and CEWEFIA programs. Development and implementation of this vision is still at a preliminary stage.



Relationships with national membership associations in the fisheries sector, such as the GNCFC and NAFPTA, are sometimes perceived as competitive and opportunities for synergy may be lost.

Key informants of all types highlighted that the national associations sometimes see local NGOs and regional membership associations as competitors or as aligned with the FC to undermine their power. The manner in which Fisher to Fisher dialogues were conducted, sometimes without the participation of the FC, was highlighted as feeding into this perception. Some in GNCFC felt that local NGOs undermined unity within GNCFC at the regional level, not recognizing enough the need for GNCFC to be the leaders by allowing GNCFC to front the issues and the programs and take ownership. Some of this tension is because the local NGOs and regional membership associations create more space for public dialogue and transparency around the issues, which holds both the government and the national associations more accountable. This was recognized by respondents to this survey as an important value added.

As new initiatives in the fisheries sector have emerged with different advocacy approaches than SFMP, local NGOs, who do not represent fishers and processors directly as members, have been increasingly faced with a choice between often incompatible roles.

These include the role of neutral conveners, trusted collaborators, and advisors to the government on policy reform on the one hand, and instigators of mediatized public advocacy campaigns that are critical of and in conflict with the government on the other.

## **2.2 Civil Society: National Membership Associations (GNCFC, NAFPTA, GITA, NAFAG)**

### **Key Perceived Overall Outcome and Contribution to the Theory of Change**

National membership associations have an increased understanding of their potential as leaders of sustainable fisheries management in Ghana and of strategic approaches for achieving that goal. At the same time, the OCA process and capacity development support provided by SFMP gave them an understanding of the significant gaps that exist between their organizational reality and the vision of a well-managed, transparent and accountable national association that represents its' constituents.

This is best illustrated by the observations of key informants highlighted in the text box below.

### **A new awareness, a new vision**

“Before SFMP we had little voice at the national level in industry issues. Our rights were not well known. Politicians were having a field day with us...Before we thought everything the government did was right. All the changes are a result of SFMP awareness raising and capacity building... GNCFC will be “born again” with the constitutional reform that is now in process with SFMP support. We will become a dues paying association with roles and responsibilities for regional and landing site (Chief Fishermen) level to communicate and disburse information from stakeholders up and down the chain. This has been a weakness. Now there will be a mechanism in the constitution for removing those Chief Fishermen not playing this role.” (GNCFC)

“Drama of the closed season was due to not enough communication to fishermen. Leadership of GNCFC does not represent "real fishermen" only chiefs." (Anonymous)

"Fishermen never used to talk to fishermen about conservation issues. Each one for himself. SFMP improved communications between the FC and fishermen and among fishermen themselves." (GNCFC)

“Artisanal marine fishers are not members of NAFAG. Too many internal politics. Constitutionally NAFAG is the umbrella organization for fisheries. It is about capacity building and funding. SFMP support to NAFAG is useful. Maybe this support can encourage NAFAG to go to its members to find common voice.” (Anonymous)

“We want to reverse the status quo on policy, not government telling us what to do, but telling them. The SFMP study tour to URI in the U.S. was highly influential in our thinking. We are taking time to evaluate bad practices. If we had not had this education, we would never even have understood the need for a closed season.” (GITA)

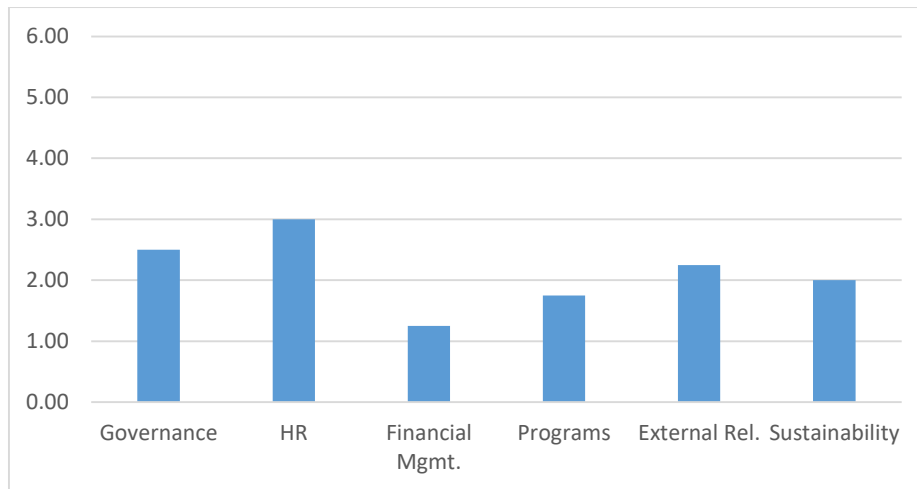
“Active in 61 districts in Ghana, with 212 local groups across the ten regions and a total membership of about 14,700, NAFPTA is a force to reckon with” (SFMP)

### **Demonstrated Organizational Capacity Development**

The organizational capacity of the four national membership associations in the areas of governance, human resources, financial management, programs, external relations and sustainability was weak at the time of initial baseline OCAs. They have taken some important steps to address fundamental weaknesses and incremental improvements have been documented, but their status as nascent organizations had not changed as of this assessment.

Figure 2 below illustrates the initial average OCA baseline scores for the four national membership associations. The overall average for these associations is 2.1 out of a maximum score of 6. NAFPTA and GITA each had mid-term reviews documenting improvements, but their overall average score had not yet reached 3. It is important to note that NAFPTA was only established in 2015 under the World Bank funded WARFP initiative. Both NAFPTA and GITA were added as focus organizations of SFMP capacity development assistance in Year 2 (FY16). GNCFC and NAFAG were added later and had not undergone mid-term assessments at the time of this survey.

With SFMP support, all four national membership associations began by addressing weaknesses in their governance frameworks. They undertook processes to revise their constitutions and Board Charters and developed Standard Operating Procedures.



**Figure 2: National Membership Association average OCA baseline scores (max = 6).**

The benefits of these governance and management strengthening efforts already have concrete results for GITA as a key informant highlights, “We now have a constitution and Standard Operating Procedures. Before we did not have these documents. Now we have raised more than \$100,000 from DFID and Norway due to SFMP. We have also increased membership so we have more internal revenue. We are able to make demands of FC. They hold quarterly meetings with us. Not only do we meet with FC but others, Ghana Revenue Authority, invite us to meetings. To a large extent these changes are due to SFMP.” As this and the key informant comments in the text box above indicate, the national membership associations in general are increasingly motivated (and being held more accountable) to take these steps to strengthen their own organizations in order to gain legitimacy as representatives of their constituents in the sector and to play a stronger leadership role.

Improvements in the types and quality of programs delivered by these organizations for the benefit of their members as a result of SFMP support is also illustrated by examples from GITA. They participated in cuttlefish research with UCC and HM. They also worked with FSSD to propose research (not yet funded) using a GITA vessel to conduct trawl surveys on a smaller scale like those done by the Feijof Nansen Norwegian research vessel. The aim was to devise a local plan to enable more frequent cost effective research with the FC given the high cost and limited availability of the Norwegian vessel. GITA has also begun work to address a dominance of Chinese operators in the industrial sector who are criticized for illegal and unsustainable practices, but are working with Ghanaian fishing license holders who have few alternatives due to a lack of trained Ghanaian operators. GITA has pushed NAFAG to collaborate with the Ghana Maritime Authority thru the Ministry of Transport to train Ghanaian seafarers. NAFPTA and GNCFC have demonstrated increased engagement in advocacy for fisheries management and combatting IUU fishing. With the support of SFMP, GNCFC has taken leadership in organizing Fisher to Fisher dialogues and has advanced management measure proposals to MOFAD (i.e. an additional one day per week fishing holiday that was not approved in anticipation of the more significant closed season measure). Leadership training was delivered to 33 NAFPTA members from 3 regions in their own languages. NAFPTA has also taken steps to standardize and improve its’ process for registering members and collecting dues to generate revenue internally, it has actively begun to move members towards adopting new technologies (the Ahotor oven) and towards improved hygiene practices and standards for fish processing (working with FC, GSA and

SFMP partners on the Class I certification scheme for processing units). NAFPTA initiated eye screening for members to address risk to eye health related to smoke exposure.

### **Key Results for Sustainable Fisheries Management**

Among the national membership associations and MOFAD/FC there is general agreement on the urgency and the need for concerted action to sustainably manage Ghana's small pelagic fisheries and that a priority action should be a closed season of at least one month for both artisanal and industrial fisheries in Ghana's entire EEZ.

This outcome contributes directly to SFMP's IR3. Increased constituencies that provide the political and public support needed to rebuild fish stocks. As noted in the Introduction, it came close to resulting in the successful implementation of a one month closed season in August 2018 for the artisanal fleet. In spite of the challenges, key informants from all organizations were generally optimistic that stakeholders are motivated to learn from this experience and implement a closure in 2019.

#### **The need for significant management measures widely accepted**

"Women knew that one day the closed season is coming because it is happening in other countries. They saw this due to the Senegal/Gambia study tour." (NAFPTA)

"Need for the closed season is understood. The August bumper catch did not happen. The failure to implement is because not enough notice was given. Investment decision-making timelines and festivals need to be considered. We need to deal with IUU first and deal with trawlers first. Fishermen will be the demanders of the next closed season. We can get to that point by next year." (FC)

"The 2018 closed season announcement was doing the right thing in the wrong manner. We need more time to manage preparations. Doing the communications and building trust is the most important. We are committed to an August 2019 closure." (GNCFC)

The role of women in sustainable fisheries management is better understood and broadly acknowledged by men and women in government and civil society and women's influence has increased.

Representative key informant responses highlighted in the text box below illustrate this point. NAFPTA in particular, but also the GNCFC and other partners and stakeholders, have contributed to this result.

### **Women's influence in fisheries management increased**

“Women are ready to support a closed season at certain times due to economic factors. Oil and eggs are in the fish in August and they are not good for processing. During this period, it has to go direct to market without processing. There is a market glut at this time and the price is low, so women don't make as much money. In June/July they get better returns. Fishermen only think about going and coming, not about what the women think about with the revenue they get.” (FC)

“NAFPTA is positioning to be part of the solution to illegal juvenile and chemical fishing by refusing to buy. This has big implications. It will send a bigger message than an arrest.” (FC)

“The women are only throwing around slogans, not putting their money where their mouth is by actually refusing to purchase illegal fish. If they refuse they lose money by not recovering their funding of the fishing trip.” (Anonymous)

“The behavior change among women processors is real. They are actually refusing to buy.” (GNCFC)

“Women support fishing inputs. Fishermen only pay back when they land their catch. Women need to make money in order for the men to make money. Women and fishermen have one voice. It is win/win if fish are sustainably managed and thriving.” (NAFPTA)

### **Key Challenges**

The nascent status and critical gaps in organizational capacity of national membership associations constitutes a challenge to sustaining and building on progress achieved towards sustainable management of the small pelagic fishery realized to date in the artisanal sector.

These associations have taken steps to revise their constitutions and governing texts with SFMP support and to improve communications and service delivery in some respects. However, the extent to which the revised governing texts and standard operating procedures will be applied remains to be seen, especially with regard to implementation of democratic principles and transparent procedures for transition at the leadership level. As one key informant said, “It is a question of actual and good representation due to a weak GNCFC and NAFPTA. How to get over the gap in leadership and no existing organization that has legitimate leadership. Governance structure is missing” (Anonymous). NAFAG has similar governance challenges related to the perception of some stakeholders that it is influenced by political and oil interests. Elite capture, leadership acting in their own interests rather than the interests of most members, is a concern that most respondents to this survey report hearing from the membership level. For example, a credit line that NAFPTA accessed from a bank for their members and paid back in full and on time is considered a success story demonstrating their capacity. However, some members at the decentralized level felt exploited in this initiative as their numbers were used to mount a successful credit application, but they were not able to access the credit at their level once it was approved. At the same time, national association leaders and others identify as critical the challenge of transforming expectations of their general membership away from the traditional approach that the primary role of the association is to receive and distribute subsidies from the government and donors, and toward realizing the potential of their own pro-active initiatives.

The contentious relationship between the GNCFC and MOFAD was demonstrated to be among the most significant barriers to progress on implementing urgently needed fisheries management measures.

There is general agreement on the urgency and the need for concerted action to reduce over-exploitation of the small pelagic fishery, what that action should be and the technical basis for it. The conflict has been around issues of process, relationship management and trust as MOFAD declared a closed season and the GNCFC acted to stop it. Underlying causes are highlighted by stakeholders as the reason for lack of a better working relationship.

Associations feel that they are invited to meetings as participants to make a show of engagement and not as decision-makers. They also highlight that, for example, the GNCFC seat on the FC Board is currently filled by a Ministerial appointee who is leader of a political party and not by a GNCFC member or representative chosen by the association. At the same time there is a general lack of confidence in the GNCFC's own internal democratic processes and ability to ensure that information is shared and the breadth of member voices heard, discussed, and well represented in actions taken on members' behalf at the national and other levels. In a recent action that further increased the underlying tension in the MOFAD/GNCFC relationship, MOFAD is reforming the way the pre-mix fuel subsidy for the artisanal fishing sector is managed. Chief fishermen will no longer Chair Pre-Mix Committees. The importance of a robust process that engages stakeholders is widely acknowledged in Ghana, but frustrations are mounting as investments in that process take time to deliver concrete actions that will positively impact fisheries resources. One key informant's comment illustrates this point, "The problem is we are in surgery. Shock therapy is needed. We no more have the luxury of settling down nicely to re-establish relationships. Harsh measures are needed. If your child is in the road about to get hit by a car, do you go and consult with your family and neighbors first? No, you run into the road and save him." (Anonymous).

Leadership in pro-actively developing opportunities to address the economic hardship members face in implementing sustainable management measures in the small pelagic fishery is an important yet under-realized role for the national membership associations.

Initiatives such as GITA's cuddlefish research, NAFPTA members' development of innovative uses of the Ahotor oven to process non-fisheries products in the off season, and the national membership associations' engagement in outreach for piloting of a fisher insurance product developed with SFMP support in partnership with the private sector are identified as promising, but insufficient to address the need.

### **2.3 Government of Ghana: Fisheries Commission (MFMD, FSSD, PHU, MSC/FEU)**

#### **Key Perceived Overall Outcome and Contribution to the Theory of Change**

For the first time in Ghana, MOFAD announced a significant management measure for the small pelagic fishery including the artisanal sector (a one-month closure in Ghana's entire EEZ for August 2018.) Although ultimately rescinded, attitudes in the Fisheries Commission have shifted based on a deeper understanding of the mutual interest of government and civil society to ensure that strong, transparent and accountable national civil society membership organizations representing artisanal fishermen participate in decision-making to achieve sustainable management of the resource.

The fact that MOFAD made a one-month closure announcement that included the artisanal sector is a major milestone for fisheries management in Ghana. The administration realized after the President of Ghana reversed the decision that it had underestimated the importance of key civil society national membership organizations, namely the GNCFC. Key informant comments highlighted in the text box are representative of the overall responses articulating this realization.

### **FC attitudes shift**

“The paddle has broken the pen”

“There is a crisis in fisheries. It is glaringly clear that the traditional approach is not working. We need to win the hearts and souls of fishermen. We need a new skill set”

“We should invest more in GNCFC. Now we know the power they have, even though they do have problems with Chief Fishermen not going back to their communities with information and with the traditional leaders feeling left out. Boat owners as a group have also not gotten enough attention from FC.”

The fact that the closed season crisis was viewed by the majority of FC key informants as an opportunity to engage more with key stakeholders and to further develop their own and others’ institutional capacity is also a successful outcome. It indicates that ownership of the stakeholder engagement process supported by SFMP is being appropriated and institutionalized even when it is challenging. Several informants also cited the failed Fisheries Watch Volunteer pilot that was stopped in 2017 as another example where there is a need to continue to learn from the experience and engage with stakeholders to adapt and pursue this type of approach due to the lack of capacity to realistically implement top down enforcement.

### **Demonstrated Organizational Capacity Development**

Improvements in organizational capacity of the various Fisheries Commission (FC) units supported by SFMP were documented at midterm in FY2017 and have continued in FY18. These include improved engagement with stakeholders in the sector, gender mainstreaming, and increased capacity for evidence-based decision-making, among others.

Key informant feedback representing these continuing improvements are highlighted in the text box.

### **FC applies new approaches**

“SFMP is really helping us to develop communications skills. We are all trained in the science and resource management aspects, not in communications to the fishermen level.” (FC)

“We are now thinking about how to work in partnership and familiarity in relationships with actors in the sector that we did not have prior to SFMP. UCC and GITA for example.” (FSSD)

“FSSD (and other FC units) have advanced to the use of tablets, smart phones, and cloud computing for data collection where they had not done that before. FSSD staff were trained in a short course on data analysis on stock status at URI. As a result, they rather than SFMP staff, presented a compelling and detailed analysis to decision-makers.” (SFMP)

“On the study tours, the FC saw that bodies such as the Science and Technical Working Group are used almost everywhere and are formally integrated into the fisheries governance frameworks” (SFMP)

“A zonal fisheries officer told me that she now always makes sure to meet with the women because she will get a whole other side to the information that she would not get otherwise. Also, she realizes that she can work through the women to get to the men” (SFMP)

Many respondents cited the simple fact that SFMP requires attendance sheets to collect information on gender as an important awareness raising factor. The World Bank funded West Africa Regional Fisheries Project (WARFP) in Ghana did not require it and FC later adopted it for that project based on the SFMP example.

### **Key Results for Sustainable Fisheries Management**

A growing scientific evidence base is widely accepted as the foundation for dialogue and decision-making on sustainable fisheries management approaches and measures.

In February 2018, the Science and Technical Working Group (STWG) a technical advisory group with FSSD membership, produced and submitted a small pelagic fishery stock assessment report to the Minister of MOFAD. The report was a major factor considered by the nine member Closed Season Committee formed by the Minister and also Chaired by FSSD, even though socio-economic considerations also dominated in the Minister’s final decision to declare the closure for mid-August to mid-September 2018 and even if a very short notice time (June announcement for July closure) was a key reason for lack of support from stakeholders. FSSD is now viewed as the mouthpiece of fisheries research. In addition, all stakeholders in the sector are demanding more and better quality evidence and it’s increasing availability has raised the level of dialogue on fisheries management issues, even if there is disagreement on the quality and appropriate application of the information.

The FC-PHU is promoting the Ahotor Oven improved fish processing technology developed with SFMP support, in addition to a Class I certification scheme for artisanal processing units. These initiatives provide high quality healthy processed fish products to the Ghanaian market, health and economic benefits for artisanal processors and environmental benefits for coastal communities and society at large from reduced use of fuelwood (often mangroves).



FC-PHU adoption of the Ahotor technology has resulted in WB-WARFP funding for 250 ovens, of which 145 were already built from Keita to Axim at the time of this survey. FC-PHU is also responsible for coordinating the building of 120 SFMP funded Ahotor ovens and is collaborating with local NAFPTA groups to select beneficiaries. The approach is to form a critical mass of ovens to clusters of individuals in 5 communities, Volta, Cape Town, Ada, Ngwateshi, where local NAFPTA chapters decide who.

### **Key Challenges**

FC organizational restructuring and functionality improvements anticipated since the beginning of SFMP and expected to be implemented in the context of the WB-WARFP support have still not materialized. This is perceived to be one of the key barriers to the ability of the FC to function in a more effective policy development and implementation role.

WB-WARFP funding for Ghana was extended to September 2018, but not renewed for a second five-year phase in part due to performance gaps linked to FC structure and function. In addition to closed season declaration and implementation challenges, processes for the Fisheries Code revision, Co-Management Policy, and approval of three local Fisheries Co-Management Plans are all pending and have taken longer than anticipated. These approvals may still be 2 -3 years away. As one key informant stated, “Successful fisheries co-management initiatives to date, the Ankobra, Densu, and Pra Estuary Fisheries Co-Management Plans, are community led. The major dramas in fisheries management have all been in government led initiatives. This does not reflect well on regulators.” (FC).

A management measure for the small pelagic fishery that includes the artisanal sector and has the potential to have a significant impact on reversing the downward trend in the status of the stock remains to be implemented. In addition, artisanal canoe fisheries remain open access and input subsidies (i.e., for pre-mix fuel and frequent donations of outboard motors) are still in effect incentivizing overexploitation.

The FC recognizes these are the most significant challenges they face in the sector. As one representative said, “If we don't close access, then we will not solve political intervention and we will not reduce effort. The idea of capping is very needed.” (FC). With WB-WARFP ended and SFMP ending soon, opportunities for external support in implementing such measures are diminishing.

Important enabling conditions for sustainability of quality fisheries data collection, analysis and application in fisheries management decision-making are not yet secured.

The FC and FSSD have yet to demonstrate how they will address administrative challenges in the staffing, remuneration, and continuous refresher training of data collection agents in the field. SFMP covered some of these costs during the pilot phase, but sustainable systems are needed. Data quality remains a serious challenge requiring continuous refresher training as well as central office analyst oversight to conduct real-time quality control as data is collected and stored in cloud based databases. The STWG is still an ad-hoc project working group, although there is verbal commitment from the Ministry to make it an official advisory body.

Prosecution of illegal practices is still perceived to lack transparency and effective punishment of offenders.

While improvements in engagement and training of the judiciary in fisheries law has been appreciated, prioritization of fisheries issues among the portfolio of serious cases seen by the judiciary and accountability are barriers.

Achievements towards a critical mass of early adopters of the Ahotor oven by fish processors for improved availability of quality, healthy, and hygienic processed product on the Ghanaian market and for health, environmental and economic benefits at the production level are recent and not yet sufficient to catalyze widespread adoption.

The FC-PHU has played a key role in addressing challenges with reaching a critical mass of early adopters of the improved Ahotor oven, but as WB-WARFP support ends in September 2018 and SFMP has one year more, less than 40% of the 1000 target for initial adoption have been built to date. A cluster strategy coupled with a shift to subsidized construction costs and intensive training of both builders and users has been put in place. However, continuing scale up and follow up on quality and use will be a challenge with rapid roll out and external support ending. Some women who have received ovens have not yet been fully trained. As a result, they are not using the stoves properly and complain about the amount of smoke, long cooking times, and fish at the center not getting well cooked.

## **2.4 Public Universities: UCC (DFAS, CCM)**

### **Key Perceived Overall Outcome and Contribution to the Theory of Change**

UCC's DFAS and CCM are actively contributing to higher quality development and implementation of sustainable fisheries management planning through their expanded role as a non-partisan stakeholder providing evidence-based research, advisory support, communications and outreach, and educating qualified professionals and increasing gender equity for the workforce in various disciplines that serve the sector and its' institutions.

As a result of capacity development through SFMP support and under its' own direct USAID award, UCC is now recognized for its expertise in marine fisheries management. UCC is often requested by the government and the media to contribute expert opinions. A UCC faculty member sits on the National Aquaculture Committee and UCC is a member of the FC STWG. UCC researchers have been an integral part of the local fisheries co-management planning processes in the field with community and co-management committee members in the Pra, Ankobra and Densu estuaries. Communities are trained and empowered in basic data collection for their own knowledge and adaptive decision-making for sustainable resource management. Citizen science in this context has also filled a data gap and contributes to overall knowledge of these ecosystems of high biodiversity significance that are under pressure.

### **Demonstrated Organizational Capacity Development**

UCC/DFAS's curriculum has expanded, student numbers have increased and equity and quality has improved significantly.

The focus of DFAS was previously on fisheries and biological science. Due to SFMP support, DFAS now engages with the community and responds with demand driven research. Every student now has a project outside of the campus, rather than working in a laboratory or doing document research as was often the case previously. In the fall of 2018, Climate Change, Marine Policy and Fish Genetics will be introduced as new curriculum for both undergraduate and graduate students. Based on SFMP training and support for the use of drone technology, a GIS database is now established, growing and available to students who are using it for their dissertations. SFMP provided technical training and equipment support for a fisheries age and growth laboratory. The first dissertation based on work in this lab will be defended in December 2018. From 2003 to 2015, DFAS had no 1st class graduates. From 2016 to date, they have consistently had them. The number of women enrolled in DFAS has increased. This was not due to a specific effort of UCC other than to put the required equal

opportunity statement required by USAID in their application announcements. More women applied and based on merit the women performed better. Twelve of the current 16 PhD students are women. SFMP support has also enabled UCC/CCM to offer non-degree training programs in Fisheries Management, Fisheries Leadership and Climate Change. In addition, UCC and URI are developing a joint degree program.

### **Key Results for Sustainable Fisheries Management**

Developments in UCC's organizational capacity are contributing directly to three of SFMP's four Intermediate Results: Strengthened information systems and science-informed decision-making; Increased constituencies that provide the political and public support needed to rebuild fish stocks, and; Implementation of applied management initiatives for several targeted fisheries ecosystems.

Of a total of 5 graduate level degree candidates from Ghana in advanced degree programs at URI funded by SFMP (4 female Masters and 1 male PhD), 3 have graduated with their Master's degree. One is employed with the FC/FSSD and two others affiliated with UCC will graduate in 2019.

#### **Where do UCC/DFAS graduates serve?**

“An informal survey of recent Alumni indicated that UCC DFAS graduates are employed in the Fisheries Commission, Private sector aquaculture, and Financial institutions where they provide analysis for loans to private sector businesses in the sector.” (UCC)

The elite/practitioner divide is reducing.

As UCC's programs have encouraged more applied demand driven research and as SFMP facilitated the integration of science for management at the community level into fisheries co-management planning processes, the separation between academic research and the practice of fisheries management has narrowed to the benefit of both.

### **Key Challenges**

Sustainability planning for the CCM non-degree training programs (Fisheries Management, Fisheries Leadership and Climate Change short courses) and GIS services is based on fee for service models. These plans have not yet been put in to practice to test their feasibility.

Plans for sustainable financing for continuation and expansion of CCM's outreach and extension capacity have been developed, but not yet implemented.

While there has been a dramatic change in the gender composition of DFAS students, equity among DFAS faculty is weak. There are no current female faculty and of three new recruits all are male. For six additional research assistant posts, three final candidates are female.

A relatively low number of students in general in Ghana are choosing the natural and biological sciences as Business and IT degree programs are increasing in popularity.

## **2.5 Government of Ghana: LUSPA (Central Region and Western Region)**

### **Key Perceived Overall Outcome and Contribution to the Theory of Change**

Coastal resilience and fisheries are better understood by technicians and decision-makers in the Western and Central Region LUSPAs, local authorities, and the general public and are better integrated into land use planning. This has manifested in the permitting process.

SFMPs support for increased capacity in GIS and coastal zone planning, especially related to the concerns of artisanal fishermen and processors in the Western and Central Regions, was timely as the former Town and Country Planning Department was restructured in 2016 into the current Land Use and Spatial Planning Authority with a stronger legal mandate to ensure the development, approval and implementation of land use plans that meet minimum standards, including integration of coastal zone concerns. According to the LUSPA in CR, “Now people are aware that in coastal zones they cannot just do what they want, they need a permit.”

### **Demonstrated Organizational Capacity Development**

Improved capacity is applied to improved planning products, to provide training for colleagues and other donor projects, and to maintain partnerships with academia.

The introduction to GIS and data processing provided by SFMP was perceived as a game changer by the CR LUSPA. It applies this capacity to verify data from the survey department, which it previously had no way to independently verify. Now they can identify when the base map is not good (i.e. topography has the wrong coordinates). This leads to better outcomes. LUSPA’s improved training capacity in GIS and coastal planning is being applied as the Director of CR LUSPA facilitates training of colleagues and is requested by projects like CSLP to facilitate trainings. His unit participated in public outreach and education on that project. Partnerships facilitated by SFMP, such as those with the UCC Geography Department are strong. At least once per year they get together to share and discuss opportunities.

### **Key Results for Sustainable Fisheries Management**

Coastal resiliency increased through better placement and planning.

There are several examples of coastal resiliency outcomes that are a direct result of SFMP’s capacity development support to the Western and Central LUSPAs. In 2016 a permit to build on the Pra estuary wetland buffer zone was denied. LUSPA was also involved in local fisheries co-management plans with FoN in the Pra and is implementing a resettlement plan of villages vulnerable to erosion, storm surge, and flooding developed with and agreed to by the villagers. At the time of this survey, new land was being staked out. This will now be a model for other communities in a similar situation. Key informants also noted that the LUSPA improved its’ services on gender issues, raising awareness that women can own land and how they can prevent takeover by male relatives, which often happens.

### **Key Challenges**

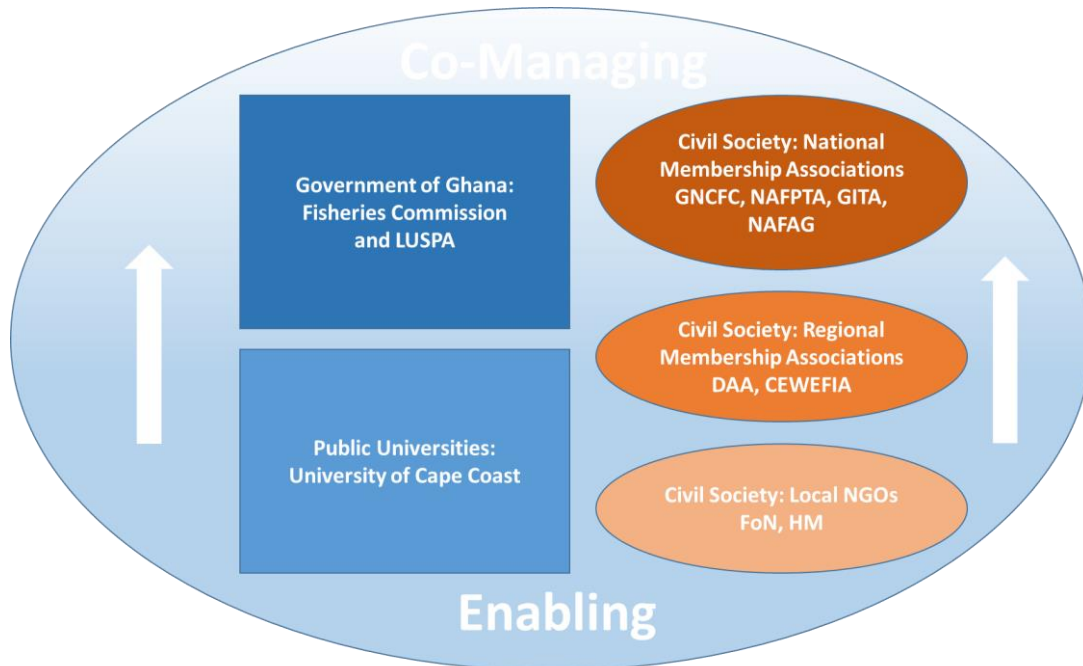
The business plan for the CR LUSPA GIS training center supported by SFMP is not likely to be feasible as originally planned on a fee basis.

Because LUSPA is a government service provider people are not readily willing to pay. They expect government to provide the service. Getting a line item for funding the operations and maintenance of the center in the LUSPA budget is difficult, but the hope is that some funding will accompany the LUSPA restructuring.

Gender equity within the LUSPA is weak.

There are a few women but the challenges highlighted in 2017 remain. The source of technicians is KNUST and they draw from those graduates who are predominantly men. In addition, hiring is done at the central level and regional offices do not participate in the recruitment process.

### SECTION 3: LESSONS LEARNED AND FUTURE PERSPECTIVES FOR ORGANIZATIONAL CAPACITY DEVELOPMENT



**Figure 3: Organizations benefitting from SFMP Capacity Development Support**

- The project did not invest enough in national membership associations and should have included them sooner. As illustrated in Figure 3 above, Local NGOs and Public Universities/academia are institutions that play an enabling role in fisheries management. Government and Civil Society apex organizations representing resource users (i.e., national membership associations) are the direct actors in co-management who make decisions and whose members' behavior directly affects the status of the resource. As such, national membership associations should have been a priority focus of the projects capacity development initiative from the start. Critical organizational capacity gaps identified during their eventual initial organizational capacity assessments indicated a need for intensive and comprehensive support over time. The project adapted to include some support in the most urgent and fundamental areas, such as constitutional reform, but time and resources were not adequately matched to the level and nature of the needs.
  - Going forward SFMP and other projects in the sector should endeavor to recognize the need for national membership associations to be supported in their critical role as front line actors in fisheries management. As one key informant shared, “Local NGOs can be positive as challengers, but should allow the associations to take the front seat on issues and programs and take ownership. It is not helpful when the NGOs treat the association branches as autonomous in the regions minimizing their link to the national level association.”

- Fisheries Co-Management Institutions delegated use rights and management responsibilities in current or future co-management plans, whether local or national should be prioritized in future capacity development initiatives. Like national membership associations, these organizations are front line actors in fisheries management. SFMP assistance resulted in the development of three local fisheries co-management plans and the official registration of three local area fisheries management associations/committees. Although organizational capacity of the three committees was developed with SFMP support through local NGO partners, they were not formally included in the capacity development component or PMP indicators of the project that included regular capacity assessments, action planning and follow-up. When the National Fisheries Co-Management Policy that is pending approval by the Minister of MOFAD is approved, additional Co-management plans and institutions may be established and will need organizational capacity development support in addition to the national membership associations that may participate in them.
- Supporting multiple organizations of a similar type in an organizational capacity development initiative can create a community of practice and promote learning adapting and sharing peer to peer for more effective and sustainable progress.
- Supporting Fisheries Commission capacity to implement effort control measures, including a closed season covering the artisanal fishery, managed access, and removing or re-aligning subsidies should be a top priority for the remaining years of SFMP and other current or future projects in the sector.
- Development, implementation and analysis of viable business plans and sustainable financing mechanisms for both government and civil society initiatives supported by SFMP requires more time and technical assistance.

## ANNEX 1. KEY DOCUMENTS

<b>CSOs</b>	<b>GOG</b>
Baseline OCAs for 9 CSOs	Baseline GOG OCA Report (2015)
Baseline CSO OCA Synthesis Report (2015)	Mid-term GOG OCA Report (2017)
Midterm OCAs for 7 CSOs	UCC FY17 and Q3 FY18 Reports to USAID
Midterm CSO OCA Synthesis Report (2017)	
4 External Audit Reports (SFMP IPs)	
<b>Crosscutting</b>	
SFMP Progress Reports Q4/Annual 2017 and Q1, Q2, Q3, 2018	
A Formative Assessment of the SFMP Gender Mainstreaming Strategy (Bilecki, 2018)	

## ANNEX 2. EQUIPMENT AND HR INPUTS

<b>MCS/FC</b>
2 Pick-Ups 2 Vans
<b>FSSD/FC</b>
3 Automatic Voltage Regulator 3 Power back-UP 2 External Hard Drive 5 UPS 5 Monitors 5 Laptops 5 CPU 3 NAS Server 2 Printers 11 Sumsung galaxy tablet 12 Sumsung Galaxy J5 (Smartphones) 3 Digital camera 1 Projector 1 Air Conditioner
<b>UCC/CCM</b>
UPS Digital Camera 2 Monitor 2 CPU ISOMET Tablet Roller Press 2 Microscopes Saw and accessories for otolith analysis
<b>CR LUSPA</b>
10 CPU 10 Monitor 1 Digital Projector 2 External Hard Drive 1 NAS Server 3 Auto.c Voltage Regulator 1 Printer 1 Projector Screen 3 Power Back-UP 20 Visitors Chair 10 Dual Office Table 10 UPS 1 Router
<b>GNCFC</b>
1 Computer 1 Printer 1 Table 1 Chair



<b>MCS/FC</b>	
1 Mifi	
1 Intern	
<b>NAFPTA</b>	
1 Computer	
1 Printer	
1 Table	
1 Chair	
1 Mifi	
1 Intern	

### ANNEX 3. KEY INFORMANT INTERVIEWS

Table 1: : Summary of Key Informant Sample by Type of Respondent and Responses

<b>Type of organization</b>	<b># of Key informants</b>	F	<b>Focus of Responses (# of Respondents)</b>
Civil Society: Local NGOs (2)	2	0	6
Civil Society: Regional Membership Associations (2)	6	3	6
Civil Society: National Membership Associations (4)	5	1	23
GOG/FC (6)	6	2	12
GOG/LUSPA (2)	1	0	1
Public Universities (2)	1	0	5
USAID/SFMP	6	2	
<b>Total</b>	<b>27</b>	<b>8</b>	<b>53</b>

Key informants were selected primarily from the leadership level and for representation across all organizations subject of this review. They were from with and outside of the subject organizations and were limited to 27 due to the brief nature of this review and availability of resource persons within the timeframe.

**Table 2: Summary of Key Informant Interviews by Type of Organization, a.) of the Key Informant and, b.) focus of their Response.**

Date	Institution	type	8/1/18	8/1/18	8/13/18	8/13/18	8/13/18	8/14/18	7/25/18	8/14/18	8/15/18	8/15/18	8/15/18	8/15/18	8/15/18	8/16/18	8/14/18	8/14/18	8/15/18	8/17/18	8/16/18	8/14/18	8/17/18
			B. Crawford, URI/CRC	N. Lazar, URI/CRC	K. Agbogah, SFMP/HM	S. Apetorgbor, SFMP	M. Ottah Atikpo, SFMP	B. Avega, SNV	N. Asare, UCC, DFAS and CCM	P. Bannerman, FSSD/FC	T. Insaideo, FC	M. Quist, MFMD/FC	D. Yeboah, M&E/FC	S. Manu PHU/FC	G. Tsibu MCS/FEU	R. Jones LUSPA WR	L. Sasu & E. Nortey, Nii Adeimpo, A. Akto, A. Asare, DAA	V. Koomson, CEWEFIA	K. Yamoah, FoN	Nii Abeo GNCFC	J. Solomon, GNCFC	Nana K. Duncan GNCFC, Elmina	R. Solomon, NAFPTA
1	CEWEFIA	Reg. Assoc.				x	x									x							3
2	DAA	Reg. Assoc.			x	x									x								3
3	HM	local NGO	x	x	x																		3
4	FoN	local NGO	x		x												x						3
5	GNCFC	Natl. Assoc.	x	x	x		x		x			x						x	x	x			9
6	NAFPTA	Natl. Assoc.	x		x	x	x				x			x							x		7
7	GITA	Natl. Assoc.	x				x															x	3
8	NAFAG	Natl. Assoc.	x				x												x	x			4
9	MCS/FC	GOG	x										x										2
10	FSSD/FC	GOG	x	x	x			x															4
11	PHU/FC	GOG	x									x											2
12	MFMD/FC	GOG								x	x												2
13	M&E/FC											x											1
14	FEU, interagency	GOG	x																				1
15	UCC/CCM	Univ.	x	x				x															3
16	UCC/DFAS	Univ.		x				x															2
17	WR LUSPA	GOG											x										1
18	CR LUSPA	GOG																					0

## ANNEX 4: SFMP THEORY OF CHANGE

