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EVALUATION

Year Two Summary Self-Assessment
Hɛn Mpoano (Our Coast)
Integrated Coastal and Fisheries Governance Initiative (ICFG)

October 1, 2010 – September 30, 2011
Cooperative Agreement # 641-A-00-09-00036-00

September 2011

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Cover Photo: Fish landing site in the Western Region

Photo Credit: Coastal Resources Center

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1. INTRODUCTION

1.1 The Purpose of this self-assessment.

This document summarizes the status of the ICFG project at its midpoint. It considers what has been accomplished and what has been learned in light of the goals of the project. It then suggests the adjustments that that should be made to maximize the efficiency and effectiveness of the project as it works to draw from experience gained, primarily in the Western Region, to detail a model for a nested governance system that addresses the priority issues for both coastal and fisheries governance in Ghana. This summary draws upon a self-assessment of the project prepared at the close of Year 1 (included in the Our Coast Our Future document), and self-assessments conducted with the project's international and Ghanaian partners in March and July of 2011.

1.2 The scope, goals and principle strategies of the ICFG project.

The central objective of the ICFG Initiative is to assemble the pre-conditions for a formally constituted and decentralized coastal and fisheries governance program for Ghana's Western Region that can serve as a model for the nation. As an expression of the ecosystem approach, these preconditions include:

- Clearly defined goals that resonate with stakeholders;
- Constituencies that support such goals and a plan of action to achieve them;
- Governmental commitment expressed as a mandate, the necessary authorities and the resources to successfully implement the program; and,
- The institutional capacity to sustain the initiative on into the future.

1.3 The Three Phases of the Project.

The ICFG project is a four-year initiative that began in October 2009 that has been structured into three phases to be completed in September 2013. The first phase, which concluded in September 2010, emphasized consultation, information gathering and the preparation of a baseline that documents trends, current conditions and issues as they relate to integrated coastal zone management (ICM) and governance in the Coastal Districts of the Western Region and in fisheries management and governance as they were perceived by project participants at the start of the project. Phase 2, which began in October 2010 and will conclude in September 2012, is devoted to a wide range of activities designed to define specific goals for improving coastal and

Figure 1: IGFG 2011 Calendar

fisheries governance in the coastal districts of the Western Region. A central strategy during this second phase is to build the constituencies among key stakeholders and enhance their capacity to carry forward new and more effective approaches to coastal and fisheries governance that will maintain the flow of goods and services that the people of the Western Region want and need. The third phase will emphasize consolidation of experience and the articulation of a model for coastal and fisheries governance. We anticipate that this model will be demonstrating positive outcomes and will offer Ghana an approach to build capacity for response to the many pressures on coastal and fisheries resources that could be scaled-up to the nation as a whole. This third phase was set to begin in October 2012 but some elements will begin in 2011. The project will conclude in September 2013. The monitoring and evaluation process underscores that transitioning from Phase 2 to Phase 3 is the central challenge at this mid-point of this project for the following reasons:

- The current range of activities, each with their own set of dynamic complexities, cost implications, timelines and stakeholders, have generated experience and knowledge of the place that suggests the best investments for achieving the goals defined in the original proposal to USAID.
- In a frontier-type economy, amplified by an oil boom in the Western Region, opportunities to influence the development of policy open and close at an unpredictable pace. These policy windows and their implications to ICFG must continue to be carefully examined to ensure that involvement will help achieve the ultimate goal for the project.
- There have as yet been few opportunities to integrate activities undertaken in fisheries with those designed to demonstrate good practices in coastal management.
- Difficulties with accessing the necessary technical capacity in Ghana has delayed progress on a number of Year 2 scheduled activities in the formulation of goals, policies and implementing strategies for nested governance systems for ICM and fisheries. These must link roles and actions at the community level with roles and actions at the scale of the Western Region and the nation. However, the experience gained with pilot scaled activities and better understanding the context for such fresh approaches to ecosystem governance have laid a

Figure 2: Washed feeder road along Ankobra beach

better foundation for addressing these crucial topics in Year 3. In fisheries the nature of the policy opportunities are quite different from those in coastal zone management. In fisheries, investments by the World Bank are designed to promote the transition from an open access to a managed access fishery. However, communication and dialogue with the various elements within the fishing industry has been weak and there is little understanding of the goals, the potential benefits or the strategies for achieving the desired outcomes. The enforcement of new and existing fisheries regulations is widely perceived as unplanned and erratic. The ICFG project can make a major positive contribution

by demonstrating how better communication and the integration of bottom-up forces will contribute to a nested governance system with defined roles and responsibilities for players at the community, region and national levels. In Year 3, the ICFG will partner with the World Bank project to define and implement small fisheries habitat management units, which may involve no more than 3-4 communities.

- In the Western Region the absence of a national ICM program is giving rise to a number of largely uncoordinated spatial planning efforts prompted primarily by the anticipated needs and consequences of an oil boom. The ICFG project is working to coordinate among these various activities and to tailor its efforts to promote collaboration and cross-project learning.

Figure 3: Local Fishermen pushing boat onshore at Beyin Beach

1.4 Features of the ICFG M&E framework.

As detailed in the project's Monitoring and Evaluation (M and E) component, progress toward the project's goals are being documented and evaluated by applying a combination of governance scorecards developed by the Coastal Resources Center (CRC) and SustainaMetrix and selected USAID indicators. The scorecards are structured as simplifying frameworks designed to aid in sequencing and prioritizing activities. They are heuristics for organizing and assessing the advance of an initiative that is applying the ecosystem approach to a specified area of geography. The use of these scorecards is a feature of selected project elements (such as work in three select District-level focal areas) and the project as a whole. Building a shared understanding of the how to assess progress through the policy cycle (the purpose of Scorecard #1 described below) and the measuring the degree to which the essential enabling conditions are

present (the purpose of Scorecard #2) has been a feature of training in Years One and Two. The scorecards are the basis of further self-assessments that will guide adjustments in Year 3 and the crucial transition from Phase 2 to Phase 3. The Phase 3 proposals for nested governance systems will draw heavily on the experience from the use of the scorecards in the three District-level focal areas. The features of a proposed nested coastal governance system will be developed in close consultation with the project's Advisory Council and the relevant government institutions at the national level. A summary of the progress for the project as a whole is presented below:

Table 1: Assessing process through policy cycle (Year 1 & 2)

Step in the Policy Cycle: Project as a whole	***Status: Time 1***	***Status: Time 2***
Step 1: Issue Identification and Assessment	Issue selection **Completed**, otherwise **Underway** for all four other indicators	**Underway** on all six indicators
Step 2: Design of Nested Governance Program	**Underway** on three indicators Not initiated on three indicators	Spatial boundary **Completed**, otherwise **Underway** on all indicators
Step 3: Formal Adoption	**Not initiated** for both indicators	**Underway** on both indicators
Step 4: Implementation	**Not initiated** Pilot scale activities **underway.** Implementation of a proposed nested system should occur after formal endorsement in Year 4.	**Not initiated** Pilot scale activities **underway.** Implementation of a proposed nested system should occur after formal endorsement in Year 4.
Step 5: Evaluation	**Not initiated**	**Underway** via self-assessment and routine project monitoring.

The Purpose of Scorecard #1: Assessing Progress By the Policy Cycle.

The first scorecard is based on a five-step policy cycle. It addresses the sequence of specific actions that guide the process of developing a program constructed on the principles of the ecosystem approach to a natural resource governance initiative. The policy cycle begins with an analysis of problems and opportunities (Step 1). It then proceeds to the formulation of a course of action (Step 2). Next is a stage when stakeholders, and responsible government agencies commit to new behaviors and allocate the resources by which the necessary actions will be implemented (Step 3). This requires formal commitment to a set of policies and a plan of action

and the allocation of the necessary authority and funds to carry it forward. Implementation of the policies and actions is Step 4. Evaluation of successes, failures, learning and a re-examination of how the issues themselves have changed rounds out a "generation" of the management cycle as Step 5. The five steps may be completed in other sequences, as for example, when an initiative begins with enactment of a law (Step 3) that provides the mandate for analyzing issues and developing a detailed plan of action (Steps 1 and 2). Altering the sequence, however, often comes at the cost of efficiency, as when it becomes apparent that the authorities provided by the law prove to be inadequate for implementing the actions that are required. Progress and learning are greatest when there are many feedback loops within and between the steps (Olsen et al., 2009).

Table 2: Progress in assembling enabling conditions (Year 1 & 2)

Progress in Assembling Enabling Conditions: ICFG	***Average Score - Time 1 Range: 0-3 (3 is best)***	***Average Score - Time 2 Range: 0-3 (3 is best)***	***Trend***
Unambiguous Goals: 3 Indicators	1 out of 3	0.6 out of 3	Decreasing [1]
Supportive Constituencies: 3 Indicators	1 out of 3	1.8 out of 3	Increasing
Formal Commitment: 3 Indicators	0.6 out of 3	0.6 out of 3	Same
Institutional Capacity: 5 Indicators	1.4 out of 3	1.6 out of 3	Increasing

Scorecard #2: Assessing the Preconditions for an Ecosystem Governance Program.

Many technically sound plans as well as formally enacted legislation are unimplemented as expressions of the "implementation gap" that unfortunately characterizes many initiatives in natural resource management worldwide. The Orders of Outcomes framework addresses this problem by disaggregating the ultimate goal of sustainable development into a sequence of more tangible outcomes. This is defined in the 1st Order, as the outcomes of a successful planning phase (Steps 1 through 3 of the policy cycle) by the presence of four conditions that are most essential to the effective implementation of a policy and plan of action. The 2nd Order address actions of resources users, institutions and businesses that signal the implementation of a policy and plan of action. The 3rd Order is achieved when the societal and environmental conditions targeted by the goals of the program have been achieved. The goal of the ICFG project, to be

[1] See description of these indicators in the following section and greater detail in the actual governance scorecards.

completed by the end of Phase 3 in September 2013, is defined as the assembly of the 1st Order enabling conditions for a nested governance system that addresses both coastal and fisheries issues. Some examples of 2nd Order changes in behavior that signal the initial implementation of approaches promoted by the project are anticipated in the Western Region. 3rd Order improvements in societal and environmental conditions may be identified that are attributable to the project but are not anticipated within the limited four-year period of the ICFG project. The table above shows a decrease in the rating for goals. This is due the appearance in Year 2 of new regional donor regional planning programs– Jubilee, NORAD and MEST and lack of clarity on the goals of the Fisheries Commission in its early enforcement actions. In Year 1 the project made substantial progress building constituencies within the traditional leadership system. In Year 2, the focus was on District and Regional level government and steps. There is as yet no formal commitment to the policies and plans being formulated in the focal areas. Year 2 marked the development of training programs and study tours which have considerably strengthened capacity to design and implement ICM and fisheries governance among the project's stakeholders and built the foundations for a wide spread extension of capacity building efforts.

1.5 USAID Quantitative Indicators

The Initiative has been designed to contribute to several USAID cross cutting themes on gender, decentralization, empowering Ghanaians, food security, and public-private partnerships. The primary focus of the ICFG Initiative, however, is to build the enabling conditions for an integrated approach to coastal and fisheries governance in the Western Region and a model that can guide actions and reforms at the national scale. The focus on monitoring will be based on documentation of baseline conditions as these relate to the Orders of Outcomes and Policy Cycle framework is supplemented by the following USAID indicators:

- Evidence of ICM and fisheries strategies, plans, policies, bylaws adopted by government w/time bound quantitative environmental & socio-economic targets
- Number of organizations and government agencies strengthened
- Number of stakeholders participating in resource management initiatives, workshops regional meetings/exchange visits
- Number of government personnel, community leaders and private sector stakeholders trained
- Hectares (terrestrial and marine) in areas of biological significance under improved management:
- Amount of private sector and/or government agency resources ($$) allocated for planning or implementation of ICM and fish management plans or strategies
- Number of rural households that benefit directly from USG Assistance
- Average household food group diversity score

2. THE CONTEXT FOR COASTAL AND FISHERIES GOVERNANCE IN GHANA'S WESTERN REGION

While the decentralization of governmental roles and responsibilities has been an important topic in Ghana since the 1960s, most governmental roles and responsibilities remain concentrated in agencies in Accra. The role of the regions is limited to the coordination among districts as they respond to directives and annual funding allocations channeled to them by the Ministry or Local Government. Within this centralized governmental system the scope and maturity of planning, policy making and regulation for fisheries and coastal management is very different. Responsibility for the management of fisheries lies with the National Fisheries Commission within the Department of Food and Agriculture.

Figure 4: Fisherman weaving cast net

Through a partnership between the Fisheries Commission and the World Bank, an ambitious program of reform designed to restructure the fisheries sector has proceeded through many years of planning and policy making and is set to begin implementation in late 2011. At the scale of the Western Region, the Commission is represented by an office that is responsible for data collection and has some coordinating functions in extension and enforcement. There is no clear mandate, as of yet, or delegation of authority for community-based fisheries management. This is a planned feature of the World Bank Program and as the ICFG program has begun capacity building programs in preparation for the new roles that fisheries officers will play as extension agents.

Ghana is blessed with abundant and resilient fishery resources sustained by the upwelling that produces large populations of pelagic species. This crucially important source of protein rich food to the nation and the region and major source of employment to Ghana's coastal communities is at risk due to decades of overfishing that has now transitioned to new extremes with the widespread use of illegal methods such as deep water light fishing. These open access fisheries were in the past regulated to some degree by traditional Chief Fishermen but their influence has diminished. Fisheries regulations promulgated by the national Fisheries Commission in 2010 have being flagrantly ignored. To date, enforcement efforts have been sporadic, uneven and often ill prepared. Prosecution efforts have improved significantly through ICFG training of judicial authorities. The fishery is dominated by fleets of sea going canoes that are anticipated to become more profitable and possibly more efficient if the transition from an open access fishery to a managed access fishery is accomplished and if their landing sites are upgraded and provided the necessary supporting infrastructure and services.

The context for coastal management, in contrast to the centralized and mature policy for fisheries, is one where responsibility is distributed among a number of governmental unities many of which are within the Ministry of the Environment Science and Technology (MEST). There is, however, no formally constituted national integrated coastal management program, although several proposals for the creation of such a program, or establishment of Coastal Commissions, have been proposed in national policy documents.

In the Western Region, responsibility for how the shoreline is developed, how governmental agencies respond to problems of erosion and habitat destruction and how conflicts are mediated among the many businesses and communities competing for a shorefront location is not clear at the local or national government levels. This is further complicated by the unclear role of traditional authorities.

Figure 5: Fishing at high tide in Dixcove

Major decisions on coastal development, such as the siting of new infrastructure such as a highway or airport, and decisions on major permits that require preparation of an Environmental Impact Assessment are made by governmental agencies in Accra, often with minimal consultation at the District and community scales. At the District level, shoreline development in most instances advances without the benefit of spatial planning or meaningful regulation at a time when the accelerating pace of coastal development in the Western Region makes the need for more effective and efficient planning and decision making particularly urgent. The rapidly emerging demand for the onshore facilities required by offshore oil and gas production, combined with growth in mining, rubber and palm oil production and tourism are changing rural landscapes in the coastal districts, driving urban expansion and putting pressure on previously undeveloped shorelines.

These differences in governance structure and maturity, create an urgent need for an integrating approach to coastal and fisheries governance. The World Bank support for fisheries Sector reform favors the canoe fishery and seeks to increase its efficiency by eliminating the industrial trawlers and reducing the semi-industrial fleet. However, there will be challenges to these policies given the political interests of the semi-industrial fleet. The canoe fleet is distributed across many landing sites and its future success as an efficient provider of quality seafood

requires major improvements in the onshore infrastructure and support services, notably sanitation, storage facilities, and transportation improvements. In the Western Region, competition is intensifying for shorefront sites for beach tourism, residential development and the burgeoning offshore oil and gas industry. At present landing beaches and their associated communities are unplanned, competition for space is intense and there is often no sanitation or potable water supply. Fish are often landed and processed in highly unsanitary settings and access to ice, cold storage, processing facilities and trucking is absent or improvised. There are pressing needs for improvements in community governance, including mechanisms for conflict resolution. A priority for coastal management in Ghana is to provide for an orderly development process in fishing communities and to conserve, and where feasible, restore the near-shore and estuarine habitats that are important to sustaining demersal fish populations.

3. ICFG CONTRIBUTIONS TO EFFECTIVE FISHERIES GOVERNANCE

3.1 The ICFG Approach.

The ICFG is responding to the need to strengthen the enabling conditions for the successful implementation of the national Fisheries Policy and Plan by undertaking a series of activities that focus upon the Western Region and work to model responses to the following strategically important issues:

- Establishment of a Western Region Fisheries Working Group as a forum for informed dialogue on the how to build support for a fresh approach to fisheries governance
- The need for improvements to the data gathering system in order to better link changes in fishing effort with the catches landed
- Enhancing understanding of best practices in fisheries management through seminars, study tours and an education program targeted at fishing communities
- Piloting local efforts that support national strategies for fisheries surveillance and the enforcement of fisheries regulations
- Encouraging dialogue on a more efficient and effective licensing program for the canoe fleet.

These activities are designed to complement and strengthen the transition from an open access to a managed access fishery by strengthening the pre-conditions in the Western Region for the successful implementation of the Ghanaian Fisheries Policy and Plan. The results of the self-assessment for the Fisheries aspect of the program as a whole, follows:

Results of Scorecard #1 - Assessing Progress Through the Policy Cycle.

The Ghanaian fishery policy and associated regulations has evolved since Independence through a sequence of distinct generations. The Fisheries Act adopted by parliament in 2002 created a Fisheries Commission with a mandate to establish fisheries management plans, license fishing vessels and oversee the enforcement of fisheries regulations. A Fisheries and Aquaculture Development Plan developed in collaboration with the World Bank was adopted in 2009 and revised fisheries regulations where promulgated in 2010. Some enforcement actions have been taken in 2011 seemingly with little overarching strategy. In terms of the policy cycle, the national fisheries management program has advanced through Steps 1, 2 and 3 and is at an initial phase of implementation (Step 4).

Results of Scorecard #2: The Maturity of the Enabling Conditions.

Unfortunately, the preconditions for successful implementation of the Fisheries Policy and Plan are weak or absent in the Western Region.

Goals: The Government of Ghana, through the Fisheries Commission, and in partnership with the World Bank, is working to restructure the Ghanaian fisheries sector and reform how fisheries are managed in order to make the transition from an open access to a managed access fishery. According to the most recent Aide Memoire on the collaborative effort (World Bank, January, 2011) this ambitious program will be structured as a five-year process that features:

- Freezing the size of the canoe fleet at current levels;
- Reducing the semi-industrial fishing fleet by approximately 50%;
- Removing the trawler fleet;
- Investing in infrastructure to increase the added value of fish caught by the canoes; and,
- Building the capacity and capability of the government and stakeholders to manage the fishery effectively and increase the value of the landed catch.

An initial and critically important step to this plan of action is to register and license all fishing vessels, including specifically the estimated 14,000 canoes -many are presently inactive.

Figure 6: Fishing community in Sekondi

While the Fisheries Plan and the 2010 Fisheries Regulations were the subject of several workshops designed to engage leaders in the fishing sector, knowledge of the goals of the program and of the regulations remains low. A recurring question raised in conversations between members of the ICFG project with stakeholders in the fishing sector, including several chief fishermen, is "what are the goals for fisheries – what does the government want to achieve with its new regulations?" This is a crucial question that requires an unambiguous answer.

Restructuring of the industry to favor the canoe fishery will be welcomed by the bulk of those engaged in fishing that have long pleaded for the elimination of the industrial trawlers and controls over the semi-industrial fleet. Many will resist limited entry into their fishery. But, if skillfully handled, these trade-offs could be the basis for building bottom-up political support for the reforms being pursued by the Fisheries Commission and the World Bank. This is an example of the potential for the project to develop and act upon strategies to meet this need and demonstrate the benefits of a sustained and well-informed dialogue at a time of major change in the primary source of livelihood to coastal communities in the Western Region.

Constituencies. The lack of clarity and understanding among both the leaders and the rank and file of fishers as to what the goals of the national fisheries program are, combined with flagrant violation of the regulations promulgated in 2010, demonstrate that there is little constituency for the national program within the fishing sector. The ICGF has developed promoted informed dialogue through the Fisheries Sector Working Group that has been recognized by the Fisheries Commission as a model for the nation. World experience in fisheries management repeatedly underscores that voluntary compliance is a major feature of the successful implementation of any fisheries plan and its associated regulations, and this requires support for the program within the fishing community.

Commitment: At the national level, within the Fisheries Commission, and associated partners in the Navy there is support for the fisheries reforms and high expectations that the World Bank and other international institutions will invest in the program's implementation. There is great interest in:

1. *Building awareness that "we cannot continue down the same path or we will loose our fishery"*
2. *Depoliticizing the fisheries sector*
3. *Moving towards best practices*
4. *Promoting compliance and enforcement of the regulations*

However, the frustration and disappointment brought by the failure of the community-based fisheries management initiative documented by a World Bank evaluation by (Braimah, 2009) and skepticism that District level Fisheries Committees have the potential to contribute to decentralized management in the absence of a clear legislative mandate, are major barriers to forward progress.

Capacity: The fisheries regulations promulgated by the Fisheries Commission in 2010 are widely seen by fisherman as necessary. However, their uneven enforcement is a barrier to voluntary compliance. The capacity of the government to respond to this constituency is weak. In mid-2011 police undertook several enforcement actions and the armed forces directed at light fishing and the use of small mesh gill nets. There was no significant effort before these enforcement actions to educate fishermen on the regulations, the reasons for them or the actions

that would be taken if regulations continued to be ignored. The result has been surprise, confusion and anger and mounting resistance to the Fisheries Policy within the fishing community. Effective monitoring, surveillance and enforcement actions are urgently needed and must be matched by an education, communication and consultative process that engender support within the fishing community. The following four actions are urgently needed:

1. *An educational program on the regulations and why are the needed. Establishment and training of marine police units*
2. *Catalyzing a wave of compliance starting in strategically selected landing sites*
3. *Well-planned and efficiently executed enforcement that targets equally the three fleets and all illegal fishing methods.*

3.2 ICFG activities in Years 1 and 2.

In Years One and Two the activities undertaken with the support of World Fish Center have been selected to address the key issues that can be addressed at the scale of the Western Region.
These were defined as follows:

- A review of the many studies and ongoing research on the state of the fisheries resource
- A description and analysis of fishery markets, marketing systems and fish-based livelihoods
- An overview of the cultural traditions relating to marine fishing
- Development of improved methods for gathering and presenting information of the catches and effort of the various fleets
- An analysis and formulation of strategies posed by the role of gender in all aspects of fisheries
- The preparation of case studies that examine the processes and outcomes of expressions of recent and ongoing fisheries initiatives including the pre-mix fuel subsidy program and the community-based fisheries management program (this element was not undertaken).

Activities in Year One demonstrated that while there are many strengths in the Ghanaian fisheries data collection system, a number of adjustments are needed to improve accuracy of the estimates of the volumes of fish landed and more importantly to better gauge the increases in effort that are required to achieve each harvest. In an effort led by WorldFish, additional or adjusted methods for data collection have been selected and those gathering such information have been trained in their use. A detailed Fisheries Sector Review prepared by the World Fish Center provided the project with a detailed assessment of the status of fisheries in the Western Region.

In Year Two, the ICFG created the Fisheries Sector Working group comprised of leaders of canoe and semi-industrial fleets. It has worked to advise the Fisheries Commission on the implementation of policies and regulations and to address conflicts among the fleets. The working group was officially inaugurated by the Chairman of the Fisheries Commission and is now seen as a model for the regions. Study Tours have been conducted that allow opinion leaders to see for themselves both successes and failures in various approaches to fisheries management in other African nations. This has been complemented by lectures and seminars for members of the Fisheries Commission in Accra and similar events designed to increase awareness on management options in the Western Region.

The ICFG project, as well as the future World Bank Program, has recognized the potential for small management units to co-manage and monitor habitats and sedentary demersal stocks. The management of pelagic species, in which both the fish and the fishermen migrate up and down the coast, has to occur at the scale of the nation and the much larger Guinea Current Large Marine Ecosystem (GCLME). It is especially important to recognize that the contributions that can be made to national fisheries goals by community-based fisheries management cannot be made operational until there is a formal mandate for such a decentralized approach to fisheries governance. The project is working closely with the Monitoring Control and Surveillance Program of the Fisheries Commission to improve their enforcement strategies and approaches. The ICFG project has developed a program for the training of enforcement, prosecution and judicial authorities in the Western Region that has resulted in an increase of successful prosecutions. Plans have been developed for training police units that can operate from fisheries landing sites to discourage illegal fishing methods.

Figure 7: Fisherman mending net after fishing

3.3 ICFG priorities for Years 3 and 4.

The ICFG's efforts in fisheries in Year Three will concentrate on the following:

- Work with the Fisheries Commission and the World Bank to develop models for bottom-up approaches to fisheries governance that compliment top down policy making.
- Develop models for best practices in community-based management at landing beaches
- Design and implement a communication program that addresses the implications of major changes in how fisheries are conducted in the Western Region and Ghana as a whole

- Support and inform efforts designed to promote compliance and enforcement at local levels
- Further develop options for small-scale fisheries management units.

A major emphasis in the remaining two years of the project will be to examine conditions at selected landing beaches and define how the enabling conditions may be strengthened for improving the manner in which the infrastructure and services required to receive, process and ship a highly perishable product may be put in place. This requires spatial planning in a context of climate change and strengthening the capacity of local governance systems to resolve conflicts and meet increasing demand for shorefront space from competing industries.

4. ICFG CONTRIBUTIONS TO EFFECTIVE COASTAL GOVERNANCE

4.1 The ICFG Approach.

The ICFG is working to illustrate the benefits of an approach to ICM that addresses well-defined issues and involves stakeholders in planning and policy making process that nests within land use management at larger scales. The ICFG has placed a major emphasis upon applying an approach with three major characteristics. The first is that the issues analysis and goal setting addresses both the societal and the environmental dimensions of coastal change. This is important since other on-going planning efforts tend to give scant attention to sustaining the goods and services that flow to society from wetlands, healthy estuaries and natural areas that are a basis for tourism and the quality of life of all. A second feature is to emphasize the importance of involving stakeholders from the private sector, civil society and government in framing responses to the issues of concern. The third feature of the approach advocated in the three focal areas is the importance of integrating (nesting) coastal management practices into the existing governance systems at the District, regional and national scales. In all three focal areas the traditional chiefs, who play a major role in determining how land is allocated, have a central role in this consultative process.

Box 1: Projects Contributing to Land Use Management

Box 1: Projects and Programs Contributing to Land Use Management in the Coastal Districts of the Western Region.

- The USAID-funded LOGODEP is working to build District governance capacity in the Western Region in selected Districts, including one of the ICFG focal areas (Shama) to strengthen land use management including the cadastral system and local revenue generation.
- Tullow Oil and the Jubilee Partners are sponsoring the preparation of GIS based Structure Plans for the six coastal districts in collaboration with the Ministry of Environment and Town & Country Planning.
- NORAD, the Norwegian Agency for Development Cooperation is funding the preparation of the Spatial Development Framework at the scale of the Western Region.
- Additional support for District land planning is taking place through the efforts of Town and Country Planning's Land Use Planning and Management Project. This also features the improvement of GIS capability.
- Private investment programs are also playing an important role such as the Korean led investment plan for Ahanta West. This planning effort assumes that development related to oil production will be concentrated in this area.
- Large coastal development investments such as Soroma, in Princess Town/Cape 3 Point area, are being reviewed and permitted through existing mechanisms in the absence of policies, plans and consultative procedures created specifically for the coastal environment.
- Town and country planning released a framework and a set process for spatial planning that must be followed by all future District and regional planning initiatives.

The major activity in Phase 2 has been to pilot coastal management activities in the three focal areas. These areas were selected at the end of Year 1 to illustrate conditions in coastal areas that range from areas heavily altered and rapidly urbanizing (Shama) to a rural setting as yet relatively isolated from development pressures (Amasuri). Cape Three Points was chosen as an intermediate setting in which tourism and protection/restoration of important habitats are priorities and development pressures are intensifying. By the close of year-two in September 2011, the three pilots were engaged in varying degrees in all the essential activities associated with steps one and two of the cycle. The largest effort has been in Shama District where the first step was to characterize land-use at the district scale and then attempting to define - with the engagement of multiple stakeholders - a "preferred land-use" scenario.

In the Western Region the urgent need for strengthening land use planning and decision making along the coast is recognized by the donor community and there are a number of projects and programs are underway that, like the ICFG project, are working to meet these needs (see Box 1 above).

The ICFG project is working to promote communication and collaboration among these various initiatives while recognizing that it cannot serve as the overarching integrator across all initiatives (even though such a role may be essential). The potential of the ICFG to contribute to a coordinated and nested systems of governance underscores the need for the ICFG to clearly

define what contributions it can make to improving coastal planning and decision making in manner that does not duplicate other efforts and maximizes the impacts of its contributions. This process is now underway in the three focal areas.

Results of Scorecard #1 - Assessing Progress Through the Policy Cycle.

Table 3: Results of Assessment through the policy cycle (Scorecard #1)

Step in the Policy Cycle: Shama	***Status***
Step 1: Issue Identification and Assessment	Issue selection completed, otherwise **Underway** on four other indicators
Step 2: Design of Nested Governance Program	**Underway** on six indicators
Step 3: Formal Adoption	Underway for funding required, **Not initiated** for formal mandate
Step 4: Implementation	**Not initiated**
Step 5: Evaluation	**Not initiated**
Step in the Policy Cycle: Cape Three Points	***Status***
Step 1: Issue Identification and Assessment	**Underway** on five indicators
Step 2: Design of Nested Governance Program	**Underway** on six indicators
Step 3: Formal Adoption	Underway for funding required, **Not initiated** for formal mandate
Step 4: Implementation	**Underway** for three of seven indicators The remaining four **not initiated**
Step 5: Evaluation	**Underway** on three indicators Not initiated for external evaluation
Step in the Policy Cycle: Amansuri	***Status***
Step 1: Issue Identification and Assessment	**Underway** on five indicators
Step 2: Design of Nested Governance Program	**Underway** on 4 indicators, **not initiated** on baseline conditions documented and institutional capacity developed
Step 3: Formal Adoption	Underway for funding required, **Not initiated** for formal mandate
Step 4: Implementation	**Not initiated**
Step 5: Evaluation	**Not initiated**

Step 1: *Issue Identification and Assessment:* This initial step focuses upon the identification and initial analysis of the environmental, social and institutional issues to be addressed by the ICFG in the Western Region. Stakeholders and their interests as related to those issues are identified. This step culminates in defining – with the active participation of stakeholders – the goals that define what the project will work to achieve. In Year One of the ICFG project, the principal

issues and their implications were assessed through detailed coastal community surveys, the *Our Coast Our Future* baseline, the Fisheries Sector Review and other supporting activities. The major stakeholders and their interests were identified and participated in the processes of developing these initial outputs through a number of public workshops, training sessions, surveys and informal discussions. This, in turn, led to the selection of the issues upon which the ICFG has focused its efforts in Year Two. For coastal management, the strategy has been to focus down on the focal areas as described above that are representative of the range of coastal conditions in Western Region. In these areas activities are underway that address the following priority issues:

- Identification and conservation of remaining coastal habitats (such as wetlands, estuaries, turtle nesting beaches, potential marine protected areas)
- Coastal erosion and flooding within the context of climate change
- Conflicts among those competing for a shorefront location along developed and undeveloped coastlines
- Provision of basic services in settlements (such as potable water, sanitation, on-shore facilities that support fisheries)

This "learning by doing" approach to coastal management will be a primary basis for shaping the proposal for Year 3 in order to make the transition to Phase 3.

In Year 2, ending in September 2011, the major effort has been in Shama District where the issues posed by land use were assessed first at the scale of the district as a whole before focusing down on areas where shorefront management, issues related to the fresh water supply and anticipated impacts of climate change can be addressed in a manner that involves local level stakeholders while engaging with the District officers, planners and the District Assembly. The ICFG efforts in the focal areas in Cape Three Points and Amasuri Wetlands are less advanced but have completed the issues and stakeholder identification steps and the selection of the specific areas for intervention will be undertaken.

Step 2: *Formulation of Policies and a Plan of Action.* In Step 2, a set of activities are typically undertaken by an interdisciplinary team that develops an ICM plan that has support among the stakeholders and can win formal approval in Step 3. This process requires refining the boundaries of the area or areas that will be the subject of detailed analysis, and undertaking the applied research and planning selected as the critical path for achieving the goals set in Step 1. Capacity building is a unifying thread throughout Step 2. As the participatory analysis and planning process unfolds, the policies and institutional arrangements emerge that can carry forward an ecosystem-based management scheme that addresses both environmental and societal dimensions of the focal issues. This typically involves the creation of advisory groups, a sequence of public workshops and the discussion of draft versions of the plan of action that is the principle product of Step 2.

In Year 2, the ICFG team working in Shama has identified priority areas for applying ICM approaches and tools. These include the Anankwari River, its floodplain and watershed; shoreline and fishing communities; the Pra River and associated wetlands. Investments in mapping and technical studies are identifying the key features of the shoreline, its suitability for different intensities of use and its vulnerability to climate change. By the start of Year 3 in Fall 2011, products from these studies will be available to inform the dialogue with officers in District government and through public outreach at the community level. The institutional framework for the nested governance system is being designed with the support of a District level Advisory Committee whose membership is drawn from government, civil society and business sectors has been formed. An Advisory Committee working group supports community level engagements and ensures their feedback to the Advisory Committee.

Step 3: *Formal Adoption and Funding for Implementation Secured.* Formal endorsement of the policies and plans formulated in Step 2 marks the threshold to the full-scale implementation of the ICM Plan of Action. The prospect for such formal endorsement and the securing of the funds required for implementation is dependent upon the success of the project in winning the trust and commitment of the traditional chiefs, the District Chief Executive and the District Assembly. The necessary "political will" will be dependent upon the degree to which the plan is demand-driven and has won the support of a sufficient portion of the stakeholders that will be affected by its implementation. These formal endorsements are a crucial target for the Shama demonstration project in Year Three.

The critical importance of identifying a source of funding for sustaining the efforts instigated by the ICFG has led to an effort to access carbon credits. Feasibility studies for long-term carbon and/or biodiversity offsets have been initiated but long-term partnerships have not been formally secured.

Goals. A program through which Districts identify priority areas for conservation (mangroves and other wetlands, lagoons and river estuaries, turtle nesting beaches) and "areas of concern" where detailed planning and management is most needed that addresses improvements in infrastructure in support of fisheries (landing sites, cleaning and sorting catches, cold storage, ice) and basic services (sanitation, potable water, waste disposal) are required. Such community level planning and decision making complements and acts upon important features of fisheries reforms called for by the GOG/World Bank project.

Results of Scorecard #2: The Maturity of the Enabling Conditions.

Table 4: Maturity of enabling conditions (Year 1) – Scorecard #2

Progress in Assembling Enabling Conditions: Shama	***Average Score - Time 1 Range: 0-3 (3 is best)***
Unambiguous Goals: 3 Indicators	1.6 out of 3
Supportive Constituencies: 3 Indicators	1.3 out of 3
Formal Commitment: 3 Indicators	1 out of 3
Institutional Capacity: 5 Indicators	1.4 out of 3
Progress in Assembling Enabling Conditions: Cape Three Points	***Average Score - Time 1 Range: 0-3 (3 is best)***
Unambiguous Goals: 3 Indicators	0.3 out of 3
Supportive Constituencies: 3 Indicators	1.3 out of 3
Formal Commitment: 3 Indicators	1 out of 3
Institutional Capacity: 4 Indicators	1.25 out of 3
Progress in Assembling Enabling Conditions: Amansuri	***Average Score - Time 1 Range: 0-3 (3 is best)***
Unambiguous Goals: 3 Indicators	0.3 out of 3
Supportive Constituencies: 3 Indicators	0.6 out of 3
Formal Commitment: 3 Indicators	1 out of 3
Institutional Capacity: 5 Indicators	1 out of 3

Constituencies. At this mid stage of the project the ICFG is working to demonstrate an approach to coastal management that is demand-driven and responds to the needs and concerns of its stakeholders. For the ICFG, the constituency element of the enabling conditions will be present when a core group of well-informed stakeholders is sufficiently large and motivated to propel forward a new and integrating approach to coastal and fisheries management and thereby sustain this effort once the ICFG project draws to a close in 2013. Constituencies for coastal management must be present in three distinct areas:

(1) Among the user groups that will be affected by a "fresh approach" to coastal governance, most obviously the fishers and the coastal communities who will be directly affected by measures such as construction setbacks, protection of remaining coastal habitats (mangroves and lagoons) and improvements to sanitation and the infrastructure that supports fishing activities;

(2) The larger public, including opinion leaders, religious leaders and political parties as well as informed schoolchildren, and;

(3) The institutions whose interest and support will be required if a reformed nested government system for addressing coastal and fisheries issues is to become a reality.

The success in building such a broad-based constituency can only be measured indirectly by observing the number of participants and degree of engagement and integration in the ICFG by such stakeholders in the various project activities. Such engagement can be assessed through the nature of the discourse and the actions taken by the Advisory Council chaired by the Regional Chief Executive, the Fisheries Working Group and those participating in the three coastal focal areas. By the end of Year 2, in September 2011, engagement with stakeholders at the national level has occurred in the fisheries component through exchanges with members of the national fisheries Council.

During Year 2, NORAD began sponsoring a development and land use planning process at the scale of the Western Region that is overseen by a committee chaired by the Western Region Minister. A subcommittee for coastal planning will be established. In Year 3 the potential for merging these efforts with those of the ICFG to establish a long term permanent planning structure at the region scale must be assessed.

Capacity. District level government in the Western Region, particularly in rural areas, does not have the capacity to shape and direct the process of shoreline development and in many cases is unable to provide and maintain basic services in sanitation, potable water supply, school education and transportation infrastructure. District level officials in most cases do not have current maps, access to the Internet or possess other basic requirements to support community planning and well-informed decision-making.

Questions were developed in Year Two that probe legal and institutional structures as well as the roles and authorities of the Districts and the regions in framing coastal plans. The results demonstrate that the Districts have a mandate to engage in meaningful land use planning and regulation and have the authority to designate special area management zones and define construction setbacks. They can allocate areas for different uses and, within the restrictions of a limited budget can assume responsibility for the implementation of activities that construct and maintain such public services as a potable water supply, sanitation and basic transportation infrastructure. Regional government could provide oversight and coordination to provide coherence across district level planning and decision-making. However, the authority to set standards for coastal planning and management by the districts is at the national level. The anticipated initiation by the ICFG of the design of a nested governance system for coastal planning and decision making was postponed in Year 2 in response to the many new planning and management initiatives that have got underway and that add new dimensions to an already complex governance landscape. An informed and sustained dialogue on the needs for, and the design options for such a nested system will be a priority in Year 3.

By the close of year two, in September 2011, actions at the three pilots have produced results in varying degrees with evidence of progress in all the essential activities associated with steps one and two of the cycle. The largest effort has been in Shama district. It is important to note that the scorecards suggest that these activities are not making a sufficient distinction between the

activities associated with step one and those associated with step two. In Shama, for example, detailed planning on selected sub focal areas are being conducted before agreement has been reached with local stakeholders on the issues affecting the district as a whole and which issues should be addressed by the ICFG. The Shama program has been involved in a district-wide effort to characterize land-use at the district scale and then attempting to define - with the engagement of multiple stakeholders - a "preferred land-use" scenario. While this was in response to a request from the District Chief Executive, it overtaxed the capacity of the ICFG team and operated at a scale more suitable for the other projects that are now working to meet the needs for more effective land-use planning and management in the coastal districts. In all three focal areas a greater effort must be made at the beginning to define the goals of the ICFG effort and the issues that it will address in each focal area. The parallel activities underway by Tullow Oil and Jubilee Partners, LOGODEP and others make it important to be clear on what the ICFG can contribute and what is beyond the ICFG's capabilities and priority interests.

Commitment: At this stage in the process of building the conditions for coastal management it is too early to assess the degree to which the coastal Districts and the officials in Regional offices are committed to the approaches recommended by this project.

4.2 ICFG Priorities for Year 3.

In year 3 the project must articulate the specific goals for fisheries and coastal management that define both what results are desired and differentiate between the different roles and responsibilities of Districts, the Region and national government in attaining those results. As ICFG activities in the three focal areas advances we will identify priority areas for conservation (mangroves and other wetlands, lagoons and river estuaries, turtle nesting beaches) and "areas of concern" where detailed planning and management is most needed that addresses improvements in infrastructure in support of fisheries (landing sites, cleaning and sorting catches, cold storage, ice) and basic services (sanitation, potable water, waste disposal) are required. Such community level planning and decision making complements and acts upon important features of fisheries reforms called for by the GOG/World Bank project. These applications of ICM practices should also identify, at the scale of the three Districts, prime sites for tourism as well as areas most vulnerable to erosion and the impacts of climate change.