

SUSTAINABLE FISHERIES MANAGEMENT PROJECT (SFMP)

Organizational Capacity Assessment Report (NAFPTA)



2016





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ACRONYMS

CSO	Civil Society Organization		
DO	Donor Organization		
LOP	Life of Project		
NAFPTA	National Fish Processors and Traders Association		
NGO	Non-Governmental Organization		
OCA	Organizational Capacity Assessment		
OD	Organizational Development		
SFMP	Sustainable Fisheries Management Project		
SNV	Netherlands Development Organization		
SOP	Standard Operating Procedure		
SWOT	Strength, Weakness, Opportunity and Threats		
URI	University of Rhode Island		
US	United States		
USAID	United States Agency for International Development		
WARFP	West African Regional Fisheries Program		

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1.0 INTRODUCTION

USAID has committed approximately \$24 million US Dollars to the implementation of the five (5) year Ghana Sustainable Fisheries Management Project (SFMP) running from October 2014 to October 2019. The project is tasked with rebuilding marine fisheries stocks and catches through adoption of responsible fishing practices. This important project contributes to the Government of Ghana's fisheries development objectives and USAID's Feed the Future Initiative.

To become strong and effective, organizations/ Associations need to assess and analyze the roots of their successes and challenges. As part of the project, SNV is leading the capacity building component to support and prepare local organizations and Associations to receive funding directly from USAID and other Donor Organizations (DOs).

The objective of the capacity development initiative is to facilitate and support the development and strengthening of capacities of key Local Partner organizations to:

- Allow for the **effective implementation** of the SFMP project
- Improve the **quality and sustainability** of the services they provide to their constituencies, and
- Position participating Local NGOs/ Associations/ Alliances to be ready and **capable of receiving direct funding** from USAID and other donors in line with the USAID Forward initiative.

The OCA process carried out involved the following 3 steps:

- Step 1- Self- Assessment
- Step 2- Full OCA On-Site Assessment
- Step 3- Participatory Evaluation of Results and Action Plan Development.



To promote ownership of the capacity development intervention, SNV/CRC-URI used participatory self-assessment tools that included inputs from the constituencies served by our partner organizations; CSO's and key government institutions and universities.

2.0 ABOUT NAFPTA

The National Fish Processors and Traders Association (NAFPTA) is one of the beneficiaries of the OCA process.

It is an association of Fish Processors and Traders across Ghana. The Association was inaugurated on the 31st of March 2015 by the First Lady of Ghana, Mrs Lordina Mahama and the Fisheries Minister, Honourable Sherry Ayittey. The Association had its certificate of registration on the 29th of April 2016. In total, the Association is active in 61 districts in Ghana with 212 local groups across the ten regions of Ghana. The Association has a total membership of about 14, 700. Since the birth of NAFPTA, it has served as a platform to

address the concerns of fish processors through networking, experience sharing and training, contributing to the growth of the fisheries sector.

The Ministry of Fisheries and Aquaculture Development, together with the Fisheries Commission and the West African Regional Fisheries Programme (WARFP) facilitated the setting up of the association to ensure that Fish Processors and Traders have a unified voice in all their endeavours and to make collective contributions to fisheries policies and programmes at the National, Regional and Local levels.

With regards to NAFPTA, the assessment team fused the approaches of Self-Assessment and On-site Assessment with guidance from SNV to fill the OCA tool.

Following the OCA, a tailored action plan was developed in collaboration with NAFPTA. The Action Plan will allow NAFPTA to measure its progress and ensure it is on track for the mid-term and final evaluations. Steady progress over the LOP is very important and the Action Plan will assist with keeping NAFPTA on track. Progress according to the Action Plan will be measured and monitored regularly throughout the life of the project.

2.1 SCORING

The assessment was categorized into 6 main topical issues including:

- Governance
- Programs
- Financial Management
- External Relations
- Human Resources
- Partnerships Sustainability

The assessment scale run from numbers 1-6 with "1" representing a very urgent need and "6" suggesting all is in order and there is no need for change. The assessment scale was instrumental not only in understanding where the NAFPTA is as regards performance but also it assisted in prioritizing focus areas in the Action Plan.

Organizational Capacity Assessment Scale



- 1= Needs very urgent attention
- 2= Needs urgent attention
- 3= Needs many improvements, but without urgency
- 4= Needs to improve some aspects, but without urgency
- 5= Needs some minor adjustment, but without urgency
- 6= No need for improvements

During the OCA Orientation session, SNV stressed to NAFPTA that it is to their benefit to be fully open, objective and transparent with regard to assessing themselves.

During the orientation, SNV clarified that we were the facilitators of the process and not judging NAFPTA. We are to support NAFPTA to identify and work through their weaknesses to become a strong organization that is fully prepared and well-positioned to increase their changes of receiving direct donor funding. SNV stressed that NAFPTA's success was their success and ultimately Ghana's success. This high level of trust developed with NAFPTA promoted the free flow of information and open dialogue throughout the process.

On 31st October and 1st November, 2016, SNV conducted a capacity assessment for NAFPTA as part of assessing their operations. The results of the assessment have helped both NAFPTA and SNV to determine the way forward for collaboration and these were captured in Action Plans.

2.2 Results of NAFPTA Assessment

As earlier indicated, the assessment of NAFPTA was categorized into 6 main topical issues including, governance, programs, human resource, financial management, and external relations and partnerships sustainability.

Overall, the National Fish Processors and Traders Association is a very strong and vibrant Association with high level commitment from their Executive Team. The leadership is very committed to making the Association strong. Though they are only one year old, their influence in the fisheries sector cannot be overemphasized. Their capacity as regards formal education is very limited and this may pose consequences to the Association going forward since they have to deal with understanding legal documents and its implications, meet industry players and holding talks with technical fisheries expects. On the other hand, the competence of the members in the fisheries sector is very rich and that could make up for the deficiency of the general membership of the Association.

Though the willingness to make the Association stronger is obvious on the side of the leadership and members, the structures are weak or virtually non-existent. The Organizational Capacity Assessment has exposed so many defects in the Association which needs commitment to work on it.

As shown in Figure 1, the Association scored averagely twos and threes in the domains which either meant the domain needed urgent attention or needed many improvements though without urgency. All the necessary issues that needs to make NAFPTA take off as a strong Association has been addressed in the Action Plan that will be monitored by SNV and SFMP.

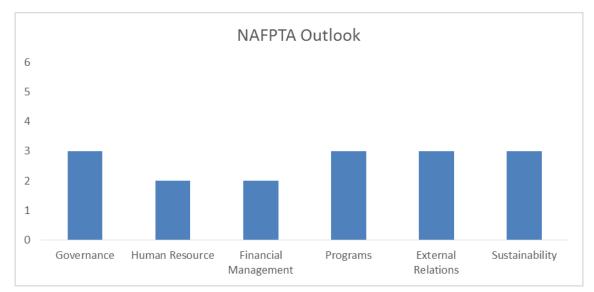


Figure 1 Outlook of NAFPTA

3.0 GOVERNANCE

The main objective of the governance category was to establish the mechanisms designed to provide guidance and direction for organizational performance by reviewing the organization's guiding principles, structures, oversight and varied interest of constituents.

3.1 Legal Status

NAFPTA, though has been operating for the past one year was only fully registered on the 29th of April 2016. Evidence of registration has been added as addendum on page 27. As regards the Constitution of NAFPTA, the Assessment team noticed that the Constitution needed to be worked on. On the other, the executives of NAFPTA assured the Assessment team that the constitution is being reviewed with the help of a Consultant.

The Association has not developed administrative manuals to guide their day to day operations. The Assessment team was also informed by the Executives that some of them do not understand their functions, hence the development of administrative and procedure manuals is needed.

The Assessment team scored NAFPTA an average of 3, which means that NAFPTA needs to improve many aspects of their constitution though without urgency.

3.2 Board of Directors

The objective of assessing the Board of Directors was to establish the existence of a board and to assess the effectiveness and efficiency of the board to provide oversight and advice to the Executive Team.

From discussions with the Executive team, it was established that NAFPTA operates with an Advisory Board. This Advisory Board was chosen by the Minister of Fisheries and Aquaculture Development and is accountable to the Minister of Fisheries and Aquaculture Development. This Advisory Board has no defined tenure.

For best practices, there is the need to establish a Board of Directors with definite mandates and membership. The Board of Directors will give more of Advisory and Policy directives to the Executive team. Since per the status quo, the Advisory Board reports to the Minister, there will be the need to establish a Board of Directors with clear guidelines and responsibilities in their constitution. The Board will also play the role of fund raisers and advocates for the Association.

The Assessment team scored NAFPTA an average of 1, which means that NAFPTA needs very urgent attention as regards establishing a Board of Directors to compliment the work of the Advisory Board.

3.3 Fiscal Committee

NAFPTA has no established Fiscal Committee. Therefore, NAFPTA would need a Fiscal Committee to be responsible for the financial administration of the organization, that includes ensuring that financial procedures are followed as regards procurement, ensuring that both internal and external audits are conducted, as well as budgeting and financial reporting.

The Assessment team scored NAFPTA an average of 1, which means that NAFPTA needs very urgent attention as regards establishing a Fiscal Committee.

3.4 Executive Team

The objective was to assess the competitiveness and transparency attached to recruiting members of the executive team and assess if the executive team is efficiently operationalizing the philosophy of NAFPTA.

The executive team's recruitment is through a rigorous process of voting. This is very positive since it allows for participatory decision making. The unfortunate issue is the fact that the capacity of the Executive team as regards formal education is very limited and writing of minutes at meetings and other important gatherings is challenging. The executive team has not have the capacity to fund raise though the will is there. The Executive team has not developed strategic plans to engage donors due to capacity deficits in that regard.

The Assessment team scored NAFPTA an average of 2, which means that NAFPTA needs urgent attention as regards building the capacity of the Executive team.

3.5 Mission and Goals

It is important NAFPTA has a well-defined mission and a clear understanding of its identity. It should be actively involved in regular, results-oriented, strategic, and self-reflective thinking and planning that aligns strategies with the mission and organizational capacity. The objective was to assess if NAFPTA's mission and goals.

Though NAFPTA has a clear focus on their mission and goal as an Association, this has not led to any strategic planning. Again, the issue of capacity comes up clearly. NAFPTA does not have a medium to long term plan, so understanding their mission and goal is in isolation due to capacity deficits. This may not make NAFPTA attractive to donors.

The Assessment team scored NAFPTA an average of 3, which means that NAFPTA needs to improve many aspects of their Mission and goal by linking it to strategic planning - though without urgency.

3.6 Beneficiary Groups

This was to assess if NAFPTA's beneficiary groups is well defined and to assess the effectiveness as regards collaboration with its beneficiary groups.

It is obvious that NAFPTA has a clear focus as regards the entitlements of its beneficiary groups which includes the Fish Processors and Traders Association. Members of the beneficiary group at the community levels are well aware of the activities of the Association. Their needs are incorporated in decision making at the National Level.

The Assessment team scored NAFPTA an average of 5, which means that NAFPTA needs some minor adjustments with regard to dealing with its beneficiary groups but without urgency.

3.7 Leadership

This is one of the assets of the Association. NAFPTA has a very strong leadership which is up to the task of ensuring a vibrant Association. Madam Regina Solomon and her team are providing the leadership they know best. One strong asset of NAFPTA is their decision – making skills. The only issue with leadership is ensuring that membership is capacitated in the form of literacy and small business management training.

The Assessment team scored NAFPTA an average of 5, which means that NAFPTA needs some minor adjustments with regard to dealing with their leadership but without urgency.

4.0 HUMANS RESOURCE

4.1 Staff

This was to assess NAFPTA's recruitment processes for staff regarding job descriptions and to assess skills, experience and talent of recruited staff as consistent with their mission and programs.

The Assessment team realized that NAFPTA does not have any recruited staff though the President works with a secretary. It is imperative for NAFPTA to work with recruited staff to support the leadership of the Association. These staff will have clear job descriptions with regard to their responsibilities.

The Assessment team scored NAFPTA an average of 1, which means that NAFPTA needs very urgent attention as regards recruiting staff.

4.2 Human Resource Development

Since NAFPTA does not have any recruited staff, human resource development issues are not factored in their planning. Also members are not directly developed though they participate in trainings organized by other organizations.

For NAFPTA to remain relevant and competitive, it is important for the leadership to ensure that staff recruited will be given periodic training and capacity so as to make the Association relevant and competitive.

The Assessment team scored NAFPTA an average of 1, which means that NAFPTA needs very urgent attention as regards recruiting human resource development.

4.3 Gender Issues

NAFPTA is predominantly populated with women. The issue of gender though not consciously promoted, is factored in filling of positions. There are men who are spear heading the affairs of NAFPTA in some of the regions. One typical example is the Western Regional Branch of the Association.

The Assessment team scored NAFPTA an average of 5, which means that NAFPTA needs some minor adjustments with regard to Gender issues but without urgency.

4.4 Salaries and Benefits

Since NAFPTA does not have any recruited staff, issues of salaries and benefits are not factored in their planning processes. Going forward into the future, it is important for NAFPTA to make provision for staff recruitment and remuneration terms of salaries and benefits.

To ensure that NAFPTA is competitive and vibrant, competitive salaries per local associations have to be paid to recruited staff.

The Assessment team scored NAFPTA an average of 1, which means that NAFPTA needs very urgent attention as regards issues of salaries and benefits.

5.0 FINANCIAL MANAGEMENT

The objective of this section was to assess the state of the accounting system, budgetary systems and financial control and inventory management systems of NAFPTA.

5.1 Accounting System

The objective of this was to assess if NAFPTA has a clearly defined chart of accounts to facilitate programs.

It is unfortunate that NAFPTA does not have any accounting systems in place. One of the key reasons is the issue of capacity. It is on that score that the leadership of NAFPTA must recruit staff to support them in that regard. Until that is done, NAFPTA will be operating like a "mini" shop which is only making expenditure without really understanding the implications of their expenditure.

The Assessment team scored NAFPTA an average of 1, which means that NAFPTA needs very urgent attention as regards their Accounting Systems.

5.2 Budget

The objective was to assess if NAFPTA has an annual budget as an organization which is reviewed and approved by the Fiscal Committee and Board of Directors

The Assessment team found out that NAFPTA develops budget for activities annually. The issue realized from the deliberations was that the budget is submitted to the Advisory Board for review and approval. This breaches best practices since approval for annual budgets should not be from the Advisory Board but rather a Board of Directors within NAFPTA or the Fiscal Committee. The Advisory Board can only comment but should not be the approving authority of an Association's budget. It is the Board of Directors which should analyze expenses as against the budget on a quarterly basis.

The Assessment team scored NAFPTA an average of 3, which means that NAFPTA needs to improve many aspects of their Budgeting as regards who approves it though without urgency.

5.3 Financial Control and Inventory Management

The objective of this assessment was to establish if the financial control and inventory management of NAFPTA is up to date and effective.

The Assessment team identified that NAFPTA's financial and inventory control management is not the best. It was unfortunate that cash transactions do not follow best practices such as, "who disbursed the funds," "who received the funds" and "who authorized the funds" and "how the funds will be spent". Also best practice such as retiring funds before being given some more funds does not apply to the Association.

Internal and external audits have not been conducted on the finances of the Association. Also as regards procurement, best practices are not complied with.

The Assessment team scored NAFPTA an average of 1, which means that NAFPTA needs very urgent attention as regards their Financial Control and Inventory Management.

5.4 Financial Reports

The objective of this was to assess NAFPTA's financial reports to establish if reports are submitted quarterly for review and eventually approved by the fiscal committee.

It was obvious from the Assessment that capacity to write financial reports is zilch. It is an unfortunate reality since NAFPTA needs to write and submit financial reports looking at their membership of 14,700. NAFPTA needs staff urgently to help them write such financial reports.

The Assessment team scored NAFPTA an average of 1, which means that NAFPTA needs very urgent attention as regards their Financial Reporting.

6.0 PROGRAMS

6.1 Program Development

The objective of this assessment was to measure the level of beneficiary groups' involvement in program design and to assess the feasibility of program goals.

The Association is not doing badly as regards program development though it can be improved. Members are part of identifying programs though these programs are not regular. The Association is currently in talks to identify a new program such as shito making. All concerns from members are being factored in the design of the shito making training.

The Assessment team scored NAFPTA an average of 3, which means that NAFPTA needs to improve many aspects of program development though without urgency.

6.2 Sectoral Expertise

NAFPTA's sectoral focus is clear and strategic. There is also knowledge transfer, advocacy and networking in areas such as fisheries The leadership of NAFPTA is clear on where the Association wants to go though there are capacity challenges.

The Assessment team scored NAFPTA an average of 5, which means that NAFPTA needs some minor adjustments with regard to their sectoral focus.

6.3 Beneficiary Group Involvement

NAFPTA's priorities are defined in collaboration with representatives of their targeted groups. The beneficiary groups targeted are actively involved as true partners of NAFPTA's work. The major issue is that, NAFPTA does not have avenues for reaching other NGOs working with their beneficiary groups.

The Assessment team scored NAFPTA an average of 5, which means that NAFPTA needs some minor adjustments with regard to their beneficiary group involvement.

6.4 Program Monitoring and Evaluation

On the issue of Program Monitoring and Evaluation, NAFPTA needs to do more to monitor and evaluate their programs. It is clear that NAFPTA does not have logistics for monitoring and this is hampering work as regards monitoring and evaluation.

The Assessment team scored NAFPTA an average of 1, which means that NAFPTA needs very urgent attention as regards Program Monitoring and Evaluation.

6.5 Program Reports

As regards the issue of Program reports, executives of NAFPTA do their best to write reports. These reports are reviewed by the President of NAFPTA. The reports are not in the best shape due to capacity issues but at least the reports are written.

The Assessment team scored NAFPTA an average of 4, which means that NAFPTA needs to improve some aspects of Program reporting but without urgency.

7.0 EXTERNAL RELATIONS AND PARTNERSHIPS

This was to assess the relationship between NAFPTA, its partner NGOs, government partners, private sector and the media.

7.1 Relationship with the Beneficiary Groups

NAFPTA as an Association is credible in the eyes of the groups it serves. The Association understands the needs and the capabilities of the groups it currently serves.

The Assessment team scored NAFPTA an average of 6, which means that NAFPTA needs no improvement as regards relationship with their beneficiary groups.

7.2 Relationship with NGO Partners

NAFPTA has relationship with other NGOs such as Development Action Association and some international organizations. Though there exists a relationship, it can be strengthened.

The Assessment team scored NAFPTA an average of 4, which means that NAFPTA needs to improve some aspects of their relationship with NGO Partners but without urgency.

7.3. Relationship with Government Partners

NAFPTA has a working relationship with Government Partners. They are seen as surrogates of Government and its key Partners such as the Fisheries Commission. This notion needs working on if NAFPTA is going to remain viable.

The Assessment team scored NAFPTA an average of 3, which means that NAFPTA needs many improvements as regards relationship with Government Partners but without urgency.

7.4 Relationship with Donors and the Private Sector

NAFPTA's relationship with donors and the private sector though cordial has not translated into major funding. One of the reasons could be due to issues of structures. The

organizational structures of NAFPTA needs serious overhaul if the private sector will invest major funds into the Association. As it stands now, the private sector's perception of NAFPTA may only lead to sympathizing with them but not to committing resources.

The Assessment team scored NAFPTA an average of 1, which means that NAFPTA needs very urgent attention as regards donor and private sector relations.

7.5 Public Relations

NAFPTA does some Public relations work to try and promote the image of the Association. It is important that Public Relations helps shape the Association as regards how the public views NAFPTA. The Association needs to do some more work to brand itself in the eyes of the public. NAFPTA needs to also disseminate information on its programs using flyers, flexi-banners, T-shirts etc.

The Assessment team scored NAFPTA an average of 4, which means that NAFPTA needs to improve some aspects of their Public relations.

7.6 Press Relations

The use of the press by NAFPTA can improve though members use the press for public education. The press contacts the Association to discuss issues of their mission as regards fisheries.

The Assessment team scored NAFPTA an average of 4, which means that NAFPTA needs to improve some aspects of their Press relations.

8.0 SUSTAINABILITY

The objective was to assess the strategy put in place by NAFPTA to ensure program, institutional and financial sustainability. The Association must secure support from a variety of sources to ensure the Association's revenues are diversified, stable, and sufficient for the mission and goals. The Association should establish and maintain high visibility with donors and key stakeholders while linking clear, strategic messages to its resource development efforts.

As regards Program, Institutional and Financial Sustainability, NAFPTA needs to do more since after the end of the support from the Sustainable Fisheries Management Project and the West African Regional Fisheries Program (WARFP), NAFPTA may face sustainability challenges.

The Assessment team scored NAFPTA an average of 3, which means that NAFPTA needs to improve many aspects as regards sustainability.

9.0 GENERAL OUTLOOK OF NAFPTA (SWOT)

Strong Executive Team Wealth of experience on	Fisheries issues
eakness	
Weaning commitment by	some members
nefficient systems to ens	
neffective financial man	
Constitution still in draft	form
No elected Board of Dir	ectors
No official office space	
No Fiscal Committee	
Weak governance structu	ires
No Long term strategic F	
Unsustainable funding so	ource
No Paid Staff	
Weak Constitution	
Politcal interference	
Unpertubed Advisory Bo	bard
pportunites	
Need to use this assessm	nent to rebrand the Association
	ld organizational capacity
Support from West Afric	an Regional Fisheries Programme to grow the Association
1reats	
Weaning commitment by	Membership
Jnsustainable funding so	-
Veak Governance struct	

Figure 2 SWOT

SWOT Analysis Results and Rating Scale

- 1: Very low
- 2: Low
- 3: Moderate
- 4: Moderately average
- 5: High
- 6: Very High

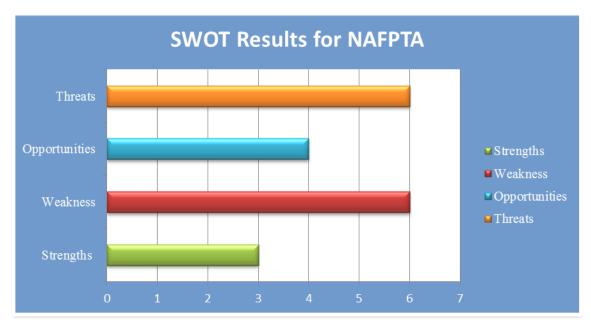


Figure 3 SWOT Results for NAFPTA

10.0 ACTION PLAN

After the Organizational Capacity Assessment, the identified issues were highlighted and factored into the Action Plan. This Action Plan will be monitored to measure the level of progress and compliance. Ruth Sekyere from the SFMP office will provide capacity support as regards monitoring aspects of the Action Plans.

DOMAIN	ACTION	TIMELINE	RESPONSIBILITY
Governance	 Develop administrative and Procedure manual Finalize and adopt Constitution Reconstitute Board of Directors (Board Members mandates does not exceed 3 years and that Board Members cannot serve more than 2-3 mandates) Set up a fiscal committee and other committees 	 End of January 2017 End of February 2017 March 2017 March 2017 Movember 2016 End of February 2017 June 2017 March 2017 November 2016 June 2017 November 2016-November 2017 January 2017 	 President SFMPSNV NAFPTA NAFPTA NAFPTA NAFPTA/SFMP/SNV NAFPTA NAFPTA NAFPTA NAFPTA NAFPTA/SNV/SFMP NAFPTA/SFMP/SNV

Table	1	Action	plan
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DOMAIN	ACTION	TIMELINE	RESPONSIBILITY
	 Develop annual plans, programs and budgets Develop of a Knowledge Management Strategy (Communicatio ns strategy, Websites, IEC Materials, SMS, Social media etc. Develop a Strategic Plan Develop Board Charter Develop Board Charter Develop Board Charter Develop a strategic Plan Develop a strategic Plan Develop a strategic Plan Develop Board Charter Develop a strategic Plan Develop Board Charter Develop a strategic Plan Develop Board Charter Develop Board Charter Develop a strategic Plan Develop Board Charter Organize state Stat		
Human Resource	 Hire Two (2) Staff for coordination and administrative issues NAFPTA getting their own office space and furnishing Purchase of a Land for a Training center 	 July 2017 November 2016 January –March 2017 November 2016-November 2017 November 2016-November 2016-November 2017 	 NAFPTA/SNV NAFPTA/SFMP NAFPTA/SFMP NAFPTA/SFMP/ SNV

DOMAIN	ACTION	TIMELINE	RESPONSIBILITY
	 and Offices Conduct a capacity needs assessment and develop a capacity building plan for members/ Staff Literacy and Small Business Management Training 		
Financial Management	 Develop a fund raising strategy Develop financial guidelines to help guide the management team Publish annual and financial reports on web sites when website is developed Auditing of Finances (NAFPTA) 	 March 2017 April 2017 January 2017 February 2017 	 NAFPTA/SNV NAFPTA/SNV/SFMP NAFPTA NAFPTA
Programs	 Organize Training Programs for Regional members on healthy fish Support members to attend trainings on Association strengthening and Healthy Fish issues Conduct environmental scan of opportunities in other areas of fisheries 	 December 2016 January 2017 September 2017 	 NAFPTA NAFPTA NAFPTA

DOMAIN	ACTION	TIMELINE	RESPONSIBILITY
External Relations	 Develop Communicatio n and Branding strategy. Develop a Strategic engagement plan with the private sector- Concept Note Develop and improve web relations and regularly updates of NAFPTA programs on website. 	 June 2017 January 2017 June 2017 	 NAFPTA NAFPTA NAFPTA
Sustainability	 On Institutional Sustainability - improve and explore advantages from Donor community and established Associations On Financial Sustainability- Develop a diversified funding Strategy linked to the strategic plan for sustaining programs over the long-term 	 December 2016 March 2017 	 NAFPTA NAFPTA

ANNEX



