



USAID | GHANA

FROM THE AMERICAN PEOPLE

October 22, 2014

Ms. Winifred C. Nwangwu
Director, Office of Sponsored Project
Division of Research and Economic Development
University of Rhode Island
70 Lower College Rd
Kingston, RI, 02881-1967
United States of America

Reference: RFA-641-14-000005

Subject: Cooperative Agreement No. AID-641-A-15-00001
Sustainable Fisheries Management Project

Dear Ms. Nwangwu:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the U.S. Agency for International Development (USAID) hereby awards to University of Rhode Island, hereinafter referred to as the "Recipient", the sum of \$23,987,826 to provide support for a program entitled "Sustainable Fisheries Management Project" as described in the Schedule of this award and in Attachment B, entitled "Program Description."

This Cooperative Agreement is effective and obligation is made on October 22, 2014 and shall apply to expenditures made by the Recipient in furtherance of program objectives during the period beginning with the effective date and ending October 31, 2019. USAID will not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

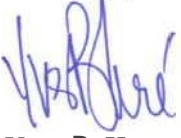
This Cooperative Agreement is made to the Recipient, on condition that the funds will be administered in accordance with the terms and conditions as set forth in Attachment A (the Schedule), Attachment B (the Program Description), Attachment C (the Standard Provisions) and Attachment D (Branding Strategy and Marking Plan), all of which have been agreed to by your organization.

U.S. Agency for International Development
No. 24 Fourth Circular Rd
Cantonments, Accra
P.O.Box 1630, Accra-Ghana

Tel: 233-21-741200
Fax: 233-21-741365
www.usaid.gov/missions/gh

In the space provided below, please sign to acknowledge your acceptance of this award, and return the original to the Agreement Officer.

Sincerely yours,



Yves B. Kore
Supervisory Regional Agreement Officer
USALD/West Africa

Attachments:

- A. Schedule
- B. Program Description
- C. Standard Provisions
- D. Branding Strategy and Marking Plan

ACKNOWLEDGED:

By URI:

NAME: _____

TITLE: _____

SIGNATURE: _____

DATE: _____

A. GENERAL

1. Amount Obligated: \$ 5,181,401.00
2. Remaining Amount to be obligated: \$18,806,425.00
3. Total Estimated USAID Amount: \$23,987,826.00
4. Cost-share Amount (Non-Federal): \$ 4,797,565.00 (20%)
5. Total Program Amount: \$28,785,391.00
6. Activity Title: Sustainable Fisheries Management Project
7. USAID Technical Office: Economic Growth
8. Agreement Officer's Representative (AOR): Justice Odoi
9. Tax I.D. Number: 223011455
10. DUNS No.: 144017188
11. LOC Number: 80A6P

B. SPECIFIC

REQ-641-14-000038

DOAG NUMBER	BBFY	EBFY	Program Area	DIST	Program Element	Line No.	EOCC	BGA	FUND	Amount
641-SOAG-006-8	2008	2009	A21	641-M	A133	13	4100201	641	DV	\$2,027.00
641-AA-A18-10-00	2010	2011	A18	641-M	A073	3	4100201	641	DV-GFSI	\$156,124.68
641-AA-A18-10-00	2010	2011	A18	641-M	A074	4	4100201	641	DV-GFSI	\$47,664.00
641-AA-A18-11-00	2011	2012	A18	641-M	A073	1	4100201	641	DV-GFSI	\$272.00
641-AA-A18-11-00	2011	2012	A18	641-M	A074	2	4100201	641	DV-GFSI	\$100,000.00
641-AA-A18-11-00	2011	2012	A26	641-M	A140	6	4100201	641	DV-GFSI	\$200,000.00
641-AA-A18-11-00	2011	2012	A26	641-M	A140	4	4100201	641	DV-GFSI	\$181,233.00
641-DA-002-A18-12-00	2012	2013	A18	641-M	A073	2	4100201	641	DV-GFSI	\$15,462.00
641-DA-002-A18-12-00	2012	2013	A18	641-M	A074	1	4100201	641	DV-GFSI	\$2,448,140.00
641-DA-002-A18-12-00	2012	2013	A21	641-M	A085	3	4100201	641	DV	\$1,200,000.00
641-DA-002-A18-12-00	2012	2013	A26	641-M	A140	5	4100201	641	DV	\$100,000.00
641-DA-002-A18-13-01	2013	2014	A18	641-M	A074	2	4100201	641	DV-GFSI	\$730,478.32
Total Obligated Amount this action										\$5,181,401

C. PAYMENT OFFICE

M/CFO/CMP-LOC
RONALD REAGAN BUILDING
1300 PENNSYLVANIA AVE., NW
WASHINGTON, D.C. 20523-7700

**Attachment A
SCHEDULE**

A.1 PURPOSE OF COOPERATIVE AGREEMENT

The purpose of this Cooperative Agreement is to provide support for the program described in Attachment B to this Cooperative Agreement entitled "Program Description."

A.2 PERIOD OF COOPERATIVE AGREEMENT

1. The effective date of this Cooperative Agreement is October 22, 2014. The estimated completion date of this Cooperative Agreement is October 31, 2019.
2. Funds obligated hereunder are available for program expenditures for the estimated period from the effective date through September 30, 2015.

A.3 AMOUNT OF COOPERATIVE AGREEMENT AND PAYMENT

1. The total estimated amount of this Cooperative Agreement for the period shown in A.2.1 above is \$23,987,826.
2. USAID hereby obligates the amount of \$5,181,401.00 for program expenditures during the period set forth in A.2.2 above and as shown in the Budget below. The Recipient will be given written notice by the Agreement Officer if additional funds will be added. USAID is not obligated to reimburse the Recipient for the expenditure of amounts in excess of the total obligated amount.
3. Payment will be made to the Recipient by Letter of Credit in accordance with procedures set forth in 22 CFR 226.

A.4 COOPERATIVE AGREEMENT BUDGET

The following is the Agreement Budget, including local cost financing items, if authorized. Revisions to this budget shall be made in accordance with 22 CFR 226.

International travels incorporated in URI application dated October 8, 2014 are approved in accordance with the requirement of Standard Provision M.17 Travel and International Air Transportation a) (2).

Budget line items	Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL
Direct costs	\$1,822,674	\$2,261,073	\$2,128,959	\$1,459,617	\$1,514,136	\$9,186,458
Subgrantees and Grants	\$2,773,188	\$2,520,389	\$2,390,062	\$1,902,488	\$1,382,086	\$10,968,213
Construction	\$60,000	\$58,643	\$37,214	\$38,330	\$ -	\$194,187
Training	\$ -	\$64,865	\$114,128	\$78,365	\$ -	\$257,358
Total Direct Cost	\$4,655,862	\$4,904,970	\$4,670,363	\$3,478,800	\$2,896,222	\$20,606,216
Indirect Costs	\$695,091	\$775,133	\$753,263	\$589,762	\$568,361	\$3,381,610
Grant Total USAID	\$5,350,953	\$5,680,103	\$5,423,626	\$4,068,562	\$3,464,583	\$23,987,826
					Cost Share	\$4,797,565
					TOTAL PROGRAM	\$28,785,391

A.5 REPORTING AND EVALUATION

A.5.1. Financial Reporting

- (1) The recipient must submit the Federal Financial Form (SF-425) on a quarterly basis via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>). The recipient must submit a copy of the FFR at the same time to the Agreement Officer and the Agreement Officer's Representative (AOR).
- (2) The recipient must submit the original and two copies of all final financial reports to USAID/Washington, M/CFO/CMPLOC Unit, the Agreement Officer, and the AOR. The recipient must submit an electronic version of the final Federal Financial Form (SF-425) to U.S. Department of Health and Human Services in accordance with paragraph (1) above.

A.5.2. Program Reporting

The Applicant shall submit one original, two (2) hard copies and an electronic copy of the following reports in English to the USAID/Ghana AOR for approval:

Annual Work Plans and Budgets

First Annual Work Plan

Due no later than 60 calendar days after the effective date of this award. The Recipient should consult with partners, those USAID/Ghana FTF projects that support or are supported by this Program Description, and stakeholders (government and private sector) according to each Outcome outlined in this Program Description to develop a detailed draft Work Plan for submission within 60 calendar days from the date of the award. The first work plan shall cover the period from the effective date of award through the end of the USG fiscal year (September). USAID/Ghana will review the detailed draft Work Plan and provide comments within 10 calendar days of receipt. USAID/Ghana may also request additional deliverables to be incorporated into the Recipient's Work Plan. The Recipient should consider incorporating these comments as appropriate and provide a final Annual Work Plan within 10 calendar days of receiving USAID's comments. Thus, a final First Year Annual Work Plan should be in place within 80 calendar days of the beginning of the program. The recipient shall integrate the EMMP into the initial work plan and subsequent Annual Work Plans.

The Work Plan should include major activities that will be undertaken, the rationale behind these activities, anticipated results of these efforts and how they will be measured, any outside technical assistance that will be required to complete the activity, and a timeframe for when activities will commence and end. The planned activities must be arranged by the overall Outcomes of the Program Description and further broken down by sub-activities and tasks and by geographic location; e.g., when the Recipient proposes additional sites in the six coastal districts of Central Region.

Details of collaboration with other USAID and non-USAID partners should also be included. Also include budgetary forecasts and notes tied to proposed activities.

Also, the Work Plan should provide an exit strategy in which the Recipient details the approaches, steps and activities that will be undertaken to ensure that project Outcomes and Purpose will be sustained after the end of the project.

Subsequent Annual Work Plans:

Due no later than September 1 of the subsequent years.

Shall contain the same information as described above covering the future program implementation year.

Monitoring and Evaluation (M&E) Plan

The M&E Plan will consist of a Performance Monitoring Plan (PMP) and a Knowledge Management and Learning (KM&L) Plan. A detailed draft M&E plan must be submitted **within 60 calendar days** from the date of the award. In addition to these required and standard indicators, the Recipient should propose additional indicators that measure program outcomes. Custom indicators are also encouraged that will help the Recipient to better monitor and evaluate interventions.

The KM&L Plan should be developed in relation to the PMP to capture the “why” behind the obtained outcomes and results. USAID will review the detailed M&E Plan and provide comments within 10 calendar days of receipt. The Recipient will incorporate these comments as appropriate and provide a final plan within 10 calendar days of receiving USAID’s comments.

Furthermore, the recipient will be required to collaborate with the Monitoring and Evaluation Technical Support Services (METSS) project, an external evaluation team, to assist in the process of designing a robust, high-quality and efficient M&E system that can adequately support the data needs of USAID Ghana and a mandatory formal external evaluation process over the life of project.

Thus, a final plan must be in place within 80 calendar days of the award date of the program.

Additional guidance for the M&E plan:

- Shall cover the entire period of performance of this Award and may be adjusted based on any changes in planned activities.
- Each indicator proposed in the PMP will have a brief narrative to include the following:
 - Data collection method
 - Data reliability and timeliness (i.e., intrinsic data quality);
 - Indicator validity (i.e., the relationship between the indicator and the desired output or result)
- Shall clearly stipulate how and when baselines will be established.
- Shall include relevant indicators to measure performance annually and at the end of the program, with baselines and targets for each indicator.

Activity Reports

The Recipient must provide Quarterly and Annual activity reports, and submit a Final Project Report upon completion of the project. Quarterly progress reports will be no longer than 20 pages summarizing: (1) progress to date per the agreed deliverables; (2) identification of specific problems and delays and recommendations for adjustments and corrective action; (3) outcomes of any high-level meetings and field visits; (4) planned activities for the next reporting period; (5) assessment of the validity and efficacy of progress against the Outcomes and Results; (6) progress on gender and environmental compliance; and (7) financial information. The first, second and third quarterly reports are due to the AOR by the last working day of December, March, June, respectively.

The fourth quarter progress report will be an Annual Activity Report with a descriptive analysis of activities conducted during that USG fiscal year, a quantitative and/or qualitative description of actual achievements versus planned activities for the year, in both narrative and in data performance table formats. The Annual Activity Report must report against all indicators established in the PMP, and the data performance table will include accomplishments for the fiscal year against that year's targets. The Annual Activity Report is due to the AOR by the last working day of October following the work plan year.

The Recipient shall submit at least two "Success Stories" per quarter beginning the second year of project implementation, highlighting project successes. These one to three page success stories will be used for USAID's communication needs, including speechwriting, newsletters, media interviews and public outreach. The Recipient shall also produce a 2-3 minute video clip on success stories or any other major project events that can show case the project activities to a broader audience.

'Weekly bullets' of implementation progress and/or achievement are required throughout the project year.

The Recipient will provide USAID/Ghana with an electronic copy of the products -- studies, trip reports, technical reports -- of all short-term consultants financed under the agreement.

The financial information should include the following:

- Total funds obligated to date by USAID into the Agreement.
- Total funds expended by the Recipient to date and accrual for the reporting period, including a breakdown according to the budget categories.
- Pipeline (Amount obligated minus expended funds).
- The budget estimate for the upcoming quarter

Final Report

A draft shall be submitted to the AOR 60 calendar days after the end date of the award, and a final copy **90 calendar days after the end date**. The final report shall meet the requirements set forth in 22 CFR 226. It shall cover the entire period of the award and include the cumulative results achieved, an assessment of the impact of the program, lessons learned and recommendations, notable impacts, and detailed financial information. It should be grounded in evidence and data.

The Recipient must submit the original and one copy to the AOR, one copy to the Agreement Officer and one copy, in electronic (preferred) or paper form of final documents to one of the following:

- (a) Via E-mail: docsubmit@usaid.gov;
- (b) Via U.S. Postal Service: USAID Development Experience Clearinghouse M/CIO/KM RRB M.01 U.S. Agency for International Development Washington D.C. 20523;
- (c) Via Fax: (202) 216-3515; or
- (d) Online: <http://dec.usaid.gov>

A.6 Substantial Involvement

In accordance with ADS 303.3.11, USAID/Ghana will be substantially involved during the implementation of this Cooperative Agreement through the Agreement Officer's Representative (AOR)'s approval of the following:

- Recipient's annual work plans;

- Agency and Recipient Collaboration or Joint Participation: concurrence on the substantive provisions of local sub-awards and approval of the PMP which includes monitoring and evaluation plans and KM&L Plans.
- Agency Authority to Immediately Halt a Construction Activity.
- Specified key personnel: Chief of Party, Fisheries Management Expert, Communication and Public Relations Expert, and Monitoring and Evaluation Specialist.

The named key personnel in URI application dated September 24, 2014 are approved by issuance of this award. All key personnel must work full time (100%) for this project. Any replacement of key personnel must meet the following qualifications:

Chief of Party (COP)

S/he will be responsible for technical supervision and administrative oversight for the Fisheries Project on all activities and at all levels (both in Accra and the target area). S/he will be responsible for all aspects of coordination and communication, including with USAID, the GOG, other donors, the private sector, universities, and other potential implementing partners. S/he will be a senior professional with a high degree of technical credibility together with exceptionally strong leadership skills. The COP will be responsible for driving the policy reform agenda and will have the following qualifications:

- Exemplary professional experience in fields related to the successful implementation of this project such as marine resources management, coastal resources management, MPA management, sustainable fisheries management, local community development, local governance capacity building, and behavior change promotion.
- An advanced graduate degree in a similarly related field of study, e.g. marine or environmental management, public administration, business administration, governance, etc.
- Demonstrated competence in coordinating critical, high-level partnerships, establishing and maintaining synergies among programs, and ‘achieving success through others’. A case in point is the strong complementarity that must be developed and managed among the GOG, the World Bank’s West Africa Regional Fisheries Program in Ghana, and the Fisheries Project.
- Proven leadership in the administration of similar sized international donor programs.
- Skills in strategic planning, management, supervision and budgeting.
- Proven ability to develop and communicate a common vision among diverse partners, the ability to lead multi-disciplinary teams, and the ability to promote a collaborative and adaptive management approach.
- Evidence of strong communication skills, both interpersonal and written, to fulfill the diverse technical and managerial requirements of the contract.
- Excellent fluency in English (both spoken and written)
- Direct experience or knowledge of sub-Saharan coastal and marine resource management issues preferred.

Sustainable Fisheries Management Advisor

The Sustainable Fisheries Management Advisor will be a senior technical professional with highly credible skills and experience with a broad range of fisheries management issues related to the sub-Saharan African marine context. S/he will be responsible to ensure coordination and communication on all aspects of the Fisheries Project with the Fisheries Commission, local authorities, and communities, and to become familiar with the technical programs and approaches of other donors and partners to ensure coordination and consistency in technical approach. The Sustainable Fisheries Management Advisor will have the following qualifications:

- Exemplary professional experience in fisheries management, especially related to practices to reduce overfishing and destructive practices, voluntary compliance with fisheries regulations, bye-laws and codes of practice, establishment of ecological reserves and MPAs to increase fisheries productivity, and knowledge of the current context of marine and coastal resource governance in sub-Saharan Africa.
- Proven experience in building the capacity of governance structures to implement policy and regulations, assisting artisanal and commercial fishers to employ sustainable fishing practices, and monitoring and data collection on fisheries to improve technical, financial and management performance.
- At least a Master's Degree in fisheries management, environmental science, conservation, or related discipline.

Strong communication skills, both interpersonal and written, to fulfill the technical and managerial responsibilities proposed.

Strong English writing and speaking skills including excellent drafting and presentation skills working experience in developing countries. Experience in sub-Saharan Africa and knowledge of West African coastal cultures preferred.

Communication and Public Relations Expert

- S/he must have a minimum of university degree in communications, social science, journalism, marketing or a related field.
- A minimum of 5 years of relevant experience in public relations, communications or advocacy.
- Demonstrated experience in the development and use of multi-media communications.
- Ability to synthesize and translate science-based information into written, plain-language communications products
- Ability to work, communicate and build rapport with a variety of professionals in academia, industry, government, non-governmental organizations and leading multi-media communication teams.
- Experience in planning and designing of internal and external strategies for communications and outreach

Monitoring, Evaluation and Learning (ME&L) Specialist

- S/he must have a minimum university degree in natural resources/agriculture/environment/development planning/ Geography or related field
- Demonstrated experience in overseeing an (ME&L) system of broadly comparable size and scope to that required for the Fisheries Project.
- Demonstrated experience in relevant data collection and processing methodologies with particular attention to ensuring data quality.
- Experience working with local organizations to ensure effective ME&L and that all ME&L requirements flow down appropriately.
- Demonstrated relevant technical abilities necessary for high-quality ME&L.
- The ME&L Specialist must possess strong demonstrated capacities for spatial analysis including land-cover mapping and the use of geographic information systems.

A.7 INDIRECT COST RATE

Pending establishment of revised provisional or final indirect cost rates, allowable indirect costs shall be reimbursed on the basis of the following negotiated provisional or predetermined rates and the appropriate bases:

URI:

Pending establishment of revised provisional or final indirect cost rates, allowable indirect costs shall be reimbursed on the basis of the following negotiated provisional or predetermined rates and the appropriate bases:

Description	Rate	Base	Type	Period
Overhead	26%	1)	2)	(3

1) Base of application: Modified Total Direct Costs, consisting of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first \$25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, student tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of \$25,000.

2) Predetermined (Off-campus)

3) July 7, 2010 through June 30, 2015

A.8 TITLE TO PROPERTY

Property Title will be vested with the Recipient.

The Recipient is authorized to procure the following equipment. The Recipient must comply with source and nationality requirement in 22 CR 228 for the procurement of commodities. The Recipient is authorized to procure the following vehicles and equipment.

Recipient	Vehicle description	# of units	Estimated unit cost	Total
URI Accra Office	Ford Focus 2014	2	\$18,977	\$37,954
Fisheries Commission	Ford Ranger extended cab for Western and Central Regional FC	4	\$32,700	\$130,800
CEWIFIA	Ford Ranger extended cab	1	\$32,700	\$32,700
DAA	Ford Escape	1	\$41,675	\$41,675
DAAGIFT	Ford Escape	1	\$41,675	\$41,675
Friends of the Nation	Ford Escape	1	\$41,675	\$41,675
Hen Mpoano	Ford Bus	1	\$45,000	\$45,000
Central Regional Coordinating Committee	Plotter printer for GIS Hub	1	\$6,300	\$6,300

A.9 AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of services under this award is 935.

A.10 COST SHARING

The Recipient agrees to expend \$4,797,391 or not less than 20% of the total activity costs in cost share.

A.11 PROGRAM INCOME

There is no program income under this award.

A.12 SPECIAL PROVISIONS

A.12.1 ELECTRONIC PAYMENTS SYSTEM

1. Definitions:

a. "Cash Payment System" means a payment system that generates any transfer of funds through a transaction originated by cash, check, or similar paper instrument. This includes electronic payments to a financial institution or clearing house that subsequently issues cash, check, or similar paper instrument to the designated payee.

b. "Electronic Payment System" means a payment system that generates any transfer of funds, other than a transaction originated by cash, check, or similar paper instrument that is initiated through an electronic terminal, telephone, mobile phone, computer, or magnetic tape, for the purpose of ordering, instructing or authorizing a financial institution to debit or credit an account. The term includes debit cards, wire transfers, transfers made at automatic teller machines, and point-of-sale terminals.

2. The recipient agrees to use an electronic payment system for any payments under this award to beneficiaries, subrecipients, or contractors.

3. Exceptions. Recipients are allowed the following exceptions, provided the recipient

documents its files with the appropriate justification:

- a. Cash payments made while establishing electronic payment systems, provided that this exception is not used for more than six months from the effective date of this award.
- b. Cash payments made to payees where the recipient does not expect to make payments to the same payee on a regular, recurring basis, and payment through an electronic payment system is not reasonably available.
- c. Cash payments to vendors below \$3000, when payment through an electronic payment system is not reasonably available.
- d. The Recipient has received a written exception from the Agreement Officer that a specific payment or all cash payments are authorized based on the Recipient's written justification, which provides a basis and cost analysis for the requested exception.

4. More information about how to establish, implement, and manage electronic payment methods is available to recipients at <http://solutionscenter.nethope.org/programs/c2e-toolkit>.”

A.12.2 NON-FEDERAL AUDITS

In accordance with 22 C.F.R. Part 226.26 Recipients and subrecipients are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501–7507) and revised OMB Circular A–133, “Audits of States, Local Governments, and Non-Profit Organizations.” Recipients and subrecipients must use an independent, non-Federal auditor or audit organization which meets the general standards specified in generally accepted government auditing standards (GAGAS) to fulfill these requirements.

A.12.3 ENVIRONMENTAL COMPLIANCE

1a) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ADS/200/>), which in part require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The Recipient of this Cooperative Agreement will take note of the following:

1b) The Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

1c) No activity funded under this Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in an Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”).

On December 06, 2011, the Africa Bureau Environmental Officer approved the IEE [<http://gemini.info.usaid.gov/egat/envcomp/document.php/>] for USAID/Ghana's Feed the Future Program. That IEE covers activities expected to be implemented under this cooperative agreement for the Fisheries Project. USAID has determined that a **Negative Determination with Conditions** applies to one or more activities envisioned under the Fisheries Project. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment.

3a) As part of its initial Work Plan, and all Annual Work Plans thereafter, the Recipient, in collaboration with the USAID Agreement Officer's Representative and the Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under the Recipient's work plan to determine if they are within the scope of the approved Regulation 216 environmental documentation.

3b) If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, the Recipient shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

3c) Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

4a) The Recipient shall prepare an environmental mitigation and monitoring plan (EMMP) describing how the Recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP Plan shall include monitoring the implementation of the conditions and their effectiveness.

4b) The Recipient will integrate a completed EMMP into the initial work plan and to all subsequent annual work plans, making any necessary adjustments to activity implementation to minimize adverse impacts to the environment.

5a) A provision for sub-grants is included under this award. Therefore, the Recipient will be required to use an Environmental Review Form (ERF) or Environmental Review (ER) checklist using impact assessment tools to screen grant proposals to ensure the funded proposals will result in no adverse environmental impact, to develop mitigation measures, as necessary, and to specify monitoring and reporting. Use of the ERF or ER checklist is called for when the nature of the grant proposals to be funded is not well enough known to make an informed decision about their potential environmental impacts, yet due to the type and extent of activities to be funded, any adverse impacts are expected to be easily mitigated. Implementation of sub-grant activities cannot go forward until the ERF or ER checklist is completed and approved by USAID. Recipient is responsible for ensuring that mitigation measures specified by the ERF or ER checklist process are implemented.

5b) The Recipient will be responsible for periodic reporting to the USAID AOR, as specified in the Schedule/Program Description of this solicitation/award.

A.12.4 PERFORMANCE MANAGEMENT INFORMATION SYSTEM

USAID/Ghana utilizes a performance management information system, called AidTracker Plus, to track activities for all mission-funded projects at the national, regional, district, and village levels. The purpose of this database is to more precisely and efficiently tracks performance results, to map geospatial

coordinates, and to reduce USAID and implementing partners' staff time in aggregating information and generating reports for USAID and interested parties. These interested parties are USAID/Washington, Congress, implementing partners, the Government of Ghana (GOG), other donors, and stakeholders. This reporting process supports the bilateral agreement between the U.S. Government and GOG by sharing information on USAID/Ghana's Mission-funded activities. The Recipient shall provide a timely update of information (including, but not limited to, performance results, geospatial coordinates, success stories, and photographs) on the activities under this assistance agreement by entering this information into the AidTracker Plus Partner Portal. The Recipient shall enter information via an Internet website; USAID will provide the URL address or Access Database, and a user ID/password. USAID/Ghana will train implementing partners' Monitoring and Evaluation staff on the AidTracker Plus Partner Portal. Once trained, the Recipient will enter and manage the data accordingly. The implementing partner will be required to appoint an AidTracker Plus Point-of-Contact - typically, the Monitoring and Evaluation Specialist- to aid in communication and implementation.

A.12.5 BRANDING STRATEGY AND MARKING PLAN

The Recipient must comply with the Branding Strategy and Marking Plan provided in Attachment D of this Cooperative Agreement.

A.12.5 ASSISTANCE TO POLICE/LAW ENFORCEMENT

The recipient must not procure any equipment or provide training towards any law enforcement activities or police force under this award with USAID funds without an explicit authorization in writing by USAID. In the absence of such authorization, the recipient may engage in these activities as detailed in Attachment B Program Description with private funds as a portion of the cost-sharing requirement in Section A.10 of this award.

[END OF SCHEDULE]

Attachment B

PROGRAM DESCRIPTION

The attached program description is from URI application dated September 24, 2014 and is made part of
this award.

Acronyms

AOR	Agreement Officer's Representative
ASSESS	Analytical Support Services and Evaluations for Sustainable Systems
CEMAG	Community Environmental Monitoring and Advocacy Group
CCLME	Canary Current Large Marine Ecosystem
CCM	Centre for Coastal Management
CDCS	Country Development Cooperation Strategy
CEWEFIA	Central and Western Region Fishmongers Improvement Association
COMFISH	Collaborative Management for a Sustainable Fisheries Future
COP	Chief of Party
CPUE	Catch Per Unit Effort
CR	Central Region
CRC	Coastal Resources Center
CRCC	Central Regional Coordinating Council
CSLP	Coastal Sustainable Landscapes Project
CSO	Civil Society Organization
DAA	Development Action Association
DAASGIFT	Daasgift Quality Foundation
DFAS	Department of Fisheries and Aquatic Sciences
DFID	<i>Department for International Development</i>
DO	Development Objective
EBM	Ecosystem Based Management
EG	Economic Growth
EMMP	Environmental Mitigation and Monitoring Plan
ERF	Environmental Review Form
ETP	Endangered, Threatened and Protected
FAO	Food and Agricultural Organization of the United Nations
FASDEP	Food and Agriculture Sector Development Program
FASDP	Fisheries and Aquaculture Sector Development Program
FC	Fisheries Commission
FCWCGG	Fisheries Committee for the West central Gulf of Guinea (FCWC)
FEU	Fisheries Enforcement Unit
FHI	Family Health International
FoN	Friends of Nation
FtF	Feed the Future
HM	Hen Mpoano
GCLME	Guinea Current Large Marine Ecosystem
GIFA	Ghana Inshore Fishermen's Association
GIS	Geographic Information System
GIZ	Gesellschaft für Internationale Zusammenarbeit
GLM	Generalized Linear Models
GNAFF	Ghana National Association of Farmers and Fishermen
GNCFC	Ghana National Canoe Fishermen's Council
GOG	Government of Ghana
ICFG	Integrated Coastal and Fisheries Governance

ICM	Integrated Coastal Management
ICT	Information, Communication Technology
IEE	Initial Environmental Examination
IR	Intermediate Results
IUCN	International Union for Conservation of Nature
IUU	Illegal Unreported Unregulated
JICA	Japan International Cooperation Agency
LEAP	Livelihood Enhancement Against Poverty
LOE	Level of Effort
LOGODEP	Local Government Development Program
MCS	Monitoring, Control and Surveillance
METASIP	Medium Term Agricultural Investment Program
METSS	Monitoring, Evaluation and Technical Support Services
MFRD	Marine Fisheries Research Division
MOFAD	Ministry of Fisheries and Aquaculture Development
MOU	Memorandum of Understanding
MPA	Marine Protected Area
MSME	Micro Small and Medium Enterprises
MSP	Marine Spatial Planning
M&E	Monitoring and Evaluation
NAFAG	National Fisheries Association of Ghana
NGO	Non-Governmental Organization
NC	National Committee
NRM	Natural Resources Management
PMEP	Performance Monitoring and Evaluation Plan
PMP	Performance Management Plan
PPP	Public Private Partnerships
RAVI	Rights and Voices Initiative
RCC	Regional Coordinating Council
RFA	Request for Application
RPA	Rapid Partnership Appraisal
SAMP	Special Area Management Plans
SFMP	Sustainable Fisheries Management Program
SMEs	Small and Medium Enterprises
SNV	Netherlands Development Organization
SS	Spatial Solutions
SSG	SSG Advisors
STEP	Sustainable, Transparent, Effective Partnerships
STWG	Scientific and Technical Working Group
UCAD	University Cheikh Anta Diop
UCC	University of Cape Coast
URI	University of Rhode Island
USAID	United States Agency for International Development
USG	United States Government
WA	West Africa
WARFP	West Africa Regional Fisheries Development Program

WASH Water, Sanitation and Hygiene
WR Western Region

Executive Summary

The Coastal Resources Center (CRC), University of Rhode Island (URI) is pleased to submit this application in response to RFA-641-14-000005 for the USAID/Ghana Sustainable Fisheries Management Project (SFMP). We request US\$ \$23,987,826 with match commitments from URI and partners of US\$ 4,797,565 to implement this five-year project.

URI will lead a team of core implementing partners including two intimately involved in the previous URI-led USAID/Ghana ICFG Initiative: Friends of the Nation and Hen Mpoano, as well as a new partner SNV Netherlands Development Organization. Supporting partners include the Central & Western Fish Mongers Improvement Association in Ghana/CEWEFIA, and Daasgift Quality Foundation who will focus on diversified livelihood development in targeted fishing communities in the Western and Central Regions respectively. URI will also engage a national women's organization, Development Action Association (DAA) in national advocacy. These local women's organizations are also targeted clients for capacity building and organizational development. SSG-Advisors and Spatial Solutions as technical supporting partners bring in added and specialized technical expertise and capabilities to leverage significant additional resources from government and private sector sources. Government project beneficiaries and partners; The Ministry of Fisheries and Aquaculture Development (MOFAD) and the Department of Town and Country Planning have also committed resources to support the project. This team has the capacity to achieve quick start-up and obtain early, continuing and lasting results, with local partners committed to building their capacity to take on complex projects in the future in the spirit of USAID/Forward.

This proposal was developed through a consultative process with implementing partners, the Fisheries Commission (FC) in Accra, the Central (CR) and Western Regions (WR), and community focus group meetings. The World Bank's in-country representatives and advisors were consulted regarding synergies with the West Africa Regional Fisheries Project (WARFP); along with the Coastal Sustainable Landscapes Project (CSLP); the Monitoring, Evaluation and Technical Support Services (METSS) Project; and the University of Cape Coast (UCC), among others.

Our SFMP design builds on the gains and lessons learned by the ICFG initiative. For instance, SFMP scales-up ICFG's successful model for improving law enforcement effectiveness and extends the GIS capacities from the Western to the Central Region (CR) Coordinating Council and nine district assemblies (DA) in the CR. SFMP incorporates enhanced strategic communications and expanded systems for distribution of written products. It places greater emphasis on national policy initiatives and will invest significant financial resources in building the capacity of the FC, key beneficiary government agencies, fisheries stakeholder groups and civil society organizations. The project is designed to improve governance and to have impacts on fisheries resources and the people that depend on marine ecosystem goods and services.

The problem as stated in the RFA is complex, tragic, and too-common—severely overexploited fisheries put at risk tens of thousands of metric tons of local food fish supply and threaten the livelihoods of over 130,000 people and many more fisheries resource dependent households. Ghana's open access to fisheries results in overcapitalization of fleets, exacerbated by poor governance, weak enforcement of rules and a fuel subsidy.

The SFMP squarely aims to rebuild targeted fish stocks. Adoption of sustainable fishing practices and reduced exploitation to end overfishing is the only way Ghana can increase its wild-caught local marine food fish supply and bring greater profitability to the fishery, with the potential to benefit over 130,000 people directly and up to two million indirectly.

The SFMP's integrated suite of activities includes: (1) improved legal enabling conditions for implementing co-management, use rights, capacity and effort reduction strategies; (2) improved information systems and science-informed decision-making, and (3) increased constituencies that provides the political will and public support necessary to make the hard choices and changed behavior needed to rebuild Ghana's marine fisheries sector. These components feed into (4) applied management initiatives for several targeted fisheries ecosystems.

The SFMP will develop nested governance arrangements and management plans for fishery management units at three ecosystem scales, utilizing adaptive co-management approaches tailored to each unit. An immediate focus at the national level will be the small pelagic stocks, which are most important to food security and employment and are near collapse. National dialogues in the first year will spotlight this crisis and build consensus for quick, early actions such as a closed season or increased mesh sizes of nets to turn around this fishery. With support of fishers and governments, improvements in fish biomass and yields could increase within the life-of-project.

The design and implementation of the process for developing comprehensive management plans for the small pelagics and demersal fisheries in the WR will be done through consultations with stakeholders in partnership with the FC and be based on an adaptive and iterative process that includes the best available science. We will propose a model of conservation equivalency to recognize regional differences in fisheries and management needs and help develop a concept of regional jurisdictions and application of use rights. The role of civil society will be crucial.

The demersal ecosystem-based plan will include a nested system of Marine Protected Areas (MPAs)—to protect mangroves as important demersal fishery nursery grounds—and a no-take reserve off of Cape Three Points to protect demersal adult fish spawning stock biomass. Marine spatial planning will support USAID biodiversity conservation objectives as it considers fisheries interactions with threatened and protected species such as marine mammals and sea turtles. The SFMP will undertake stakeholder engagement processes that will set new benchmarks for consensus building involving the FC, fishermen, fishmongers and groups such as DAA, CEWEFIA, the Ghana National Canoe Fishermen's Council/GNCFC, the Ghana Inshore Fishermen's Alliance/GIFA, and the National Fisheries Alliance. Communications campaigns

will engage resource users directly via mass media, web and cell phone based platforms. The SFMP features local partners that have strong women leaders and the mission to empower women in advocacy, policy dialogue and management decision-making. This includes DAA, which seeks to expand to a national membership base and create a national training center for members.

The SFMP proposes aggressive expansion of ICFG successes in the WR in terms of strengthened law enforcement and voluntary compliance to reduce rampant illegal, unreported and unregulated (IUU) fishing. This includes immediate expansion into the CR and then all coastal regions. Strengthened and more capable fisheries enforcement and MCS units, and a more effective enforcement-prosecutorial chain will act as deterrents. Also, a carefully designed communications campaign will target behavior change that leads fishermen, fishmongers and the public to support and voluntarily engage in responsible and sustainable fishing practices.

In parallel to fisheries management initiatives that draw on existing powers and laws, the SFMP will work with MOFAD and WARFP on legal reforms that empower co-management groups with decision-making and provide mechanisms for implementing use rights regimes. National policy dialogues will formulate strategies to reduce fleet capacity (number of vessels) and will debate ways the fuel subsidy can be phased out or transformed from a perverse subsidy to one that incentivizes responsible practices or ameliorates the social impacts of fleet reduction plans.

Key Government clients of this project, MOFAD, FC, and the RCCs in the CR and WR will be provided over \$2 million in direct support to build their capacity. Additional direct support is being provided to a number of local NGOs and women's associations that are active in fisheries management issues and serving either as core or supporting partners in the implementation of this project. It will invest 7% of project resources in capacity development at UCC.

The SFMP will improve the production and use of management-relevant science and technology. It will build public private partnerships to develop web and cell phone technologies for improved data collection reporting and surveillance; and improve the FC research and statistics unit's capacity to collect and analyze information on the status of fisheries, and to recommend management measures to rebuild and ultimately sustain benefits for the Ghanaian people. The SFMP aims to move Ghana from over-reliance on input controls and to start considering output controls.

The SFMP will build the capacity of the Regional Coordinating Councils (RCCs) and district Authorities (DA) in the Central and Western Regions to improve spatial planning and mainstream the development needs of climate- and economically-vulnerable fishing communities into their overall development plans, and to provide communities with diversified livelihoods, including ways to obtain greater profitability from fisheries value chains. Particular emphasis will be placed on more efficient and profitable fish smokers that have potential for significant scale-up. This element places a strong focus on women and youth and utilizes local partners whose missions address the needs of these target groups.

In the larger coastal fishing communities of the Central Region (CR) where child labor and trafficking is prevalent, the SFMP will target at-risk households with a strong communications initiative and will make these communities the priority beneficiaries of livelihood interventions.

The SFMP management structure supports local capacity development for government of Ghana partners MOFAD/FC, UCC, local implementing partners and fisheries stakeholder representative organizations. Dr. Brian Crawford, SFMP's Chief of Party, will oversee a matrix operation that includes key personnel of Najih Lazar, from the URI Fisheries and Aquaculture Center in the role of the SFMP Sustainable Fisheries Management Advisor; Patricia Aba Mensah, Hen Mpoano's Communications Officer, who will be seconded as the SFMP Communications Specialist; and Bakari Hardi Nyari—currently M&E Specialist for Global Communities programs in Ghana—as the SFMP M&E and Learning Specialist. At mid-project, expatriate staff will begin phasing-out, and outside technical support will be reduced as an all-Ghanaian team transitions in. Results in the M&E Plan include the selected highlights below:

- Recoup tens of thousands of metric tons of food protein supply lost due to poor management
- A rebound of key stocks, benefiting over 130,000 fishermen, 18,000 fish mongers
- 735,241 hectares of natural resources and fish habitat under more effective management
- A Fisheries Act that allows co-management and use rights in Ghana's fisheries to be realized
- A decline in child labor and trafficking in fisheries in the CR
- Significant declines in IUU fishing due to an increase in arrests and successful prosecutions
- Improved voluntary compliance and active support of polices and rules by stakeholders
- UCC producing management-relevant, science-based information used in decision-making
- Information and communications technology (ICT) for mobile apps for fisheries management
- Inclusive participation by under-represented groups, women and youth in decision-making
- Four fisheries management plans adopted and implemented at different ecosystem scales
- 13,000 people, a majority women, benefiting from diversified livelihoods, access to micro-credit, adoption of more efficient and profitable fish smokers and fish product value-added
- Several more climate-resilient fishing communities and strengthened capacity of DAs to promote and support resilient community policies and initiatives

Progress made by the SFMP needs not only strong local capacity but also sustainable financing to continue making gains after the project ends. Toward this end, the SFMP will encourage the government and legislature to authorize budget lines to support co-management groups and will promote public-private partnerships that support everything from small bank loans for coastal enterprises, rather than project supported grants, to profitable maintenance of the hardware and software apps used in data collection, enforcement and tracking.

1. Technical Approach

A. Conceptual Framework

Problem Statement

The RFA outlines the main problems in Ghana's fisheries sector and establishes that the sector is in crisis—especially with the collapse of the small pelagic fisheries. Over the past decade, more than 100,000MT of high quality low-cost animal protein that was traditionally available to poor and vulnerable coastal and inland households has been lost. Local demand for fish outstrips supply, increasing the pressure on already overexploited fish stocks. With open access fisheries, overcapacity among fishing fleets, and little or no fisheries management controls or effective enforcement of regulations resulting in rampant IUU fishing, individual fishermen and women are losing economic ground while regional and national food insecurity increases. A weak institutional framework limits the ability to implement strong co-management and use rights. Meanwhile, the low added-value of fish processed locally keeps fishing households poor, and less likely and less able to change behavior or engage in more sustainable practices. Mangrove ecosystems—essential fish nurseries for demersal fisheries—are threatened by extensive cutting and habitat alteration. Endangered, threatened and protected species such as sea turtles, marine mammals and basking sharks are part of the by-catch of many fishermen. Unfortunately, there are no MPAs within Ghana to help preserve this biodiversity and protect endangered species.

High poverty rates among fishing communities lead families to give up their children to child labor, a problem likely to increase as the small pelagic fishery collapses, in particular in the Central Region. Yet, few other options exist. Fishing settlement areas are particularly vulnerable to climate variability and change due to rising sea levels, increased severity of flooding and high uncertainty about the effects of elevated sea surface temperatures and ocean acidification on the productivity of the marine ecosystems, and potential changes in migration patterns of commercially important fish. Add to this that local communities are unable to produce food locally due to land use changes that are virtually wiping out areas available for local food growing on prime soils. The end result is severely vulnerable coastal households and communities with weak adaptive capacity, and high exposure to climate impacts.

Still, there are reasons for optimism. Key enabling conditions are reaching thresholds that favor change. The USAID ICFG Project led by CRC and ongoing investments by the World Bank via the West Africa Regional Fisheries Project (WARFP) is making inroads. The ICFG project began building social capital and constituencies among the fishing communities, setting the stage for increasing their resilience. These factors give SFMP firm ground to build upon.

The above challenges and progress factor into the project vision, theory of change and its integrated and coordinated activities. The following is a framework that builds from the RFA's proposed results framework, to which minor changes are made and explained below.

Project Vision

We envision this project fostering substantial changes in fisheries management in Ghana with the nation making significant progress in achieving the goals and objectives of its METASIP, FASDEP II and FASDP policies, and contributing to USAID's CDACS (DO2) and the agency's Feed the Future (FtF), climate change and biodiversity initiatives. We envision the Fisheries Commission (FC), UCC (University of Cape Coast), key fishermen and fishmonger associations and NGO groups with strengthened capacities for problem solving through open and transparent communications and shared decision making. We believe that over the life-of-project, the investments by USAID, WARFP and GOG promote technological innovations and put the marine fisheries sector on a course towards sustainability, benefiting 130,000 people engaged directly in the fisheries sector along with many others that rely on Ghana's seas to contribute to the nation's food security, by potentially increasing annual yields of fish supply by tens of thousands of metric tons via improved management of over 700,000 hectares of marine waters. We also envision that Ghanaian local implementing partners have their capacities strengthened to sustain the intervention and actively engage beyond SFMP lifespan and contribute to the USAID/forward agenda.

Theory of Change (Development Hypothesis)

The project purpose is to "Rebuild targeted fish stocks through adoption of sustainable practices and exploitation levels." This project will forge a campaign that builds a constituency for change that captures the support of high-level decision makers and politicians as well as grass roots fishermen, fishmongers and processors.

To achieve sustainable fishing practices and exploitation levels, reduced fishing effort must occur in order to end of overfishing. This, over the longer term, will lead to improved fish stocks and higher and more sustainable fishing yields. This signals to stakeholders and beneficiaries a causal chain and time lag between ending overfishing and improved stocks, and ultimately, improved fish yields and profitability (household income).

IR 3 "constituencies and political will built," is critical to insure that the public is supportive of and will demand changes in the fisheries sector. This implies grass-roots movements among producer groups and the public that drive high level political support for change—achieved via strong stakeholder participation campaigns coordinated with the FC and WARFP. MOFAD and the FC must be willing to push for these changes and convince legislators and others that they are in the country's interest and have widespread public support. Such stakeholder-driven processes can be risky. But in the end, CRC's decades of experience with USAID projects and public processes demonstrates that the benefits greatly outweigh the risks.

We believe that for any short-term gains from reduced fishing effort to be sustained beyond the SFMP requires that a larger suite of interventions and outcomes be implemented (see Theory of Change, Figure 1 below), especially given the open access nature of the current fishery.

Comprehensive management plans for targeted stocks are needed that both control effort and manage harvest. Effort control requires a suite of measures such as restrictions on the number of fishing units by

limiting the number of licenses issued and restrictions on the amount of time units can spend fishing. Additional technical measures such as closed seasons, protected areas, fishing gear selectivity, and minimum size must be considered, each with their implications on the biological and socio-economic aspects of the fishery. In the long run, these are designed to ensure exploitation levels are controlled to maximum and sustained yields. However, world experience shows effort controls are a costly and difficult path to sustainability. Determined to be most effective are catch limits —e.g., an annual total allowable catch based on annual stock assessment—coupled with use rights such as collective quotas, and transferable licenses.

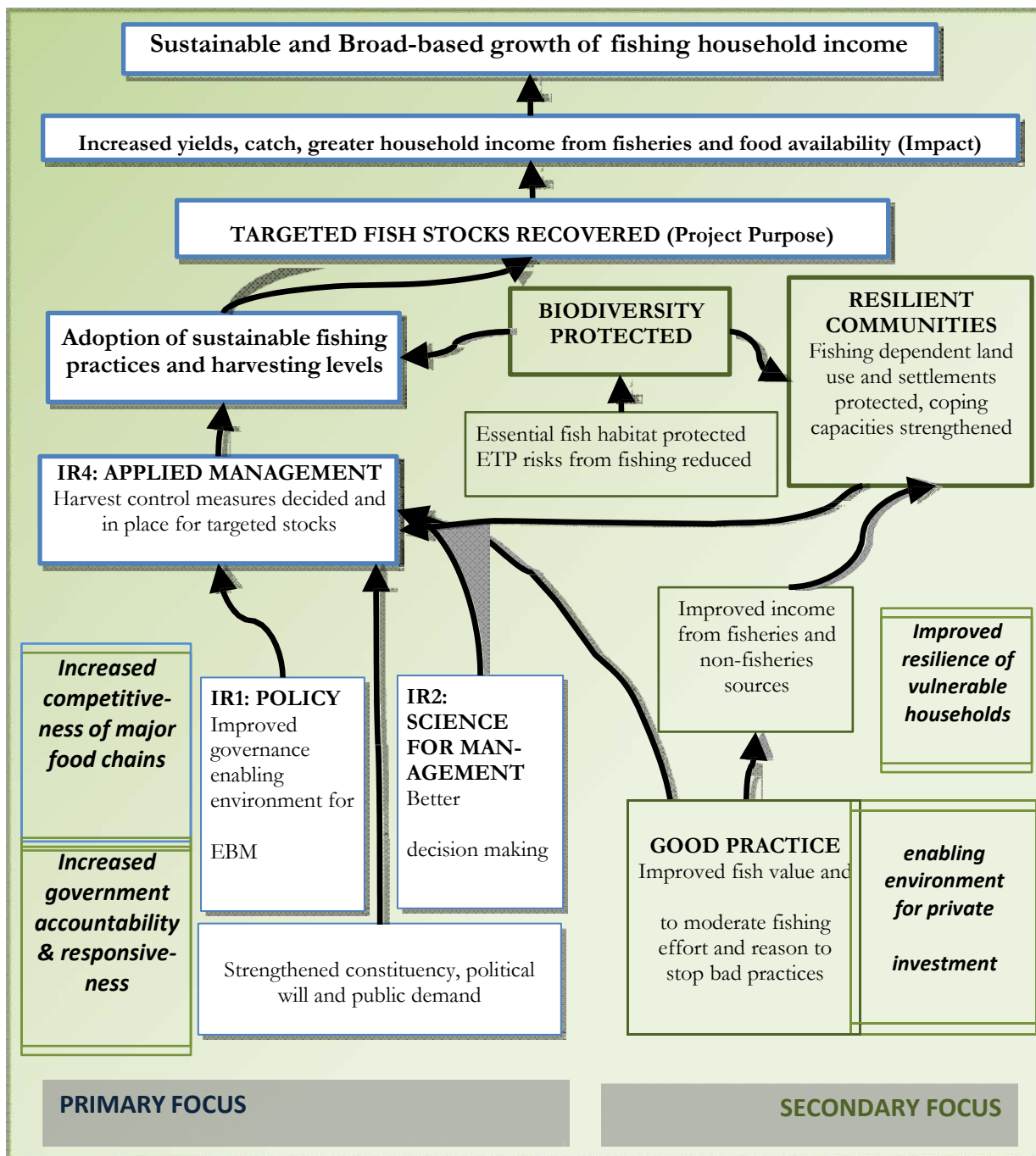


Figure 1: Theory of Change showing causal links, sequences of interventions, intermediate outcomes and impacts, including linkage to USAID FtF and DO2 intermediate results

Consistent with the FASDP and WARFP, our project strategy is to focus both on effort control measures and managed access as first steps towards sustainability. Additional enabling conditions—legal reforms and scientific capacity that set the stage for an eventual move to catch control strategies—would be pursued if and when the GOG and stakeholders are willing and ready. These approaches will take longer than the life-of-project to fully implement and have full effect. However, our experience in obtaining use rights for women oyster harvesters and sole fishermen under the USAID/WA *BaNafaa* project in The Gambia demonstrates that when government grants devolved authority to producer groups, given the proper assets and opportunity, these groups can collectively manage fisheries more sustainably and achieve improved economic and social benefits. Ghana can move towards a similar pathway.

- | Fisheries Management Approaches |
|--|
| • From open access to managed access |
| • From inputs controls to catch controls |
| • From a commons to use rights |
| • From top down control to co-management |
| • From static to adaptive management |
| • Managing at ecosystem scale |

Experts worldwide are calling for an ecosystem-approach to fisheries management that recognizes the ecosystem as a whole and instigate changes in human behavior required to restore and sustain ecosystem quality. This would balance diverse societal objectives and require consideration of multi-species management plans. This would require consideration of trophic level interactions and ecological services of forage fish, and reducing fishing impact on endangered, threatened and protected (ETP) species and protection of essential fish habitat.

Enabling conditions for effective fisheries management require a legal framework supportive of policy statements made by the GOG on collaborative management and use rights. However, as noted by Martin Tsamenyi, a consultant for ICFGP, the WARFP and MOFAD: *“The existing legal framework in Ghana is not capable of supporting a co-management framework without amendment...”* Interim measures under the existing legislative framework can include “advisory groups”—de-facto co-management groups with advisory functions only. Once a new legislative framework is in place, these groups can transform into true co-management groups with decision-making authority. The SFMP will promote formation of such groups to move forward early actions (e.g., a closed season)—*if* stakeholders are willing. We expect that within a year or two a fishery such as sardinella could possibly see some early results in terms of recovery.

When fishing mortality is reduced via effective management measures (i.e. closed season, closed areas, direct catch and effort reduction...etc.), there will be a rapid improvement in biomass and subsequent fish yields, particularly for short-lived species. However, if the fishery remains open access, increased high fishing mortality will occur and short-term gains will dissipate. Fishing effort and fishing capacity must be measured and taken into account in the context of long-term harvest control. Experience shows that simply limiting the number of vessels (fishing capacity) as proposed in Ghana’s fisheries policies

will prompt fishers to focus on increasing the size and power of vessels and length of gear, all increasing rate of exploitation unless additional harvest control measures are also put in place.

Also needed is improved information for decision-making to help both estimate the optimum fleet sizes for Ghana's fisheries and to set adequate harvest controls. To this end, the SFMP will focus on improving stock assessment capabilities within the FC and local universities, emphasizing inclusion of the traditional knowledge of fishermen. We will also promote innovative technologies (e.g., mobile phone technology) to improve data collection on landings and effort and to aid law enforcement in reducing Illegal Unreported Unregulated (IUU) fishing through Public-Private-Partnerships.

An integrated approach also requires a close look at shore-based components of the fisheries sector. All post-harvest fish handling, supply chain from sea to market, and the infrastructure support for the fishing industry and fishing households, occurs in a very narrow strip of the coastline. Without safe and secure places for men and women to live and work on the shore-based side of the industry, it is difficult to ask people to change behavior concerning unsustainable harvesting practices at sea. Reduction in fishing effort is likely to result in economic sacrifices in the short-term, so interventions are also needed to reduce impacts. These measures include creating safer, more secure and resilient fishing communities using spatial planning to identify the development needs of fishing communities and the exposure to natural hazards as well as threats to water-dependent fisheries uses. Community development programs are also needed to help fishers diversify their livelihoods, reduce dependence on fishing and reduce or eliminate the pressure to force their children into the illegal child labor trade. Other efforts include working to improve the fishery value chains and economically empower women mainly involved in processing and marketing. CRC's role in the USAID /Senegal COMFISH project shows that investing in organizational development and improved processing techniques, handling and infrastructure can lead to additional profits. Women fish processors in Cayar, Senegal, refuse to buy illegal, undersized fish, realizing that larger fish means larger incomes.

Ecosystem and Geographic Scale of the Project

The SFMP will develop a nested governance system that meshes several ecosystem scales that encompass the diverse types of fisheries systems found in Ghana. We will focus first on a national effort to end overfishing and rebuild the small but food security-critical small pelagic fishery that generates broadly shared economic benefits to hundreds of thousands of people; and to recoup tens of thousands of metric tons of lost food supply. This complex of species, due to their essential role in the ecosystem and their wide-ranging migration, requires management at a national scale linked to regional Guinea Current Large Marine Ecosystem (GCLME) and Fisheries Committee for the West Central Gulf of Guinea (FCWCGG) initiatives, and public participation that spans all four coastal regions. The SFMP will also address the need for sub-national regional management of demersal fish stocks in an ecologically defined region between two major mangrove estuary habitats in the WR: to the west at the outlet of the Ankobra River along the shared border of Ellembelle and Nzema East Districts, and as far east as the Pra River within Shama District. The SFMP also will pilot community-based approaches to fisheries within the Ankobra River and the Pra River estuaries and associated mangroves that serve as essential fish habitat for demersals. Within these ecosystems are priority fish landing sites such as Axim and Anlo

Beach/ Shama town that will be areas of concentration for stakeholder engagement and livelihoods and value chain improvements. Additional fish landing sites engaging more intensively in the SFMP for child labor, community resilience and diversified livelihood activities in the CR include Elmina, Moree, Apam and Winneba. In discussions with WARFP consultants in-country, this multi-tiered governance approach is consistent with and can be coordinated with WARFP's current community-based fisheries management units.

Critical Assumptions

This proposal makes critical assumptions about external factors beyond the control of the project which otherwise may affect SFMP's ability to make measurable improvements to reducing fishing effort and rebuild targeted fish stocks in Ghana's marine fisheries. These include:

Climate change, increasing sea temperature or ocean acidification does not result in ecosystem changes that significantly impact local fish yields during the life of the project.

Fisheries have not already collapsed and entered an ecosystem shift which precludes the rebound of small pelagic and demersal fisheries.

The high fecundity and short life cycle of small pelagics and current biomass enable rebound within the life of project after new management measures applied, such as closed season.

A national plan for small pelagics, covering over 50 percent of the CGLME stock, is sufficient to have a positive overall impact on stock recovery inside Ghana's waters.

Other Gulf of Guinea nations do not increase fishing to replace any reduction by Ghana, and Ghana fishing effort is not displaced to other countries to fish the same stocks.

WARFP resources are supportive of USAID/ Ghana's investments.

The GOG provides political support to implement policy changes needed.

The 2016 presidential and parliamentary elections are conducted peacefully and do not delay SFMP's policy engagements and decision making at the national level.

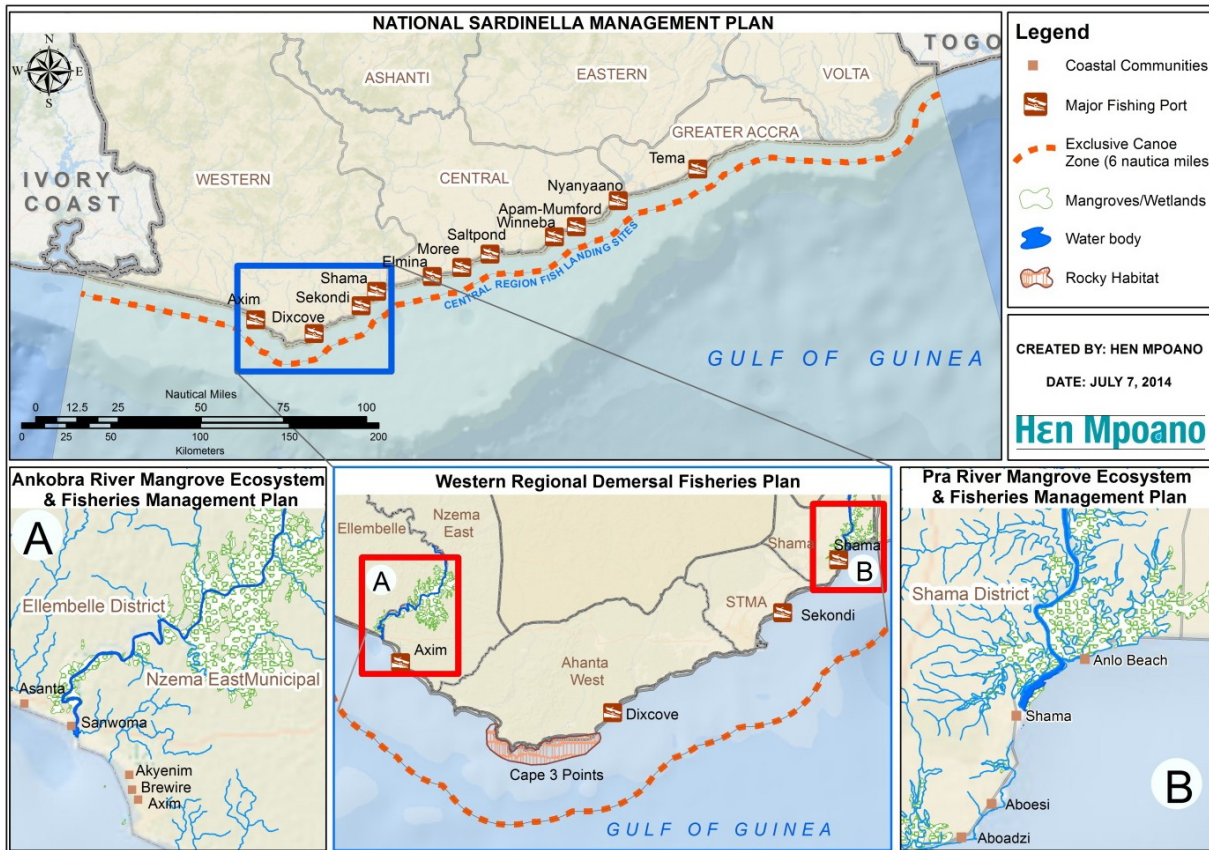


Figure 2. SFMP applied management activity areas

Activities and Results Expected per Intermediate Result Area

By the end of this project we envision that the following overarching results are achievable:

- Over-exploitation of small pelagics reduced, overfishing ended, and stocks rebounding
- Yields and profitability returning for 130,000 people engaged in marine fisheries

This will come about by implementing the activities described below to achieve the intermediate results broadly described in the theory of change.

IR 1: Strengthened enabling environment for marine resources governance

Legislative reform: The SFMP will continue ICFG’s focus on the need for legislative reform to make co-management a reality by working closely with MOFAD and the attorney general’s office on procedural processes described in the 3rd National Fisheries dialogue proceedings. The Chemonics FtF Policy project will also be consulted. While the WARFP work on legislative reform places some emphasis on co-management, we will augment those efforts. Hen Mpoano will facilitate and coordinate the legislative reform process through the SFMP national manager who will work closely with MOFAD, FC and WARFP to facilitate the administrative procedures and drafting of amendment sections on co-management and use rights, in coordination with the attorney general’s Legislative Drafting Division

and the legislative sub-committee for natural resources and fisheries. We will run a parallel public engagement process (see Communications section IR3) to insure fishers and the public are well informed and can voice their opinions. CRC has expertise in such processes, having assisted the Indonesia Ministry of Marine Affairs and Fisheries in Indonesia in crafting their Coastal Zone Management Act. Another critical aspect of legal reform is incorporation of sustainable financing mechanisms for co-management. This was highlighted as a critical challenge that led to the failure of the first round of community-based management committees more than a decade ago.

National Fisheries Dialogues (Policy issues): The SFMP will continue and expand the scope ICFG's successful national dialogues that engaged an array of stakeholders. We will use approaches developed by the Stanford University [ChangeLab](#) to bring together innovative thinkers from diverse institutions interested in the small scale fisheries sector—e.g. rural banks, telecommunications firms, chain store operators and social enterprise venture capitalists—to promote out-of-the-box thinking for solutions to fisheries sector issues.

The initial national dialogues (Year1) will focus on gaining support for high payoff short-term actions to quickly turn around the collapse of the small pelagics fishery, such as instituting a closed season and/or closed areas. (see IR 4). It is already possible for the FC to take short term actions now to revitalize the fishery without the need for legislative reforms. ***Tackling the near collapse of the small pelagics is a high project priority*** but will run parallel to legal reform and long term comprehensive planning for these stocks.

Additional dialogues will discuss such policy considerations as (1) ways to cap and eventually reduce canoe fleet capacity and reduce the already capped trawler and semi-industrial fleets; (2) innovative ICT applications in fisheries, (3) Monitoring, Control and Surveillance (MCS) and enforcement strategies and a fishermen's Sea Watch surveillance network, and (4) transforming the fuel subsidy from a perverse incentive that exacerbates overfishing to one that supports effort reduction strategies and (5) the legal reform agenda. Hen Mpoano will coordinate the dialogues through the SFMP national manager and involve SSG's senior private sector development advisor, the SFMP Communications Expert and FoN outreach effort.

Strengthened Law Enforcement: In the Western Region, the ICFG mobilized institutions in the prosecutorial chain (Attorney General's Department, the Fisheries Commission, MCS, Ghana Police Service, Judiciary, etc.). Workshops clarified each institution's role in the chain and identified gaps in the chain that hampered successful prosecution. In three years, prosecutions rose from 0 to 37 with 34 convictions. The SFMP will scale-up this successful approach coast-wide, starting in the Central Region, to bridge gaps in enforcement and prosecution through improved coordination mechanisms, and beach front policing. The SFMP, led by the Hen Mpoano national activities manager and with support from FoN, will also train marine police in fisheries laws and the rationale upholding these laws, first in the Central Region where illegal light fishing and trans-shipment of fish are continuing problems and then rolled out to other regions and at the national level as well.. With the Ghana Police Administration, we will mainstream the ICFG-developed fisheries enforcement curriculum into the training of marine police

recruits nationwide. We will apply a competency-based approach to define essential skills and knowledge as successfully implemented in CRC's [MPA PRO](#) program in the Western Indian Ocean region.

A citizen's watch program will be promoted, and working with ICT private sector partners, SSG Advisors will draw on USAID/Philippines ECOFISH Project lessons. We will activate a national communications system that includes toll-free calling and SMS and launch an aggressive campaign to create awareness among fishermen and citizens of the need to report fisheries infractions through the communications platform. This will also build on ideas generated during the recent U.S. State Department-sponsored "Hackathon" and on WARFP experiences and lessons from Sierra Leone.

ICT Innovations for Fisheries Enforcement In the Philippines as part of the ECOFISH project, SSG developed the 700-DALOY partnership that brings together a major telecommunications company SMART and the Philippines National Maritime Police to create an SMS-based crowd-sourced communications system for real-time monitoring and response to illegal fishing. The partnership integrates local citizen's watch groups into a communication network that includes local police, the Bureau for Fisheries, local government units, and other key stakeholders.

Since the WARPF is providing a large investment in strengthening the FEU and MCS capabilities of the FC, SFMP support needs to be tailored carefully to as yet unmet needs of this unit. In general, the WARFP is focusing heavily on the industrial and commercial MCS and enforcement issues by building VMS (vessel monitoring system) and on board observer programs for the industrial fisheries. Thus, the SFMP areas of support are focused more on shore based and community level MCS as well as prosecutorial chain improvements and to a lesser extent on understanding and coordinating regional IUU fishing issues. The FC and the FEU/MCS will receive the following direct support from the SFMP:

- Rehabilitation of the FC offices in Elmina Port (budget for this has been increased)
- Provision of office equipment including vehicles for the CR and WR offices for effective delivery of MCS/FEU activities (budget lines for these have been increased).
- Further training of personnel (e.g. coastguard curriculum)

SFMP will involve FEU personnel in development of MCS and enforcement sections of management plan development to ensure effective monitoring and enforcement of new management measures adopted for Sardinella and other fisheries management plans to be developed. The area of law enforcement – MCS strategies, is also an area where the US Navy, Coast Guard and NOAA have substantial expertise and we will also coordinate with these USG groups, to secure additional leveraged technical support.

The sustainability of community-based surveillance groups can be assured via legislative provisions mandating the FC to support these groups (following a Philippines example), and ICT innovations via PPPs. The ability of the FC to continue to provide operational resources for fuel and maintenance of patrol boats and vehicles and their eventual replacement needs to be built into their annual budgets and this will be linked to advocacy and education of parliamentary groups and committees already mentioned above. While SFMP will make a significant investment in law enforcement, it should also be

noted that many experts and studies have shown that high compliance is often achieved not just through deterrence factors (enforcement), but by perceived legitimacy of rules by fishermen, changing individual ethics on fish conservation and applying community and peer social pressure to comply. This is why a multifaceted approach that includes more engagement of fishermen in rule making via co-management is essential to success and is why so much effort will be placed on building social capital and constituencies to support police laws and management measures that may look good on paper but useless unless high voluntary compliance is achieved in their implementation.. A law enforcement only approach is doomed to fail.

A more radical approach to sustainability would be to place increasing emphasis and responsibility for enforcement within the private sector fishing interests. This is generally viewed as promoting a rights-based approach in fisheries so that if users have ownership over harvesting rights, and therefore long term economic incentives, they are more likely to engage in self –enforcement among their peers and invest resources in this. As a fishery’s economic profitability improves, private sector fishing interests often have to pay for certain MSC activities such as salaries for on-board observers. This may have applicability in the industrial and trawl sector now in Ghana, but needs more exploration of ways and means it might be able to be applied to the semi-industrial fleet or canoe fishery. Discussion of the fuel subsidy also needs to put on the table with the possibility of investing more of these resources into supporting enforcement rather than subsidies, although many may prefer to see those funds redirected to social safety nets for fishers that may be economically impacted by measures to reduce overfishing, at least in the short term. These options will to be part of the national policy dialogues leading to policy proposals for discussion with MOFAD, and eventual implementation of options selected.

IUU fishing is a major problem in the West African Region including IUU fishing where vessels from other countries or regions are fishing in Ghana’s EEZ, and domestic IUU fishing by Ghanaian flagged vessels. There are great challenges in addressing the domestic IUU fishing, especially in relation to the small pelagic and nearshore demersal stocks the SFMP will focus on; illegal transshipment of by-catch from trawlers to shore by canoe carriers, light fishing and local flagged trawler incursions into the exclusive canoe fishing zone. This is where SFMP will place emphasis as described above.

The extent and magnitude of foreign IUU fishing in Ghana’s EEZ is not well known and we will also investigate ways to assess the extent of the problem as we have done in the USAID/Senegal COMFISH Project. Senegal starting taking stronger actions against foreign fishing vessels operating illegally in their EEZ after the magnitude of the problem was estimated in volume and dollars. IUU fishing issues in Ghana also provide opportunities to facilitate greater engagement and cooperation of NOAA and the US Military, especially given the recent US Presidential Memorandum and establishment of a US Presidential Task Force on IUU fishing. Working with NOAA’s international affairs staff we will leverage additional support from US government agencies on this and other issues such as regional scientific assessments of shared stocks. The national policy dialogues and the regional meetings mentioned above will also place IUU fishing on the discussion agenda. The WARFP is investing substantial resources and strengthening into the FEU, so USAID investments must be coordinated

carefully to address real needs. In addition, foreign IUU can take place far offshore within Ghana's 200 nm EEZ; hence all nations in this region have difficulties in committing resources to adequate patrolling of such large bodies of water, let alone addressing IUU fishing issues in the nearshore areas. SFMP will support other means that can be used to help control foreign IUU fishing such as port and flag state control measures, an area where NOAA expertise will also be useful, and we will support FEU involvement in regional responses to this problem via regional organizations. The SFMP however will not provide any direct support for the costs of offshore patrolling or purchase of patrol craft.

Reducing child labor and trafficking in fisheries: Discussions with the FC leadership (CR), the Department of Social Welfare in Accra, and local implementing partners have highlighted the problem of illegal child labor in fishing—especially in the CR. This includes both hazardous fisheries work by children under age 18 and child trafficking. During focus group discussions held in Moree, participants reported that children are being sent to Lake Volta to engage in dangerous fishing practices and are never enrolled in school. Especially vulnerable are single female-headed households with many children. Migrant fishers often leave women to fend for themselves and their children, without money for school fees or food. Agents come offering relief in the form of payments and promises to care for the children, but then force them into hard physical labor in the lake fisheries.

Coordinating closely with the FC child labor focal person in Accra, the SFMP will conduct a comprehensive assessment of the problem in the CR and identify communities and households most susceptible to such practices and root drivers of the problem. We will develop a behavior change communications initiative in the CR on the issue in an effort to make such practices socially unacceptable. Livelihood activities will be targeted at vulnerable households most likely to engage in such practices, under the premise that economic hardship is the root cause of the problem. We will work with social welfare agencies, the Department of Labor and District authorities to bring social services more forcefully to bear, such as reproductive health education and access to family planning services and commodities. We will conduct policy research that assesses the impact of the Ghana LEAP Program on reaching at-risk households and whether beneficiaries engage less in child labor and trafficking practices. We will engage the National Steering Committee on Child Labor in the design and roll out of the communications campaign and on the LEAP study and in formulating potential adjustments to better tackle this problem, such as an expanded conditional cash transfer program targeting vulnerable households.

The child labor and trafficking component in the CR will be led by FoN. It will coordinate with livelihoods activities conducted by CEWEFIA—a women-focused organization that has an organizational mandate related to fishing communities and social welfare, and SNV also working in two eastern landing sites of the CR. The social and policy research is an opportunity for University of Cape Coast-Center for Coastal Management (UCC-CCM) and CRC to continue their long and fruitful collaboration. While these activities do not directly contribute to the overall project purpose to revitalize fisheries resources, they help build community social resilience and capacity, and are the right thing to do.

National Marine Protected Area (MPA) Working Group: ICFG made some progress on developing a national MPA strategy but this will be a low priority for SFMP. Rather than treat MPAs as a standalone topic, we will promote protected areas (essential fish habitat) as part of demersal fisheries plans (see IR4). If these site-based efforts gain traction, it may then prove fruitful to reactivate the national steering committee to place these in a national context.

Harmonizing regional fisheries policies: *Sardinella* stocks are a trans-boundary resource that extends beyond the borders of Ghana from Nigeria to Liberia with highest abundance between Ghana and Cote d'Ivoire. Recent information on the status of stock reveals it to be severely overfished while the demand for fish continues to increase, making Ghana one of the largest importers of fish in the sub-region. The domestic artisanal fisheries are not meeting domestic demand, driven by lack of availability as a result of overfishing (high fishing mortality and low biomass) and climate change. The fishing gears used are similar from one country to another and fishermen migrate continuously between Ghana and neighboring countries with their boats and fishing equipment. Markets are also expanding beyond borders and imports from Senegal are becoming more common due to the development of cross-border trade. Consequently, special attention will be focused on IUU fishing following our extensive work in the region, mainly in Senegal, Gambia and our collaboration with the University of British Columbia on catch reconstruction models.

We will strengthen national institutions to provide the level of cooperation required for effective fisheries management the *Sardinella* stocks at the regional level with the regional bodies on all aspects of fisheries research, and management namely, FCWC, GGLME, FAO and WB.

While the overall strategy for SFMP is founded on a bottom-up fisheries co-management process focused on capacity building of stakeholders and local and national institutions, it is essential to link it with the regional research and management at the stock range level. It will be based on a process approach in which the bottom-up capacity building will be conducted in the first phases of the project while supporting on a parallel track a full engagement of the Fisheries Commission and stakeholders with the regional efforts on fisheries research, management and economic growth. These are needed to address issues of broader management and contribute to the development of new and innovative regional policies for fisheries management.

Research will also focus on the status of the stock and the impact of climate change on the abundance and distribution of *Sardinella* stocks. We recognize studies on the potential regime shift in the Gulf of Guinea Large Marine Ecosystem (GGLME) suggesting northward shift and offshore migration of the epicenter of the *Sardinella* stock. We will select topics of common interest selected by MOFAD and stakeholders at a national dialogue workshop. Emphasis will be placed on the active participation of all partners (government, research, fishing communities, etc.) to ensure a large extension and outreach of input and information to communities.

On the theory of regime shift, we will validate the extent of its impacts on the biodiversity and socio-economics through acquisition of scientific information and fishermen's knowledge. In addition, special studies will be conducted by Marine Fisheries Research Division in collaboration with the FCWC:

- Influence of environmental conditions on abundance and distribution of *Sardinella* sp in the Gulf of Guinea.
- The role and contribution of migrating fishermen of Ghana in West Africa.

The SMFP will support the participation of selected members of the national scientific and technical group at the regional meetings of the GGLME and FCWC. This will strengthen the capacity of the scientific group and encourage exchange and coordination of information and management measures of *Sardinella* at the regional level. We propose to sponsor the MOFAD to organize a regional fisheries management workshop for the FCWC in Accra. The workshop will be an opportunity to provide an update on fisheries data (landings, discards, IUU, and trade) and issue fisheries management recommendations at the regional level. In addition the SMFP will support the Fisheries Commission in its mandates to implement the national and regional action plans to combat IUU fishing in collaboration with the of, FCWC, World Bank, ACPFish II.

A study on the *Sardinella* the value chain of this species will be conducted with a specific focus on regional trade and to support the local and regional co-management plans and coordinate efforts with other regional studies of the West Africa Trade Hub.

The SMFP will also support an assessment and evaluation of the various traditional fish smoking methods employed in Ghana and neighboring countries and draw from regional experience and local knowledge to develop a national strategy and an action plan to improve the efficiency, quality, and value chain.

Mobilizing US government support for policy and legislative reform: While much of the SFMP approach is predicated on building local constituencies to support change and thereby create demand for local policy makers to make difficult choices necessary to end overfishing, we will also work with USAID, the Embassy and the FAS to raise critical policy issues at senior levels of Ghana's government via other USG-GoG communication channels. This will include personal briefings and short discussion briefs to educate senior US government staff in Ghana to raise at opportune times with senior level counterparts in the GOG key issues in the fishery such as the perverse effects of fishing pre-mix fuel subsidies and the need for its eventual phase out, reducing overcapacity in the fishing fleets, the importance to enforce more fully laws already on the books, etc. SFMP will encourage the Regional Training Center (RTC) in Accra, established under the guidance of the International Narcotics and Law Enforcement Affairs Bureau (INL) at the Department of State and as part of the support to the West Africa Cooperative Security Initiative (WACSI), to develop training sessions on IUU fishing which may be associated with transnational criminal syndicates and in of itself is considered by many to be a transnational criminal activity.

Key Outcomes and Results expected from these activities include the following:

- Fisheries act amended with explicit language for co-management and use rights
- Strategies for effort reduction and fuel subsidy phase-out debated and policy options presented to MOFAD/FC
- Policy recommendations concerning ways to reduce child labor and trafficking presented to the National Steering Committee
- Significant increases in IUU fishing arrests made and successful prosecutions act as real deterrence and coerce more compliant fishing behavior
- Advances made toward fostering regional leadership to attain a harmonized trans-boundary response to *Sardinella* stocks.

IR 2: Science and Research Applied to Policy and Management

The SFMP seeks to improve fisheries management processes by engaging scientific research and findings as part of the driving forces and rationale for management. This will be achieved in several ways. Strengthening the FC MFRD research and stock assessment capacities will allow it to collect and analyse data and present it to policy and decision makers. A science and technology working group will be formed with mentoring partnerships at UCC's DFAS and CCM. Globally, ICT innovations are transforming the way fisheries information is collected and analysed, and Ghana can apply a wealth of experience in this area. Najih Lazar, the proposed fisheries advisor with decades of experience in these areas, will devote most of his time and effort to achieving these goals.

Scientific and Technical Working Group: Represented by FC and university-based scientists, managers, MCS officers, and stakeholders of major landing sites—this group will provide information on stocks' status. The STWG will work closely with the group to identify data needs and implement a simple but robust stock assessment method for cost-effective annual assessments such as length-based assessment for demersals and spawning potential rate for pelagics. CRC experience with the USAID/COMFISH project in Senegal on implementing a cooperative research program and newly established, university-based extension center will inform this process. The STWG functions would include among others:

Develop an ongoing stock assessment process and strategy including peer-review process to promote transparency, public awareness and consensus building.

Develop an action plan to improve data collection systems and use of data-poor methods. Conduct studies on climate change impacts on the fishery and implications for management. Provide scientific advice on effects of measures to revitalize the small pelagic fishery and design an M&E system to monitor expected responses to short- and long-term action.

If the group is a success, we will work with the FC to make it a formal committee similar to scientific committees established in other countries such as the US to support management decision-making.

ICT Innovations for Effective Fisheries Management: Innovative technology will be used in various aspects fisheries management such as traceability in small scale fisheries, reporting of IUU fishing, collection of landings data, and vessel and fisher registration tied to provision of insurance to vessel owners. Other ideas include provision to fishermen and fishmonger information on fish prices, weather

alerts, mobile phone payments and invoicing, and demand driven services to name a few. SSG Advisors has been instrumental in developing similar efforts in the USAID Philippines ECOFISH Project and will play a key role in facilitating national dialogues on these topics using their ["STEP" methodology](#). The national dialogues and STEP process will help decide which applications are most promising. A number that shows high promise and stakeholder interest will be piloted and, if successful, brought to full scale. We expect 3-4 pilots and 1-2 full-scale adoptions.

UCC/DFAS/CCM Capacity Development: URI is well suited to partner with the DFAS and CCM to help them achieve their vision of UCC as a center of excellence. Under the ICFG, URI provided support in the development of a strategic plan for the CCM, conducted collaborative training with UCC in coastal management and climate adaptation for district planners and national officials, commissioned applied technical studies on fisheries issues and enabled many student on-the-job training and applied research activities. URI has years of USAID experience in building local university capacity to offer demand driven education, applied research and policy support to government. Past examples include building Coastal Centers of Excellence with Prince of Songkhla University in Thailand, Bogor Agricultural Institute in Indonesia and UCAD in Senegal. URI already has ongoing partnerships with UCC via the USAID/WA ASSESS Project and the URI Africana Studies Program. URI is a Land and Sea Grant University offering UCC successful examples of self-sustaining Centers including CRC, the Coastal Institute, and Cooperative Extension service.

CCM and DFAS will have an open invitation to accompany the SFMP in all of its technical work, especially in the applied management (IR4), national policy (IR1), and science for management (IR2) activities, including participation in the STWG, development of a CR data hub and ICM toolkits, and training of CR district planners. A URI Faculty advisor and governance expert from the URI Department of Marine Affairs will spend extended time at UCC to review curriculum, conduct faculty and student trainings and seminars and engage in strategic planning on how CCM and DFAS can develop self-sustaining research and extension programs. Exchange visits between URI and UCC faculty and administrators will allow UCC to see firsthand several university models including the Land and Sea Grant research and extension programs, and outreach centers at URI. UCC faculty and staff will take advanced degree training at URI on fisheries stock assessment, GIS systems and modeling, climate adaptation, coastal and fisheries law and management. The URI international fisheries leadership course will be adapted for offering on a regular basis by UCC. We propose that UCC develop an ongoing system of monitoring and management of important fisheries, coastal habitats and lagoons in the Central and Western Regions, involving UCC students in experiential field coursework. Examples of potential UCC-SFMP collaborative studies important for fisheries management include:

- Assessment of fishing gear impacts on marine mammals and sea turtles and linked to extension efforts on gear modification and mitigation measures
- Assessment of climate change impacts on critical fish habitats such as mangroves, and changes in migration patterns and potential productivity of marine fisheries ecosystems

The FC has requested an internship program that can train up to 20 persons per year for their future manpower needs. We propose this be established with UCC to insure sustained delivery of entry level staff into the FC well beyond life of the project. UCC and URI will develop an institutional Memorandum of Understanding (MOU) covering cooperative programs in line with those URI is

establishing globally. We have budgeted approximately 7% of project funds for UCC support. The URI Fisheries Advisor will lead collaborative activities with UCC

Improving FC Data Systems and Stock Assessment Capacity: A main focus of the SFMP senior fisheries advisor will be to work closely with Marine Fisheries Research Division (MFRD) of the FC in Tema and with UCC. Staff will be trained on fish stock assessment methods, baseline fisheries and biological data collection, fisheries extension and catch reconstruction methods. FC research staff will receive graduate degree training in fish stock assessment. The research team will be actively involved in designing and piloting mobile technologies for collection of landings and effort data. The advisor will also work with the vessel registration team to assess mobile technology for registration of vessels and fisherman and will work with the MCS and FEU groups in Tema on the use of ICT for improved information and analysis of IUU fishing. Some of this work will be coordinated with FAO to ensure standardized reporting of Ghana contribution to global fisheries statistics. The URI Fisheries Advisor will lead these activities in coordination with SSG Advisors.

Understanding Fisheries Supply Chain from Net to Plate: Later in the project and once improved smoker and handling practices are adopted at major landing sites (see IR4), we will investigate adopting local product traceability in major ports such as Elmina, Sekondi, Tema and Axim. Building on lessons from Cayar, Senegal, traceability can help women fishmongers promote responsibly harvested fish—guaranteeing a safe and healthy product (not allegedly processed with DDT or handled using formalin). We will experiment with use of mobile apps with QR readers that can provide product information and traceability from boat to retail sales points. Discussion with DAA, Daasgift and CEWEFIA indicate that price premiums for such products can and already exist and can potentially increase profitability for thousands of women in the fish supply chain.

Improved hygiene, processing methods and product quality, packaging, labeling, and marketing significantly increases the value of smoke/dried fish products and shelf life, allowing better penetration to domestic markets where demand is strong and to neighboring countries. In understanding the fisheries supply chain and value chain, the final wholesale and retail market will be assessed to document the contribution to food security both in Ghana and other African nations. Small quantities of smoked fish are destined for markets in Togo, Benin and Nigeria. Animal protein from fish is a very important source of food security in all West African nations. The main constraint is the lack of sufficient fish supply as a result of overfishing the stock, thus there is not enough processed product to meet domestic demand, let alone regional demand. In the Western Region, for example, exports of fish to African neighbors decreased by 10.2 % over the period 2000-2007.

Environmental Planning Data Hubs and Capacity Building Centers for the Western and Central Regions: Coastal district assemblies and regional coordinating councils make important land use decisions that affect the quality of life of fishing families, the efficiency of fish landing and processing sites and the condition of fish habitat including mangrove ecosystems, lagoons and near shore waters. The ICFG program's original GIS data hub/ training program for the WR in collaboration with the Local

Governance and Decentralization Program (LOGODEP) and Department of Town and Country Planning will be strengthened then replicated to best serve the CR Coordinating Council under the leadership of Hen Mpoano in conjunction with Spatial Solutions and with engagement of UCC. This will benefit not only the CR RCC but all nine coastal districts in the CR. This maximizes Town & Country Planning Department's intensified efforts to improve spatial planning in coastal districts. Since USAID is also making investments in GIS capabilities at UCC, SFMP will assess the potential viability of strengthening and maintaining a permanent data hub within the UCC/CCM, drawing on the lessons of University of Ghana's Centre for Remote Sensing and Geographic Information System (CERSGIS) and ICFG's WR experience before taking a final decision on where and how to host the hub, the other logical alternative location being within the RCC Town and Country Planning office. New information generated by the three USAID coastal programs on fisheries, coastal landscapes, seascapes and marine and coastal fisheries habitat will be added and openly shared following USAID open information policies, including the expanding SERVIR program for West Africa, to be housed in Accra via CRC's ASSESS program. Led by HM and assisted by UCC, ICM toolkits prepared for the WR under ICFG will also be adapted and prepared for the CR coastal districts.

Key Outcomes and Results expected from these activities include the following:

- UCC producing/delivering relevant science-based information and convening trainings and workshops with the FC and stakeholders to promote science-based decision making
- Several ICT innovations for mobile apps being used in fisheries management
- Improving fisheries and GIS data, utilizing stock assessments in management processes
- A formalized science and technical committee advising the FC
- UCC providing competent personnel to GOG and stakeholder groups, businesses

IR 3: Creating Constituencies and Stakeholder Engagement

A National Communications Strategy for Fisheries Management will be prepared during the first months of the SFMP in conjunction with the Fisheries Commission and the WARFP communication team. All agree on the need to reinforce important behavioral changes to rebuild marine fish stocks and improve food security in fisheries. Discussions with the WARFP communications team and the FC Public Relations Department, confirmed their desire to follow up on ICFG success areas such as the highly successful *Biribireba* Radio Drama, media outreach campaigns, stakeholder communications forums, fisheries best practices competitions, mass media campaigns, international day events and electronic mobile applications meshed with project websites and social media. Opportunities for significant resource leveraging with the WARFP communications effort are likely. Close collaboration as well with USAID's communications team will ensure partners coordinate on the identity and purpose of respective projects, rapidly share strategy insights, disseminate outreach products as well as policy and technical information and address the need for international communication.

ICFG's partners, who are also core members of the SFMP team, created many new ties that accelerated information flow, engaged hundreds of new stakeholders and made unprecedented progress in building consensus on the need for improved governance at local, district, regional and national levels—providing a strong platform on which SFMP will build and expand.

The first tier of SFMP communications is corporate and internal and involves clarifying protocols for branding and documentation for implementing partners; timely and regular progress reports and success stories in the form of work plans, annual reports, technical reports, and factsheets, weekly FtF bullets and significant change stories. SFMP will maintain an interactive and comprehensive project-specific website, but also will provide a steady feed of information to WARFP, the FC and USAID/Ghana, and ensure partners and regional fisheries stakeholder groups post accurate, updated information on events and developments. SFMP will work closely with METSS on progress reporting, and ensure properly branded and 508 compliant products.

The second tier of SFMP communications is a series of carefully coordinated national and regional Policy Campaigns on emerging technical and scientific information and policy dialogues timed to match decision processes. Messages will capture stakeholder concerns including those of women and children who are typically overlooked. Campaigns will include:

- Early Actions and a National Small Pelagics Plan. The SFMP Accra office will work on strategic messaging, under the coordination of the HM Communications and Public Relations Expert provided by HM while FoN engages major fisher organizations including the National Canoe Fishermen’s Association, and others.
- Legislative Reform. The HM Communications and Public Relations expert will lead the strategic communications engagement with legislative committees and senior government officials, especially with MOFAD and the FC public relations officer. FoN will lead a stakeholder engagement process involving bottom-up communications with men and women of key stakeholder groups such as DAA, CEWEFIA, GNCFC, GIFA, NAFAG, GNAFF. SFMP also will also build on SNV experience in using innovative web-based and mobile phone social media tools to reach a wide-ranging and dispersed network of stakeholders in all coastal regions of Ghana.
- A Special Communications Plan in the CR will focus on reducing child labor and trafficking in fisheries. Messages will draw from the LEAP policy study; findings from the CR in ocean-going and Volta region fresh-water fisheries; and experiences of CEWEFIA and others.
- Other Communication Plans: As a Stakeholder Engagement and Communications for the Demersal Plan and other activities are developed, the SFMP will keep fishers informed of developments in the policy process and engaged in public debates, fora and committees.
- A “Healthy Fish” campaign will use information from studies in the local landing sites on fish quality, fisheries supply and fisheries marketing chain to set the groundwork for consumer understanding and support of fish traceability and preference for “Healthy Fish.”
- SFMP will actively ensure media attention of key messages via events on such relevant dates as International Women’s Day, World Environment Day and World Tree Planting Day.

The SFMP will deliver specific communication strategies that focus on people in political positions and high level decision making roles to help ensure legal and policy reforms necessary to end overfishing and rebuild stocks are adopted and implemented. This will include the following activities:

- Hold monthly/quarterly briefing, with the Minister, Deputy and other senior level personnel on progress of our work/support needed and critical interventions need at high level to enable policy and legislative changes needed to enable effective action on-the-ground

- Establish a working relationship with a parliamentary caucus of coastal MPs and brief them on as-needed and when available basis. We will invite them to our national dialogues and provide them with issue/policy briefs to guide their debate/motions they can move in parliament. We will provide behind the scenes support out government counterparts in MOFAD and FC to make compelling arguments to these political leaders about the benefits to be gained from legislative reforms and to speak publically about the accomplishments in the fisheries sector resulting from project activities.
- Make presentations to Parliamentary select committee on Agriculture and Fisheries on Annual basis (either directly via project staff, encourage NGO partners to testify and via coaching of MOFAD and FC representatives. Through the permission of the speaker of parliament, formalize relationships with advisors to the president, the Hon. Emelia Arthur and others. Send them briefs, request responses and meetings to discuss them more in depth, and also invite them to dialogue sessions.

The HM Communications and Public Relations Expert will rapidly mine and analyze the extensive contact lists of its ICFG partners along with TrainNet data and other sources to create a social network map of stakeholders. Partners will coordinate their contacts with participating individuals and organizations, allow for “opting-in” to receive and send communications using a variety of media and identify individuals who are well-placed to bring in under-represented stakeholder groups and opinions. To measure behavior change, the M&E and Learning strategy will assemble impact baselines in Year 1 and conduct periodic appraisals on child labor, outreach, and legal awareness.

Since SNV has the unique expertise, experience and networks available to support the project’s communications strategy, SNV will support the communications expert in developing quarterly newsletters and providing updates on the projects progress in national news outlets. SNV will coordinate sharing this information with both state and local actors as well as the general public via social media platforms including Twitter, Facebook and others. In addition, SNV will work with a local agency to provide creative development, graphic designs and management services to support our integrated communications strategy.

SNV will collaborate with **The International Institute of ICT Journalism** (Penplusbytes) to support communication activities through new media. Penplusbytes is a lead organization in the development of tools and applications that promote citizen participation in governance; getting citizens’ attention and soliciting their participation through online/social media platforms - twitter and Facebook, mashed up with mailing lists and bulk SMS in Ghana.

Key Outcomes and Results expected from these activities include the following:

- Under-represented groups engaged in decision-making, promoting responsible practices
- Active support for policies and stakeholder behaviors consistent with best practices and legal requirements for responsible fishing (voluntary compliance increased)
- Active participation by stakeholder organizations throughout policy development and management planning processes.

IR 4: Applied Management: to Improved management of marine resources to reduce over-exploitation, to conserve biodiversity & provide other benefits

SFMP will work at three ecosystem scales of management for three types of fisheries stocks. Priority in the first two years will be on the small pelagic fisheries, with a demersal fisheries and marine spatial plan in the WR linked to community-based estuarine management plans in following years. Integrated community resilience and marine biodiversity conservation actions will be implemented. The nested approach to design and implementation will enable a synchronized and mutually reinforcing flow of information across national, regional, district and local levels.

Small Pelagic Fisheries Management: As noted in IR1, the initial priority is to work with stakeholders to ***consider immediate actions to turn around this fishery on the verge of collapse.*** Previous stakeholders meetings suggest that a closed season is likely an acceptable option for stakeholders and scientifically, the quickest way to get a short-term boost in biomass and yields. However, there is no guarantee that stakeholder and high level political support for such an option will be readily forthcoming or that the fishery is so far collapsed that a quick rebound may not occur. But relatively quick gains are biologically feasible and if achieved, could build broad-based support for additional measures. With support from MOFAD and the FC, options will be intensely explored in the first national fisheries dialogue early in Year 1. Working with the FC, the Communications team will coordinate a coast-wide public engagement campaign to educate stakeholders on the rationale behind a closure and to develop the consensus needed for action. The scientific and technical working group will assess stock status and impacts associated with this option to be communicated to stakeholders. The MCS and FEU will be strengthened to enforce a seasonal closure as high compliance is critical to success.

This “quick hit” strategy will be accompanied by a longer term adaptive fisheries co-management planning process for the small pelagic complex at the national level. It will include a detailed fisheries profile, a stock assessment and management recommendations to be analyzed by the scientific and technical working group. The SFMP will work with MOFAD and the FC to establish a stakeholders’ advisory committees, chaired by the FC (allowed under Article 9 of the Fisheries Act) to develop a vision consistent with national policies; then consider a suite of management measures for reducing overexploitation and rebuilding stocks. Initial management measures will focus on input controls and other measures to limit overfishing, while IR1 and IR2 activities set the stage for progress toward output controls. Output controls could include transitions to collective and total quota systems. If fisheries legislation is passed that allows for true co-management committees, the stakeholders’ advisory committees could be transformed into a formal Co-Management Committees.

A national small pelagics fisheries management plan must be developed in close coordination with sub-regional management initiatives such as the Fishery Committee for the West Central Gulf of Guinea, to account for the stock boundaries and regional differences in fisheries, fish migration, essential habitat and stakeholder needs. The SFMP will introduce a conservation equivalency model which is a fisheries management process by which local/regional (sub-national) co-management bodies are allowed management flexibility in order to take into account local fishing conditions and stakeholders input while maintaining consistency with the national standards outlined in national law, regulations and policy declarations. The introduction of local/regional flexibility in managing fisheries is consistent with

the philosophy behind key legislation impacting Ghana fisheries. Ghanaian laws and policies do not specifically refer in detail to such a concept but they do recognize the differences between regions for the purpose of decentralization policies and the opportunity to accommodate specific socio-economic conditions. Conservation equivalency is essential in order to avoid the strategy of “one size fits all” in management measures. This will gradually introduce the concept of regional jurisdictions and introduce models of property rights in fisheries—consistent with key legislation in Ghana impacting fisheries.

The SFMP will pursue opportunities to leverage resources from regional groups in the management of the shared stocks important for Ghana’s food security (e.g. *Sardinella spp.*) and where ultimately regional cooperation will be needed to fully address the overfishing problem and fighting IUU fishing. In this context, SFMP will support MOFAD to demonstrate leadership by example on addressing overfishing and IUU fishing, and assist MOFAD in facilitating activities that can leverage additional support from regional bodies in the region. The SFMP will work with MOFAD to promote regional level research and dialogue on management issues of *Sardinella*, and advocate for development of stronger regional cooperation with the FCWC by providing resources to support MOFAD and the FC to convene and or attend regional fisheries assessment and management workshops of *Sardinella* and for closer coordination with the FCWC and the FAO assessment-working group. This will contribute to the national effort and a Ghana national management plan for small pelagic stocks by laying out regional cooperation priorities. We will also support activities such and a study tour to the Canary Current Sub-Regional Fisheries Commission as well which has well advanced regional cooperation programs. (see IR1-Harmonizing Regional Fisheries Polices)

Fishing Capacity Assessment and Reduction Strategy: To reverse overfishing and rebuild the depleted stocks, fishing effort may have to be temporarily cut well below what would normally be considered necessary to obtain maximum yields. This could result in short-term loss in yields before the rebound kicks in. Business as usual with the absence of effort control measures means stocks will continue to decline with diminishing economic returns leading to further deterioration of social conditions. The FC has begun to address this with the support of the World Bank by registering small artisanal canoes, with over 8000 registered as of June 2014. While the semi-number of industrial and the industrial fishing vessels are theoretically capped. By 2015, canoe owners and operators will need to be licensed and a canoe cap can begin. The boat registration program will assist the FC in measuring fishing capacity. Fishing effort, however, can be measured only by understanding the activity level and frequency of the fleet. The SFMP will conduct a study on fishing capacity for each of the three sectors by gear type, region and by standardized units. While these are not standardized, they can be calibrated using modern statistical methods to provide a standardized and unbiased measure of fishing effort. Once quantitative assessments of fishing capacity are better understood and stock assessments are available, the level of fishing effort that produces maximum yields, a goal of Ghana’s national fisheries policy, can be ascertained. This information, combined with the outputs of the fisheries dialogues and other management measures help map out a strategy to reduce fleet capacity to more sustainable levels.

The Western Region Demersal Fisheries Management Initiative: Demersal fisheries in Ghana are severely overcapitalized and overfished. Marine mammal and sea turtle interactions with fisheries are known to cause mortalities, however the extent of fishing interactions with migrating humpback whales off Cape Three Points are yet to be documented. During the ICFG Blue Ventures characterized the rocky reef habitat area of Cape Three Points as a strong candidate area a no-take fisheries reserve.

Coastal communities depend on fishing and farming livelihoods, both of which are in steep decline, resulting in greater poverty. Population growth increases fishing effort and damaging practices (e.g., light fishing, monofilament nets, dynamite, noxious substances). Land available for food is rapidly being lost to urbanization and tree plantations, reducing food security.

The SFMP will develop an ecosystem based management approach to the demersal fisheries in the coastal region between the nursery grounds of the Ankobra and Pra mangrove ecosystems, using a policy and process and stakeholder engagement strategy similar to the national small pelagics plan. Regional fisheries authorities will lead this effort, guided by the existing Western Region Fisheries Working Group acting as the “Demersal Fisheries Advisory Committee.” Best practices for fisheries and marine ecosystem management will be identified and discussed through stakeholder discussions, tailored to the specific needs the demersal fishery and associated ecosystems. The advisory committee will seek plan endorsements from coastal districts, traditional authorities, the RCC and Das and then submit the plan to regional FC for approval. The plan will incorporate sub-management units of community-based habitat stewardship and fisheries management plans for the targeted estuaries (see below).

In the USA, CRC pioneered marine spatial planning involving careful allocation and spatial separation of offshore uses, first through creation of a series of some of the earliest special area management plans (SAMP) in Rhode Island and recently facilitating a complex stakeholder engagement process of America’s first Ocean SAMP. The demersal fisheries plan will account for other, non-fishing uses (oil and gas; recreational; marine habitat) for marine space.

Integrated Community Fisheries Management and Resilience Plans for the Ankobra and Pra Estuarine and Mangrove Ecosystems: Ecosystem-based fisheries management and community resilience plans will be prepared for the Ankobra and Pra river estuarine ecosystems as sub-management units of the larger demersal fisheries plan. The Ankobra effort will be led by HM while the Pra effort is led by FoN. The procedure will be similar in both locations. The Pra builds on groundwork during the ICFG project. The Ankobra will build on and leverage work underway by Adamus Resources Ltd, a mining company in the Nzema East district. Environmental characterizations and resource mapping of both estuaries will focus on their roles as nursery grounds to demersal fish stocks and estuarine fisheries. Both management plans will emphasize community based decision making for sustainable fishing and mangrove protection. Permanent community-based management committees will be proposed and policies will be included in district spatial plans. Collaboration with the Coastal Sustainable Landscapes Project (CSLP) will ensure that assessment methods are consistent and that contact with communities is coordinated. Researchers and students from UCC will play a role in addressing information gaps. SNV will bring in its extensive experience in Ghana on sustainable mangrove utilization. SNV will also undertake wood supply chain studies for the WR and CR to insure that fish smokers continue to have a supply of preferred wood species while protecting mangroves as fish nurseries. CSLP will provide criteria for woodlot sites, tree species, and sustainable forest harvesting practices, and monitoring and

evaluating the effectiveness of the overall effort. Partner SNV, along with UCC student researchers, will document energy budgets and comparative economics of processing techniques. The EBM plans for the Ankobra and Pra will also address hazard and climate adaptation issues for fish landing sites. Led by HM, detailed analyses of hazards, flooding and climate change impacts will be made to identify areas of greatest impact and to design adaptation and mitigation options. Also led by HM, the SFMP will pilot a Joint Development Planning Agreement for the Ankobra estuarine system shared by Ellembelle and Nzema East districts.

Sustainable financing of co-management institutions: The issue of sustainable financing of co-management fisheries institutions is a global issue and particularly problematic in small scale fisheries in developing countries like Ghana's where profitability is low and opportunities for rent extraction limited. The failure of the previous co-management efforts were due in part to the lack of a legislative mandate for districts to take on any responsibility for fisheries management including budgetary allocations and revenue generation in support of fisheries management. A plan of action will be developed with the FC and stakeholders to seek effective mechanisms to finance the various stakeholder committees proposed at national, regional (sub-national) and local scale. This needs to include funding of committee activities such as meetings to decide on new management measures to prevent and end overfishing, development of fisheries management plans and particularly for the implementation of management measures and their contribution in law enforcement with MCS units. Options may include legislative mandates for the FC to provide line items in their budget to support co-management committees (emulating Philippines and US examples), as an option for use of the Ghana Fisheries development Fund, the use of a percentage of license fees to support co-management committees (this is the Senegal approach which so far has been unsuccessful), establishment of landing fees, shares of fines, etc. This will be a theme topic for the national policy dialogues and also for inclusion in appropriate amendments to the Fisheries Act. The responsibility will likely continue to reside in the FC and the co-management committees it chooses to establish. However, if management authorities are delegated to districts, than local funding mechanisms under district mandates could also be explored following the recommendations of the evaluation of the previous WNB supported community based management project. Once a strategy has been worked out, we will work with MOFAD and the FC to pilot at least one financing system supported by a series of trainings in administrative and financial management. A manual of administrative and financial management will be produced based primarily on a concept of transparency and information sharing.

Central and Western Region Fishing Community Livelihood Development Value Chain and Post-harvest Improvements: SNV will work in collaboration with local implementing clients (CEWEFIA, DAASGIFT to organize and strengthen women's fish processing and marketing groups with an emphasis on promoting more profitable and efficient fish smoker designs promoted by SNV, improving fish quality, storage facilities, handling and traceability from nets to table, and leading the "Healthy Fish" campaign aimed at fish consumers and intermediaries. Livelihood activities will add value to the products/services of small to medium sized businesses; and will provide training in micro-credit, entrepreneurship and marketing. SNV will roll-out this component in the Central Region on large landing sites at Apam and Winneba as a best practice guide for the other implementing clients. For

sustainability and local capacity development, SNV will closely involve DAA to work at the Apam and Winneba landing sites, providing on the job training. In addition, SNV will support DAA with organizational development and business planning.

SNV, as part of the organizational support to DAA, will establish and provide oversight of a Fisheries Training Centre. The center will serve as a hub for improved fish smoking including information, trainings, capacity building and technology transfers. At the end of year 5, the Fisheries Training Center will be turned over to DAA for ongoing support and management. At that point, it will earn enough income to support operations.

CEWEFIA will focus on Elmina, Moree; and DAASGIFT will lead efforts in Axim and Anlo Beach, Shama Old Town, and the Pra and Ankobra estuarine communities. This strategic network of sites will maximize potential for rapid auto-diffusion to larger scale successful livelihood ventures as well as cost efficiencies by initially concentrating activities in a few large sites. SNV will assist in developing business plans and models and attracting private sector financing for scale –up and allowing diffusion to be catalyzed by market driven private financing rather than reliance solely on project subsidies and grants. The potential to impact thousands if not tens of thousands of beneficiaries is possible if private sector investments can be leveraged.

SNV will support CEWEFIA with the necessary tools and capacity to address the issue of child labor and trafficking in the Central Region, with appropriate mixes of livelihood and other social service support targeted at women, youth and vulnerable households susceptible to child labor practices. SNV will make an effort to mobilize additional resources for implementation of additional livelihoods options and will also work to create and maintain awareness around the issue of child labor and trafficking keeping the ILO and US Department of Labor informed of our efforts with the aim of leveraging additional resources for these efforts.

Key Outcomes and Results expected from these activities include the following:

- Four fisheries management plans developed and/or adopted and implemented at different ecosystem scales (national small pelagics plan, Western Region Demersal Plan, Community based plans for the Pra and Ankobra estuarine/mangrove systems).
- Approximately 13,000 people, a majority women, benefiting from diversified livelihoods, access to micro-credit, adoption of more profitable fish smokers and product value additions
- Several fishing communities more resilient to climate impacts
- Capacity of more than a dozen district authorities to promote and support resilient community policies and initiatives.

Gender Approach

While Ghana has implemented gender legislation, policy reforms and other enabling conditions for men and women to fully realize their rights, gender inequities remain. Gender roles are generally clearly delineated, with men often holding the greatest influence and authority over decision-making at all levels. That said, in fisheries, women play an influential, but less visible, role in the value-chain as

processors and traders who connect products to markets. Owing to this less-visible role, women often have low representation on co-management committees.

Yet, SFMP sees opportunities to break out of “business-as-usual.” Because many women in Ghana own the fishing vessels and finance the fishing trips, they could wield considerable power over fishing decisions and influence changes in behavior that could have a positive impact on the fishery. What they are lacking is a nationally organized association like the GNCFC. Until they organize themselves into such a group, SFMP will work through DAA and CEWIFA who are already intensively engaged with women in fisheries. Since women fish processors are also large consumers of fuel wood, of which mangrove is preferred, women could play a critical role in promoting sustainability of this supply. SFMP will also ask men and women in the target project areas for their ideas on how to strengthen men’s and women’s roles in co-management to the benefit of fishing communities and households. Based on the feedback that comes from a more detailed gender analysis undertaken in Year1, SFMP will develop a gender strategy in Year 1 that includes M&E and learning components. In addition:

- SNV would develop a gender mainstreaming manual for training communities and three selected organizations.
- Period coaching and follow up on gender mainstreaming would be organized for three selected organizations
- A Mid-point and end of project gender auditing would also be undertaken.

A sampling of illustrative actions and rationales follows. Each action step in the strategy (non-italicized statements in the list below) would be linked to a rationale (italicized).

- Conduct gender analyses to make co-management systems more efficient and relevant—*articulating the realities is a prerequisite to any change in response to those realities and/or changing the realities themselves*
- Build the skills of targeted institutions, NGOs, stakeholder associations and FC to implement programs for advancing gender equity—*the more players with gender equity awareness and with skills to bring about greater gender equity, the increased likelihood change will occur*
- Bring together women stakeholders to craft a “Declaration” on strengthening the role of women in the small-scale fisheries management decision-making—*giving “voice” to a position via the written word can give that position and the position-holders greater credibility and power*
- Promote increased participation by women on committees, including as leaders, so they are better empowered as equitable decision-makers in fisheries and MPA governance—*wanting women to assume more leadership and have greater decision-making power is not enough; it is necessary to give them the enabling conditions that will make that happen—i.e., the tools and training to use their voices and/or serve as leaders; establishing meeting times and settings that accommodate women’s schedules; etc.*
- Pilot livelihood and microcredit solutions to reduce vulnerability among women and youths with a focus on child labor and trafficking households at risk in the CR—*CRC has positive experience in helping women move out of poverty through small but strategic livelihoods; with access to loans for*

start-up or expansion; and with technical training in small business development, operations management, and added-value products and marketing—equipped with greater and more sustainable incomes, women and their families are less likely to engage in risky behaviors such as but not limited to child labor and trafficking

- Establish gender focused and disaggregated monitoring—*the only way to know if women’s and men’s perspectives have been heard and are incorporated into plans is to track this data in a systematic way that allows for analysis that can then then inform the program of changes needed or progress being made*

Having a gender strategy is important for many reasons, not least of which are food security and food access. If we can better understand both men and women’s roles—direct or indirect—in fisheries and fisheries-related areas of their lives, we may better identify solutions to food insecurity, a reality that too often drives people to other risky behaviors.

Public-Private Partnerships

As an institutional leader in public-private partnership (PPP) development, SSG Advisors will take the lead in adapting its proprietary “STEP” methodology for building partnerships to support SFMP and partners in developing and managing high-value PPPs. The STEP (Sustainable, Transparent, Effective Partnerships) methodology combines PPP identification and prioritization, capacity building, analytical support, mentoring and guidance to provide a powerful platform for catalyzing strategic partnerships at all levels. STEP achieves this by engaging key stakeholders, uncovering shared value of collaboration and ensuring transparency.

SSG will conduct a Rapid Partnership Appraisal (RPA) during the first months of the project to identify opportunities in which strategic PPPs can contribute substantially to fisheries management in Ghana. This assessment will focus on major national, multinational and local businesses spanning numerous sectors. The goal will be to forge partnerships with multinational companies and with large firms based in Ghana through such activities as:

Value Chain Improvements. Linkages with suppliers, processors, local buyers and financial institutions can catalyze the growth of coastal enterprises, creating jobs and reducing pressure on fish stocks. Better linkages for small-scale fisherfolk can improve alternative livelihoods for women and marginalized communities—e.g., by creating value-added products and establishing community-based supply chains for repurposing discarded fishing materials.

Innovative ICT Engagement. SSG will develop technology-driven partnerships for improving coastal resource management and coastal livelihoods in Ghana—engaging mobile carriers and ICT firms to explore web-based and SMS solutions to address IUU fishing, data collection and registration and licensing; and engaging its existing partner Mobile Movement to leverage its social media platform to enhance information sharing for community-based enterprises.

Oil & Gas Partnerships. SSG will work with offshore oil and gas interests to invest funds in addressing conflicts, endangered species issues, oil spill contingency planning and district spatial planning. DFID is planning a major project promoting a Coastal Foundation for Corporate Social Responsibility with funds from oil and gas interests and other private sector sources. This offers a major opportunity for resource leveraging and sustainable financing and social impact investment of diversified livelihood initiatives, fishery restoration and community level social enterprise development. Payment for Ecosystems Services partnerships could simultaneously enhance the livelihoods of fishers, improve the oil industry's social license to operate and enhance the resilience of fish stocks in areas where the oil industry is present. This effort will be supported by the Community Environmental Monitoring and Advocacy Groups (CEMAGs), fostered by FoN for community-government-oil industry engagements. Development impact bonds could mobilize significant private capital in support of improved fisheries management.

The project will occasionally provide seed funding in the form of sub-grants or subcontracts in order to catalyze partnerships. Seed funding will incentivize large-scale private sector leveraging by demonstrating important initial investments in key areas. For example, in USAID/East Africa PREPARED climate change resiliency project, SSG Advisors worked closely with a subcontracted Kenya ICT firm to design a database through which local and international conservation organizations would share data on wildlife poaching and trafficking. This investment led to other ICT firms including mobile carriers and large service providers contributing technology and analytical services to support the integration of ICT into anti-poaching efforts.

By mainstreaming private sector and market-based approaches across the project portfolio, we can strengthen the opportunities to build in sustainable-financing mechanisms for many of these innovations.

Capacity Development of Targeted GOG, CSO and Key Partner Institutions

While the program is designed to build the capacity of key government institutions in Ghana, a capacity development initiative will also target key local partners FoN, HM, DAA, Daasgift and CEWEFIA. We will use USAID assessment tools to benchmark each organization at the beginning, midpoint and end of the project, and include annual fiscal audits by an outside firm. Based on baseline assessments, SNV and CRC will work with the partners to develop organizational and business plans and continually assess their progress with the goal that by end of project, each organization is ready and capable of receiving direct USAID grants. Activities will include:

Undertake baseline for FoN, HM, DAA, Daasgift and CEWEFIA: SNV will assess participating organizations with respect to their strengths and weaknesses.

Preparation of Organizational Development Manual for training selected organizations: Based on the baseline report developed for the organizations, SNV will develop a detailed a tailored implementation manual to guide the implementation of organizational development for these organizations. The manual will cover issues relating to organizational development and other community-based development

meetings. The manual will also contribute to the sustained application of organizational development mechanisms after the completion of the project.

- ***Piloting and Finalization of Manuals:*** The manual will be piloted in one organization to ascertain its appropriateness for the other organizations. Feedback from the pilot will be integrated into the final manual for use by the all other organizations.
- ***Development of organizational and business plans for selected organization:*** To support strengthen the five selected organization SNV would support these organizations to develop a medium term organizational and business plans to guide and ensure auditable processes are incorporated into their day to day operations.
- ***Organization of periodic coaching and mentoring for selected organizations.***
- ***Organization of midpoint and final assessments using the USAID assessment tool.***

B. Monitoring and Evaluation Plan

The project will use a three-pronged learning-based approach to methodologically evaluate and communicate its relevance, effectiveness, efficiency, impact and sustainability. First is the performance management plan (PMP) and its associated indicator reporting, which is tied to the project's goal and intermediate results. The PMP is a tool that allows for effectively implementing the M&E plan. Second is a learning strategy based on adaptive management, sound science for management, stakeholder participation and periodic self-evaluation. Third is a knowledge management strategy to share information, results and lessons—and solicit input and feedback for adaptive management. This approach will optimize the project's performance and ensure accountability to USAID and the Ghanaian and American people.

Performance Management Plan

The PMP is designed to help track progress on the project in relation to its stated goal and IRs. As a living document, it will be used internally for routine monitoring, learning and adaptive management and externally as a tool to engage stakeholders in analyzing and understanding data—and to inform management questions and decisions. The project PMP will fold into the mission-wide PMP, which includes Goal and Development Objective (DO) level indicators from the CDCS Results Framework, which include a number of standard FtF indicators. The project will also use indicators that contribute to USAID's biodiversity and climate change indicators. The indicator reporting will contribute to the effectiveness of performance monitoring by assuring that comparable data will be collected on a regular and timely basis. This is essential to the operation of a credible and useful performance-based management approach.

The project is proposing to use 17 indicators that will be routinely monitored as part of the PMP. The full list of indicators, disaggregation, proposed data sources and targets are found in Annex IV. In addition, we have discussed with METSS, who provides monitoring, evaluation and technical support services to the Economic Growth (EG) Office of USAID Ghana, the possibility of expanding their

collection on DO level and FtF goal level indicators to the Districts in the SFMP priority regions (WR and CR).

Indicator Data Collection

Some indicators and targets measured through the project are simple and straight forward (e.g. number of individuals trained, number of days of USG funded technical assistance provided, number of information products disseminated). For these indicators, we will use project deliverables and artifacts used as data sources and evidence that the targets have been met. Other indicators and targets are more complex, such as number of direct project beneficiaries, number of individuals with increased economic benefits derived from sustainable NRM, hectares in areas of natural resource showing improved biophysical conditions and number of farmers and others who have applied new technologies or management practices as a result of USG assistance. For these indicators we will use a mix of project artifacts (e.g. training and other project reports, participant lists, and GIS maps), field surveys and biophysical monitoring. A more in-depth description of the proposed indicator collection is found in Annex IV.

Establishment of Baselines

In order to assess changes in governance capacity, biodiversity, stock size and socio-economic parameters—and understand how the changes are linked (or not) to project interventions, baselines and mid/end of project follow-up assessments will be conducted using a quasi-experimental design that looks at pre-post project and non-project control sites, or more specifically difference in differences time series designs. . The project will use this design where appropriate and practical and considering cost constraints to assess impacts related to household well-being, livelihoods, biophysical parameters and local governance capacity. In the first year, the project will assemble baselines related to fish stock status, effort levels, fishing mortality and biomass. The stock assessment will use an array of simple and cost-effective methods such as length-based and data poor methods based on life history traits allowing estimates of optimum fishing targets (e.g. Elefan, CatchM_{SY}, catch per unit effort (CPUE) trends). The project will also develop a baseline of households involved in canoe and semi-industrial fisheries, employment in fisheries, income from fish processing, as well as children working in the fisheries sector. To support the indicator “hectares under improved management” the project will establish baselines for the numbers of arrests and successful prosecutions related to fisheries law violations. Finally, the project will conduct an organizational capacity assessment baseline for the FC and other targeted government, CSOs and community entities. There are opportunities to work with WARFP in these baseline studies and designing common indicators and frameworks.

Data Management Tools

The project will use multiple methods and tools to track and monitor performance: 1) Standardized data collection forms and checklists for the implementing partners and field, including data quality assessments and verifications; 2) Robust monitoring system, using Microsoft Excel to store and manage PMP parameters by the project; 3) Spatial data and GIS with primary data sets and geo-referencing of project locations; 4) USAID databases and online resources, including the FtFMS, TrainNet and the

Development Experience Clearinghouse; and 5) A secure information management and activity project database that will help track the development, implementation, and impact of activities and sub-grants

Project Organization for Performance Monitoring and Learning

The PMP tracks progress over the life of the project and supports a learning and adaptive management process. A full-time M&E Specialist reporting directly to the Chief of Party (COP) and is responsible for data collection for the project. The M&E specialist works closely with implementing partners and the project team in the field to collect indicator data in accordance with the schedule. Each implementing partner will designate an M&E and L coordinator. The M&E specialist is also responsible for internal data quality control.

The project will develop multiple learning opportunities. Baselines and assessments will measure project impact and inform adaptive management. Annual work planning and self-assessments at quarterly meetings with project partners and key stakeholders will discuss key accomplishments, challenges and lessons learned, and will plan the next year's activities. During the self-assessments, we will evaluate project logic and explore to what extent activities have led to desired results. Self-assessments will also connect the milestones, targets and IRs to the overarching goal—i.e., paying attention to both near and long-term effects. Periodic partners meetings will be held to coordinate activities as well as assess progress toward goals and IRs. A GIS database and associated knowledge management system will be developed that allows the project to present data readily and inform decisions. “User-friendly” graphic presentations will be useful to national and local government institutions, fisher community groups and fisheries stakeholders for communicating information and influencing decision-making. All GIS data, including shape files and data sources, will be accessible to stakeholders. External mid-term and/or end of project performance evaluations, organized by USAID will provide additional learning opportunities.

Knowledge Management and Learning Plan

The project will be designed from start to finish as a social learning project. Using a social networking approach, the project will help develop and enable a Ghanaian community of practice. It will facilitate learning and information exchange through face-to-face meetings and access to virtual information. The project's web-based knowledge management system will be used internally to code and track information, people and contacts— serving as a tool for PMP indicator reporting and transparency. It will also be a go-to site for information and knowledge sharing for the Ghanaian community of practice.

The project will employ an integrated knowledge management strategy that will cut across all output activities be applied across two tiers: internal and external communications (as described in IR3). The main objective of this strategy is to effectively share information and knowledge learned throughout project implementation with a range of relevant national and international stakeholders to promote improved behavior and action in the management of Ghana's fisheries.

The project will utilize a variety of tools and approaches to ensure that key messages about project accomplishments and lessons learned are disseminated externally in a ‘user-friendly’ manner that responds to the specific circumstances of targeted audiences and stakeholder groups at community, district, national and international levels. The underlying approach to the communication strategy will be to develop and disseminate informational messages that are delivered through mechanisms and in

formats that are appropriate and accessible for the target audience. This will mean that the manner used to deliver communications will intentionally vary depending on the particular audience, with feedback loops integrated into interventions to ensure that the approach is being well received and understood. Particular emphasis will be placed on engaging a range of actors at the community level, including fishers, fish processors, traders and traditional community authorities. SFMP will collaborate closely with UCC/DFAS/CCM to implement effective outreach. Specific communication tools and activities include: project briefs that translate policies, regulations and scientific findings into vernacular language; visual communications (e.g. pamphlets and story-boards); radio drama; research briefs for national and international audiences; and project results and lessons learned reports.

SFMP will maintain participatory and transparent communication flows throughout implementation. Under each IR there will be targeted knowledge management interventions aimed at 1) working with relevant stakeholders to inform, assess and plan for upcoming activities on an iterative basis; 2) updating relevant stakeholders on activity progress including challenges and successes; and 3) sharing activity outcomes and lessons learned with relevant stakeholders.

2. Project Management Approach, Staffing Plan and Key Personnel

A. Management Approach

CRC-URI will lead a consortium of strategically selected local and international implementing partners. The core implementing team will consist of URI, Hen Mpoano, Friends of the Nation and SNV. Supporting technical partners will include SSG Advisors and Spatial Solutions. Additional local supporting partners include DAA, CEWIFIA and DASGIFT. Hen Mpoano, a local non-profit organization was created out of an ICFG mid-term review recommendation and comprises professionals who were key ICFG staff. DAA, is a local women's based association of farmers and fishmongers that advocates for improvements in fisheries policy and development. DAA, CEWIFIA, and DASGIFT have strong female leadership and a significant, but not exclusive, focus on women in fisheries, lending credibility to the SFMP gendered approach. SNV will have a technical role and will help build the capacity of local partners in line with USAID's Forward initiative. SSG brings on-board valuable expertise for developing public private partnerships where significant resource and technical expertise leveraging can be expected. Spatial Solutions also brings to the table high level planning expertise and the ability to leverage additional resources for the spatial planning efforts. The roles of international partners will diminish as local partners and staff members assume greater responsibility and leadership. By the project's mid-point, we expect Ghanaians to fill all full-time, in-country staff positions as expatriate staff is phased out¹. As learned in the ICFG initiative, each partner will have its role, responsibilities, and focus activity areas clearly defined from the start. Annex III provides more staffing detail.

¹ CRC successfully used this model in its ongoing COMFISH project in Senegal, where by mid-point of the project, the expatriate Chief of Party was phased out, and the female Deputy Chief of Party was promoted to Chief of Party.

The Implementation Team

Core Implementing Partners:

CRC- University of Rhode Island: CRC has over 35 years' experience relevant to the SFMP.

Sustainable Fisheries: Building on over four decades of sustainable fisheries experience, CRC has worked in West Africa and Indonesia recently to help these countries redefine fisheries laws and policies; suggest new ways forward; provide technical training in best practices; and help decision-makers and practitioners use an issues-driven approach to collaborative, adaptive, and ecosystem based fisheries management. CRC wrote the manual for USAID staff on Sustainable Fisheries & Aquaculture, and under contract to FHI360, implemented a fisheries training event and online course for USAID staff. In The Gambia, CRC worked with the national government to develop ecosystem-scaled management plans using a co-management framework that led to exclusive rights to user groups. In Senegal, CRC is building the capacity of local co-management committees and assisting the Department of Fisheries in developing a national sardinella management plan with linkages to the Canary Current Large Marine Ecosystem (CCLME).

Biodiversity Conservation: CRC helped establish and/or strengthen community-based MPAs in Asia, Africa, and Latin America and designed and piloted a first-of-its-kind certification program for MPA Professionals (MPA PRO) in the Western Indian Ocean region endorsed by the IUCN World Commission on Protected Areas, International Ranger Federation, World Wildlife Fund, and Park Ranger Association of Africa. This competency-based approach will be applied to the SFMP to develop the capacity of fisheries law enforcement officers and FC field officers.

Climate Change Adaptation: CRC led the design and writing of the USAID publication *Adapting to Coastal Climate Change: A Guidebook for Development Planners* to help decision-makers, policy-makers and practitioners understand the impacts of climate change on natural and built coastal and marine environments and to provide strategies and tools to mitigate or adapt to those impacts. CRC provides climate change adaptation training and helps countries “apply a climate change lens” to all key policies and plans.

Gender in Fisheries: CRC has piloted innovative work with the “invisible fisheries” of women harvesters in West Africa, East Africa, and Latin America; has built the capacity of women fish-buyers and processors; and helped women fishers add value to current livelihoods. It addresses the root causes to risky behaviors and gender inequity and incorporates reproductive health HIV/AIDS awareness and prevention and water and sanitation components into its projects.

Capacity Development & University Strengthening: For 40 years, CRC has built local capacity as a strategy for sustainable, long-term management and governance of coastal and marine resources, congruent with USAID Forward. It offers coastal management and fisheries leadership training and has helped strengthen coastal management and fisheries centers of excellence at Thailand's Prince of

Songkhla University and Indonesia's Bogor Agricultural Institute. CRC is helping Senegal's UCAD strengthen its extension and applied research support and helped the Indonesia Ministry of Marine Affairs and Fisheries design a Sea Partnership program, supporting collaboration in applied research, policy development, and extension. CRC also assisted in the development of the initial UCC CCM strategic plan as part of ICFG.

Management: CRC has 30 years' experience in designing, implementing, evaluating, and managing USAID programs in developing nations, including eight in West Africa, Asia, and Latin America totaling over US\$150 million in the last two decades. It receives stellar marks in external audits of technical, administrative and financial management and is versed in USG regulations on cooperative agreements, USAID reporting, USAID branding, and 508 compliance.

Hen Mpoano (<http://henmpoano.org/>), a non-profit organization registered in 2013 and based in Takoradi in the WR operated from 2009 to 2013 as the Coastal Resources Center-Ghana, and was affiliated with CRC-URI while it led the implementation of the ICFG Initiative. Hen Mpoano provides technical, policy, and extension support to coastal communities, emerging civil society groups, traditional authorities, government institutions, and the private sector through capacity building, research, networking, and project development in fisheries and coastal ecosystem governance. It assists in identifying vulnerability to and addressing impacts of development, natural and man-made hazards, and climate change on coastal and marine resources; contributes to sustainable policy formulation and implementation and governance. Hen Mpoano will be a pivotal player in the SFMP not only for its technical and political expertise and savvy, but because of its role in the ICFG, it has won name recognition and the respect of a wide range of stakeholders from the national government levels to the local community level and all levels in between. Hen Mpoano will be essential to ensuring progress made during the ICFG and the SFMP is sustained after the project ends. Building and then keeping capacity within the country to continue hard-won gains and progress is part of the overall sustainability strategy of SFMP.

Friends of the Nation (FoN) (<http://fonghana.org/>) is a Ghanaian non-profit, socio-environmental research and advocacy organization. Its mission is to serve as a catalyst for action leading to sustainable natural resource management and a healthy environment and to provide services to communities and institutions through advocacy, research, knowledge transfer, networking, and training. FoN has managed projects funded by USAID through CRC-URI; the French Embassy; Oxfam America; World Bank Institute; DFID through RAVI; GIZ; Netherlands Committee of World Conservation Union (NC-IUCN); and more.

SNV Netherlands Development Organization (<http://www.snvworld.org/en/countries/ghana>) SNV, in Ghana since 1992, combats poverty as articulated in the Ghana Growth and Poverty Reduction Strategy, the national development blueprint. It works to reduce poverty through local capacity building and offers advisory services, knowledge sharing, advocacy, and value chain development. It believes in

inclusive growth and development for lasting success with a recent focus on renewable energy, WASH, agriculture, gender, and governance.

Local Supporting Partners:

Central & Western Fish Mongers Improvement Association (CEWEFIA)

(<http://cewefia.weebly.com/>). For almost 25 years, CEWEFIA has implemented integrated developmental programs in its efforts to liberate the rural poor from oppression; eliminate hunger and economic injustice; and build self-sufficiency and sustainable development. It puts a special focus on poor, rural fishmongers and women farmers, their families and communities.

Daasgift Quality Foundation (DAASGIFT) (<http://www.daasgift.org/>) is a Ghanaian community development NGO established in May 2006. It seeks to empower the poor, with a focus on women and youth, and works primarily in the Western Region. It provides financial and non-financial services with the goal of reducing rural poverty by sharpening the business management skills of micro entrepreneurs; promoting micro-credit; providing livelihoods and health and sanitation training; promoting affordable alternative energy; and creating jobs.

Development Action Association (DAA): Since 1997, DAA, an association of rural women farmers in Ghana, has worked to reduce poverty by empowering members to be self-reliant and participate fully in their own development. It operates in 46 communities, and 98 percent of its beneficiaries are women. Most DAA leaders are women, and the association promotes female leadership and expands women's access to education, land, credit, infrastructure and technology.

Supporting Technical Partners

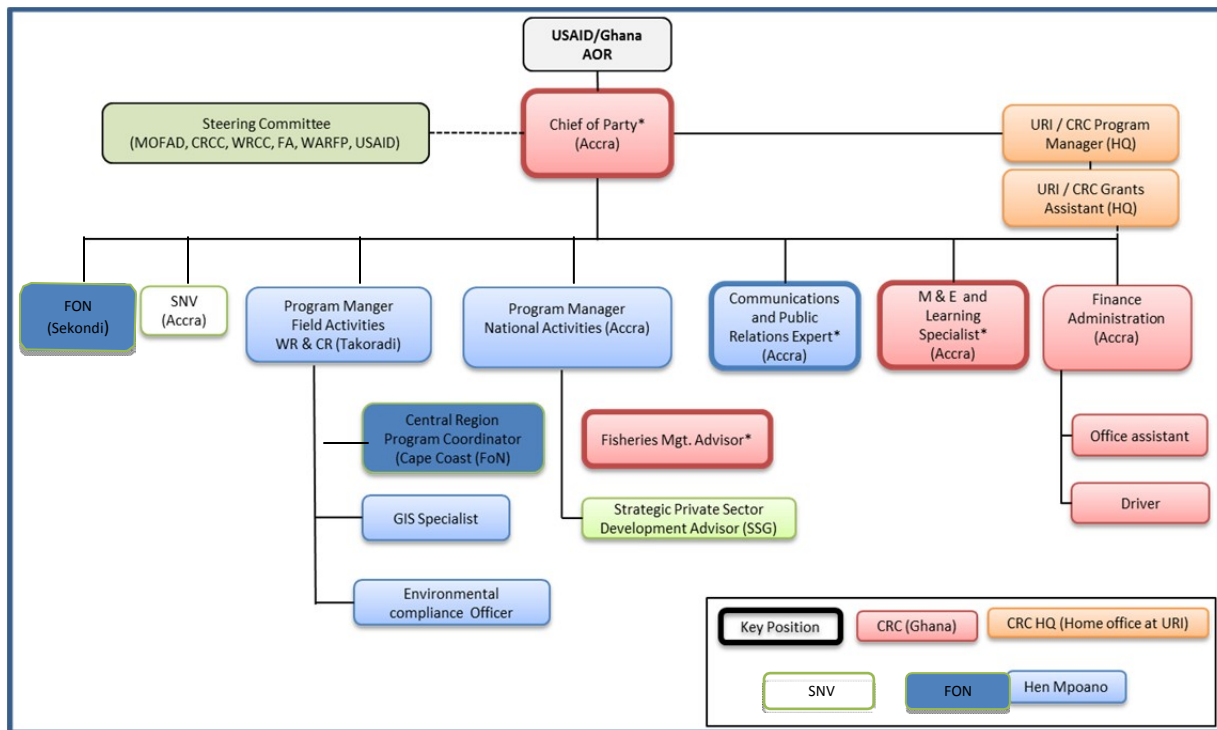
Spatial Solutions (SS) (<http://www.spatialolutions.co/index.html>): Created in 2009, SS specializes in master planning, urban design, and spatial planning in Ghana. It comprises local, highly skilled experts who lend expertise to Ghana's many spatial planning initiatives. It can deploy local experts at local rates where applicable. Individual SS team members have been involved in significant master and urban planning projects in Ghana for more than 40 years.

SSG: SSG Advisors LLC (<http://ssg-advisors.com/>) is a US woman-owned, small business administration-certified disadvantaged business with a global presence. It supports public-private collaborations to heighten the impact and sustainability of development interventions and build capacities with a focus on food security, natural resources management, and social enterprise development. For example, it manages a partnership with Microsoft to support the Government of the Philippines national fisherfolk registration campaign. It oversees a partnership between a major telecom operator and the Philippines National Maritime Police to create a mobile platform for facilitating reports, queries, and complaints regarding enforcement on illegal fishing and is part of the USAID/West Africa Trade Hub and African Partners Network.

Staffing Plan

The SFMP team will be led by a Chief of Party (COP), an individual with long experience in both technical and managerial development work in the region. The overall team will build on 40 years of CRC-URI experience, including three decades as a leader in effectively and efficiently designing, implementing, and managing complex, multi-year and multi-million dollar USAID projects that achieve measurable results and long term stakeholder impacts. While the schematic below illustrates interaction and reporting among the team and organizations, member roles are described in detail in the following pages. CRC-URI will manage core implementing partners with a “one team” approach. Staff, regardless of organizational affiliation, will report to the COP or other senior personnel. While each partner will take the lead on implementation of activities in their geographical and/or technical area, the core project management unit and the steering committee will conduct strategic and project-level decision-making—ensuring coordinated activities and minimizing confusion related to reporting.

The Sustainable Fisheries Management Advisor reports to the Program Manager for National Activities and will be a senior technical position and be responsible for major activity components under IR2. He will work with the FC MFRD and FEU and provide technical support to UCC, donors and implementing partners on scientific and technical aspects for develop of fisheries management plans. The communications and public relations expert will report to the COP. She will lead program communications at the national level and development of the program communications strategy, and act as the main communications liaison with USAID’s communications team. The Monitoring, Evaluation and Learning Specialist reports to the COP. Prepares the ME&L Plan for the project in coordination with The CRC M&E specialist, sets up data collection and DQC processes for the project including local and international implementing partners.



USAID Ghana Sustainable Fisheries Management Project Organizational Chart

Roles of the Implementing Partners

URI is the prime and lead implementing partner. It will manage the Accra-based SFMP office. URI personnel will hold three key positions: Chief of Party, Fisheries Advisor; and M&E and Learning Specialist (local contract hire). Several other in-country positions will be URI local contract employees, including in finance and administration positions based in Accra. The CRC home office will provide managerial and fiscal oversight of the in-country office and sub-agreements of all partners. It will provide short-term technical assistance to local implementing partners and UCC and has fiscal and programmatic reporting responsibilities to USAID/Ghana.

Hen Mpoano will provide the communications and public relations expert key position and two other senior management positions including the Program Manager for Field Activities, the Program Manager for National Activities. They will also provide the GIS specialist and environmental compliance officer positions. Its role will encompass activities in all of the results categories with a major contribution to the technical work needed for fisheries management planning, GIS mapping and support services, including Western and Central Region Environmental Data hubs, and environmental compliance functions, as well as key national level activities related to legislative reform and law enforcement capacity development initiatives of the FEU. It is the primary technical lead in national fisheries policy development for the demersal fisheries management plan, Western Region, and the Ankobra River ecosystem based fisheries plan. It will work in conjunction with Spatial Solutions to identify and address vulnerability to and impacts of development, natural and man-made hazards, and climate change in Axim and other communities relevant to the Ankobra River mangrove ecosystem. Hen Mpoano will undertake organizational strengthening activities to become an eligible direct recipient of major donor awards and contracts in the future.

Friends of the Nation will implement the grass-roots communications and outreach campaign described in Intermediate Result 3, lead the constituency building and stakeholder engagement for fisheries planning and early actions on the small pelagic fisheries. This incorporates three major stakeholder interaction initiatives: the national *Sardinella* plan, the Western Region demersal fisheries plan, and the Pra River ecosystem based fisheries plans. It will support the Marine Police and the prosecutorial chain training in the CR. It will provide a Central Region Project Coordinator based in Cape Coast. FoN will lead documentation on child labor and trafficking issues in the CR, and conduct an awareness-raising and behavior change campaign and conduct advocacy on this issue at the national level. FoN will undertake organizational strengthening activities to become eligible to directly receive major donor awards and contracts.

SNV will lead organizational capacity assessments for local partners and targeted client groups. It will develop capacity building strategies and recommendations for partners and key user groups and for an FC Post-Harvest Unit. It will provide technical assistance to implement selected objectives, including M&E indicators and periodic monitoring and institutional score-carding of key local fisheries stakeholder associations and local implementing partners, and assist them in developing organizational

strengthening strategies and business plans to become more financially self-reliant. . It will prepare a comprehensive gender strategy; assist in the development of the National level SFMP Communications Strategy with special attention to bringing in their expertise using social media platforms; and M&E strategy. It will design the strategy and M&E approach to value chain improvements with particular attention to diffusion of more efficient fish smoker technologies; conduct a baseline assessment for targeted fish landing and processing sites; provide capacity development; and establish, test and compare operations in selected locations. It will support the sustainable energy supply chains for fish processing in the WR and CR and examine mangrove governance issues as part of demersal fisheries management plans in the WR. SNV will take a lead role in livelihoods, and small business development and household resilience activities for targeted fish landing sites of Moree and Apam in the Central Region. Activities will help improve fish storage, post-harvest fish handling and fish processing, and promotion of adoption of more profitable and efficient fish smokers in targeted landing sites and small, women-led fisheries enterprises. Microcredit financial services will be provided in selected communities.

CEWEFIA will take a lead role in livelihood and small business development and household resilience activities for selected fish landing sites in the CR in coordination with SNV, and with FoN in Shama. Activities will include improved fish storage, post-harvest fish handling and fish processing. Livelihood projects will include promotion of more fuel efficient and profitable fish smokers. CEWEFIA will assist in documenting instances of child labor and trafficking and help alter family decision-making and will provide support services to affected families. CEWEFIA will undertake organizational strengthening activities to become an eligible direct recipient of major donor awards and contracts.

Daasgift will take a lead role livelihoods, and small business development and household resilience activities for selected fish landing sites in the WR. Activities will include improved fish storage, post-harvest fish handling and fish processing, and promotion of adoption of more profitable and efficient fish smokers in targeted landing sites in the WR. The use of recycled materials will be expanded; microcredit financial services will be provided in selected communities; and technical assistance offered to other partners. Daasgift will strengthen its capacity to directly receive major donor awards and contracts in the future.

DAA will expand its membership of women fishmongers to all coastal regions and engage in national advocacy to ensure more inclusive women's perspectives, representation in co-management committees and voice in fisheries management decision making. DAA will undertake organizational strengthening activities to become an eligible direct recipient of major donor awards and contracts in the future.

Spatial Solutions will provide environmental management expertise for ecosystem based fisheries plans in the Ankobra River and Pra River mangrove ecosystems, ensuring full compatibility with district level spatial and development plans. SS will employ climate change adaptation master planning for communities surrounding selected fish landing sites in the Western Region and will conduct spatial planning for an integrated marine and coastal management toolkit for Central Region coastal districts. It

also will provide guidance on incorporating spatial and scientific information from regional data hubs into the spatial and development plans of the Western and Central Coordinating Councils and coastal districts.

SSG will build the capacity of project staff and partners to build, manage, and sustain partnerships using proven SSG tools and methodologies. It will provide a local technical expert as Strategic Partnership Specialist, working from the project office in Accra. SSG will coordinate short-term technical assistance for public-private partnership (PPP) and will contribute to fisheries policy dialogues at the national level regarding caps and reductions of the canoe fleet, reductions of the capped trawler, semi-industrial fleets, developments in ICT applications in fisheries, MCS and enforcement strategies, and a fishermen's Sea Watch surveillance network modeled on such networks in the Philippines and Indonesia.

Office Locations

The SFMP will have its main office in Accra, where the Chief of Party, National Activity Program Manager, and other key personnel will be located. This allows staff to work closely with MOFAD and the FC and coordinate with WARFP and USAID/Ghana. Field operations for the WR will be managed out of the Hen Mpoano Takoradi office, which will serve as secretariat for other partners needing space and logistical support. Meeting facilities are also available at the Friends of the Nation offices in Sekondi as needed. Partner staff and technical advisors working on assignments in the Cape Coast area will co-locate with CEWIFIA or at UCC. Advisors engaged in activities centered on fish landing sites such as Axim and the Ankobra wetlands will be able to utilize space on a temporary basis in DAASGIFT's centrally located office in Agona. .

Internal Coordination and Project Management

The COP will be the primary liaison with USAID/Ghana and main point of contact for the USAID/Ghana AOR, with the National Program Manager acting in his absence on programmatic matters. The COP will also be the main liaison with the URI home office and the proposed project steering committee. The Communications Expert will coordinate with the USAID communications unit in providing success stories, preparing briefing packets for USAID visits to project sites, etc. She will work with SNV to develop and implement a strong social media campaign revolving around key fisheries policy and management issues and develop a strategy for engaging Ghana based USG and GOG senior officials. The CRC Business Manager will provide oversight of the in-country fiscal and administrative team, and the CRC grants specialist will coordinate with the in-country team on managing cash flow and advances. The CRC fiscal team will provide necessary accruals to the AOR and process payments to sub-recipients. Internal communications among partners will be maintained in part via quarterly and annual meetings and will include a MOFAD/FC liaison. Project staff will meet weekly at each of the field offices. Communications will be further facilitated via email and Skype as well as through web-based project management and file sharing software.

Coordination with MOFAD, other GOG Agencies and Key Donor Projects

The SFMP will coordinate closely with MOFAD and the FC and develop a project MOU with MOFAD/FC on operational guidelines and on what services and support the project will provide. World Bank WARFP staff expressed their interest in close coordination and periodic meetings to synchronize the projects and development of a joint MOU will be explored. Coordination will include potential parallel work planning processes and a joint communications strategy with the FC, who seeks assurances that both projects are well coordinated and avoid duplication of efforts. CRC has already analyzed all the key WARFP activity components and SFMP activities to identify clear and/or potential synergies while ensuring duplications are avoided. The below table is just one example. While both projects have activities specific to IUU fishing, the table below shows how the two projects’ activities “support” or “complement” each other while avoiding duplication.

Environmental Compliance and Management

The project will comply with USAID Environmental Procedures (22 CFR Reg. 216). While an IEE is in place for this project, an EMMP will be prepared during the mobilization period for submission to the SFMP AOR.

WARFP	SFMP
<ul style="list-style-type: none"> • Judicial Arrangements: prepare training materials & provide training for judges • Sensitization of stakeholders on fisheries laws • Establish FEU and provide material support • Logistics for land and at-sea enforcement • Fisheries observer program w/FEU 	<ul style="list-style-type: none"> • MCS strategies, marine police training and prosecutorial chain strategies • Vehicle & motorcycles for WR & CR FC • No procurement for FEU in Accra • No VMS activities • No support for at sea patrols • No support for observer program • IUU mobile phone reporting system

The EMMP will be prepared using the following process:

1. Review the governing IEE to understand the conditions that apply to the project.
2. Translate the IEE conditions into specific mitigation actions that are applicable to the project.
3. Specify how the mitigation measures will be monitored to ensure that the applied management activities do not perversely incentivize over exploitation of the fishery
4. Specify timelines and responsible parties for monitoring the mitigation measures
5. Determine who will have overall responsibility for EMMP implementation and environmental compliance. While the environmental compliance officer will have overall responsibility for implementation of the EMMP, she will also provide orientation and training of all partners in these procedures and ensure each partner has a designated person in charge of environmental compliance and reporting.

The EMMP will specify mitigation actions, outline how they will be monitored to ensure that project activities do not perversely incentivize over exploitation of the fishery, and specify timelines and responsible parties for monitoring of the mitigation measures. The EMMP will conform to IEE requirements regarding negative determinations with conditions. Environmental screening and review procedures for project activities that do not fall under a categorical exclusion will be adopted. No activities with moderate, unknown or high risk are foreseen. However, the project will use an environmental review form to screen proposed activities not fully covered in the IEE and take action as appropriate. Screening forms or if required an IEE amendment, will be submitted to USAID for approval before carrying out activities not covered by the IEE. Adiza Ama Owusu will serve as the SFMP environmental compliance officer based at Hen Mpoano's Takoradi Office. She will be responsible for training all partners on conditions of the IEE, EMMP reporting, and screening and review processes. She will work with partners proposing activities not covered under the IEE as a categorical exclusion or with conditions to complete proper reviews for submission to USAID. This will be especially important for proposed and limited small-scale construction activities and other diversified livelihood activities. No fisheries management actions requiring screening are envisioned. When developing applied management activities, the project will have strict guidelines for what activities are allowable or not. For example, subsidies for fishing inputs will not be allowed and when implementing fish smoking activities, measures will be taken to ensure that it does not lead to over exploitation of fuel wood (the proposed design actually uses less fuel wood to smoke the same amount of fish).

Sustainability Considerations

There are several proposed strategies to ensure activities continue beyond the life of the project.

Material support for Government of Ghana Institutions and Local Implementing Partners:

Sustainability strategy components budgeted includes significant material resources to build the capacity of the FC, selected local government institutions, and local partners. Over \$2 million has been allocated to direct support of government agency clients in the form of training equipment and capital. An additional 7% of the budget is allocated to strengthening activities targeted at UCC. NGOs and women's groups also will be receiving substantial benefits via training, provision of material support, mentoring and a learning-by-doing approach. This includes capital purchases of vehicles and motorcycles, computer equipment and office furnishings, some building refurbishing and small office construction. Hardware support is necessary to implement project activities and ensure local partners can sustain their capabilities beyond project end. For the FC, this includes support to several units: vehicles for the MCS unit for mobility in shore-based patrolling; refurbishing a building in El Mina Port for a full-time surveillance presence to deter rampant illegal fishing and improve data collection; vehicles and computers for regional offices in the CR and WR to enable more effective stakeholder dialogues, to maintain fishing vessel registries, and to more efficiently collect landing and effort information. As WARFP also is providing substantial material support to the FC, we will conduct a needs assessment to prioritize where USAID investment is best made and does not duplicate WARFP efforts. There is also material support budgeted to set up an environmental data hub (computers, printers, plotters) in the CR RCC—similar to what was established in the WR under ICFG. No equipment is proposed for the WR RCC and districts as they received substantial support under ICFG. Local partners' budgets include

significant material support for field-based operations. We also propose to assist DAA in its capital construction campaign for a Women's Center.

Use of GOG and other local systems: As possible, SFMP will invest in the use and development of GOG systems for information management, web-based information interfaces, and databases. For example, we will work with the FC fisheries data collection system and databases for production of stock assessment reports vs. setting up independent systems. If/as needed, additional capabilities will be built into existing systems. This principle of investing in existing platforms for document sharing, social media and communications will apply to local partners and other beneficiary organizations. Products and documents also will be uploaded to the USAID Development Clearinghouse.

Promoting GoG Involvement and Ownership of the SFMP: The project will implement the following policies and actions to ensure

- Engagement of MOFAD, FC and RCCs in workplanning development and opportunity for review and comment of the workplan prior to submission to USAID for approval.
- Participation in quarterly meetings to review project progress and upcoming priorities
- Heavy participation of MOFAD, FC and RCC staff in training events study tours
- Support MOFAD and FC in the coordination and planning meetings to synchronize project activities with ongoing GOG annual workplans and especially with FC-led WARFP.
- Synchronizing SFMP communications strategy with FC/WARFP communications strategy
- Involvement of FC personnel in all fisheries management planning meetings at national and local levels and giving them front and center roles opening and closing meetings
- Co-facilitation by FC personnel of stakeholder meetings,
- Joint writing of key documents that will become GoG official documents (e.g. legislative amendments, management plans)
- Provision of direct material support in terms of capital equipment which helps these agencies carry out their missions

In addition, we will ensure that written briefs on the project and presentations will highlight the projects contribution to Ghana's Food and Agriculture Sector Development Policy, where fish is identified as a key commodity, and how it contributes to the National Fisheries and Aquaculture Policy and the Fisheries and Aquaculture Sector Development Plan objectives.

A project steering committee will also be established that is reflected in the SFMP organizational chart. The committee will include senior leadership in core GoG client agencies (MOFAD/FC/RCC). They will meet periodically to ensure senior leadership is fully briefed on project objectives, activities and accomplishments and to ensure that strategic directions of the project are contributing to their agency's national policies and strategies.

[END OF PROGRAM DESCRIPTION]

ATTACHMENT C

STANDARD PROVISIONS

I. MANDATORY STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL ORGANIZATIONS

M1. APPLICABILITY OF 22 CFR PART 226 (MAY 2005)

- a. All provisions of 22 CFR 226 and all Standard Provisions attached to this agreement are applicable to the recipient and to subrecipients which meet the definition of “Recipient” in part 226, unless a section specifically excludes a subrecipient from coverage. The recipient must assure that subrecipients have copies of all the attached standard provisions.
- b. For any subawards made with Non-U.S. subrecipients the recipient must include the applicable “Standard Provisions for Non-US Nongovernmental Organizations.” Recipients are required to ensure compliance with monitoring procedures in accordance with OMB Circular A-133.

[END OF PROVISION]

M2. INELIGIBLE COUNTRIES (MAY 1986)

Unless otherwise approved by the USAID Agreement Officer, funds will only be expended for assistance to countries eligible for assistance under the Foreign Assistance Act of 1961, as amended, or under acts appropriating funds for foreign assistance.

[END OF PROVISION]

M3. NONDISCRIMINATION (JUNE 2012)

No U.S. citizen or legal resident shall be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination on the basis of race, color, national origin, age, disability, or sex under any program or activity funded by this award when work under the grant is performed in the U.S. or when employees are recruited from the U.S.

Additionally, USAID is committed to achieving and maintaining a diverse and representative workforce and a workplace free of discrimination. Based on law, Executive Order, and Agency policy, USAID prohibits discrimination, including harassment, in its own workplace on the basis of race, color, religion, sex (including pregnancy and gender identity), national origin, disability, age, veteran’s status, sexual orientation, genetic information, marital status, parental status, political affiliation, and any other conduct that does not adversely affect the performance of the employee.

In addition, the Agency strongly encourages its recipients and their subrecipients and vendors (at all tiers), performing both in the U.S. and overseas, to develop and enforce comprehensive nondiscrimination policies for their workplaces that include protection for all their employees on these expanded bases, subject to applicable law.

[END OF PROVISION]

M4. AMENDMENT OF AWARD (JUNE 2012)

This award may only be amended in writing, by formal amendment or letter, signed by the Agreement Officer (AO), and in the case of a bilateral amendment, by the AO and an authorized official of the recipient.

[END OF PROVISION]

M5. NOTICES (JUNE 2012)

Any notice given by USAID or the recipient is sufficient only if in writing and delivered in person, mailed or e-mailed as follows:

- (1) To the USAID Agreement Officer, at the address specified in this award; or
- (2) To the recipient, at the recipient's address shown in this award, or to such other address specified in this award.

[END OF PROVISION]

M6. SUBAGREEMENTS (JUNE 2012)

- a. Subawardees and contractors have no relationship with USAID under the terms of this award. All required USAID approvals must be directed through the recipient to USAID.
- b. Notwithstanding any other term of this award, subawardees and contractors have no right to submit claims directly to USAID and USAID assumes no liability for any third party claims against the recipient.

[END OF PROVISION]

M7. OMB APPROVAL UNDER THE PAPERWORK REDUCTION ACT (DECEMBER 2003)

Information collection requirements imposed by this award are covered by OMB approval number 0412-0510; the current expiration date is 04/30/2005. The Standard Provisions containing the requirement and an estimate of the public reporting burden (including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information) are

<u>Standard Provision</u>	<u>Burden Estimate</u>
Air Travel and Transportation	1 (hour)
Ocean Shipment of Goods	.5
Patent Rights	.5
Publications	.5
Negotiated Indirect Cost Rates - (Predetermined and Provisional)	1
Voluntary Population Planning	.5
Protection of the Individual as a Research Subject	1

<u>22 CFR 226</u>	<u>Burden Estimate</u>
22 CFR 226.40-.49, Procurement of Goods and Services	1
22 CFR 226.30 -.36, Property Standards	1.5

Comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, may be sent to the Office of Acquisition and Assistance, Policy Division (M/OAA/P), U.S. Agency for International Development, Washington, DC 20523-7801 and to the Office of Management and Budget, Paperwork Reduction Project (0412-0510), Washington, DC 20503.

[END OF PROVISION]

M8. USAID ELIGIBILITY RULES FOR GOODS AND SERVICES (JUNE 2012)

- a. This provision is not applicable to commodities or services that the recipient provides with private funds as part of a cost-sharing requirement, or with Program Income generated under this award.
- b. Ineligible and Restricted Commodities and Services:
 - (1) Ineligible Commodities and Services. The recipient must not, under any circumstances, procure any of the following under this award:
 - (i) Military equipment,
 - (ii) Surveillance equipment,
 - (iii) Commodities and services for support of police or other law enforcement activities,

- (iv) Abortion equipment and services,
 - (v) Luxury goods and gambling equipment, or
 - (vi) Weather modification equipment.
- (2) Ineligible Suppliers. Any firms or individuals that do not comply with the requirements in Standard Provision, “Debarment, Suspension and Other Responsibility Matters” and Standard Provision, “Preventing Terrorist Financing” must not be used to provide any commodities or services funded under this award.
- (3) Restricted Commodities. The recipient must obtain prior written approval of the Agreement Officer (AO) or comply with required procedures under an applicable waiver, as provided by the AO when procuring any of the following commodities:
- (i) Agricultural commodities,
 - (ii) Motor vehicles,
 - (iii) Pharmaceuticals,
 - (iv) Pesticides,
 - (v) Used equipment,
 - (vi) U.S. Government-owned excess property, or
 - (vii) Fertilizer.

c. Source and Nationality:

Except as may be specifically approved in advance by the AO, all commodities and services that will be reimbursed by USAID under this award must be from the authorized geographic code specified in this award and must meet the source and nationality requirements set forth in 22 CFR 228. If the geographic code is not specified, the authorized geographic code is 937. When the total value of procurement for commodities and services during the life of this award is valued at \$250,000 or less, the authorized geographic code for procurement of all goods and services to be reimbursed under this award is code 935. For a current list of countries within each geographic code, see: <http://www.usaid.gov/ads/policy/300/310>.

d. Guidance on the eligibility of specific commodities and services may be obtained from the AO. If USAID determines that the recipient has procured any commodities or services under this award contrary to the requirements of this provision, and has received payment for such purposes, the AO may require the recipient to refund the entire amount of the purchase.

e. This provision must be included in all subagreements, including subawards and contracts, which include procurement of commodities or services.

[END OF PROVISION]

M9. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (JUNE 2012)

- a. The recipient agrees to notify the Agreement Officer (AO) immediately upon learning that it or any of its principals:
- (1) Are presently excluded or disqualified from covered transactions by any Federal department or agency;
 - (2) Have been convicted within the preceding three-year period preceding this proposal; been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;
 - (3) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph a.(2); and
 - (4) Have had one or more public transactions (Federal, State, or local) terminated for cause or default within the preceding three years.
- b. The recipient agrees that, unless authorized by the AO, it will not knowingly enter into any subagreements or contracts under this award with a person or entity that has an active exclusion on the System for Award Management (SAM) (www.sam.gov). The recipient further agrees to include the following provision in any subagreements or contracts entered into under this award:

DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION (JUNE 2012)

The recipient/contractor certifies that neither it nor its principals is presently excluded or disqualified from participation in this transaction by any Federal department or agency.

- c. The policies and procedures applicable to debarment, suspension, and ineligibility under USAID-financed transactions are set forth in Subpart C of 2 CFR Section 180, as supplemented by 2 CFR 780.

[END OF PROVISION]

M10. DRUG-FREE WORKPLACE (JUNE 2012)

- a. The recipient must comply with drug-free workplace requirements in subpart B (or subpart C, if the recipient is an individual) of 2 CFR 782, which adopts the Government-wide implementation (2 CFR part 182) of sec. 5152–5158 of the Drug-Free Workplace Act of 1988 (Pub. L. 100–690, Title V, Subtitle D; 41 U.S.C. 701–707).

[END OF PROVISION]

M11. EQUAL PARTICIPATION BY FAITH-BASED ORGANIZATIONS (JUNE 2012)

- a. Faith-Based Organizations Encouraged.

Faith-based organizations are eligible to compete on an equal basis as any other organization to participate in USAID programs. Neither USAID nor entities that make and administer subawards of USAID funds will discriminate for or against an organization on the basis of the organization's religious character or affiliation. A faith-based organization may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs, within the limits contained in this provision. More information can be found at the USAID Faith-Based and Community Initiatives Web site: <http://www.usaid.gov> and 22 CFR 205.1.

- b. Inherently Religious Activities Prohibited.

- (1) Inherently religious activities include, among other things, worship, religious instruction, prayer, or proselytization.
- (2) The recipient must not engage in inherently religious activities as part of the programs or services directly funded with financial assistance from USAID. If the recipient engages in inherently religious activities, it must offer those services at a different time or location from any programs or services directly funded by this award, and participation by beneficiaries in any such inherently religious activities must be voluntary.
- (3) These restrictions apply equally to religious and secular organizations. All organizations that participate in USAID programs, including religious ones, must carry out eligible activities in accordance with all program requirements and other applicable requirements governing USAID-funded activities.

- (4) These restrictions do not apply to USAID-funded programs where chaplains work with inmates in prisons, detention facilities, or community correction centers, or where USAID funds are provided to religious or other organizations for programs in prisons, detention facilities, or community correction centers, in which such organizations assist chaplains in carrying out their duties.
 - (5) Notwithstanding the restrictions of b.(1) and (2), a religious organization that participates in USAID-funded programs or services
 - (i) Retains its independence and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs, provided that it does not use direct financial assistance from USAID to support any inherently religious activities,
 - (ii) May use space in its facilities, without removing religious art, icons, scriptures, or other religious symbols, and
 - (iii) Retains its authority over its internal governance, and it may retain religious terms in its organization's name, select its board members on a religious basis, and include religious references in its organization's mission statements and other governing documents.
- c. **Construction of Structures Used for Inherently Religious Activities Prohibited.** The recipient must not use USAID funds for the acquisition, construction, or rehabilitation of structures to the extent that those structures are used for inherently religious activities, such as sanctuaries, chapels, or other rooms that the recipient uses as its principal place of worship. Except for a structure used as its principal place of worship, where a structure is used for both eligible and inherently religious activities, USAID funds may not exceed the cost of those portions of the acquisition, construction, or rehabilitation that are attributable to eligible activities.
- d. **Discrimination Based on Religion Prohibited.** The recipient must not discriminate against any beneficiary or potential beneficiary on the basis of religion or religious belief as part of the programs or services directly funded with financial assistance from USAID.
- e. A religious organization's exemption from the Federal prohibition on employment discrimination on the basis of religion, set forth in Sec. 702(a) of the Civil Rights Act of 1964, 42 U.S.C. 2000e-1 is not forfeited when the organization receives financial assistance from USAID.

- f. The Secretary of State may waive the requirements of this section in whole or in part, on a case-by-case basis, where the Secretary determines that such waiver is necessary to further the national security or foreign policy interests of the United States. [END OF PROVISION]

M12. PREVENTING TERRORIST FINANCING -- IMPLEMENTATION OF E.O. 13224 (AUGUST 2013)

- a. The recipient must not engage in transactions with, or provide resources or support to, individuals and organizations associated with terrorism, including those individuals or entities that appear on the Specially Designated Nationals and Blocked Persons List maintained by the U.S. Treasury (online at: <http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx>) or the United Nations Security designation list (online at: http://www.un.org/sc/committees/1267/ag_sanctions_list.shtml).
- b. This provision must be included in all subagreements, including subawards and contracts issued under this award.

[END OF PROVISION]

M13. MARKING AND PUBLIC COMMUNICATIONS UNDER USAID-FUNDED ASSISTANCE (AUGUST 2013)

- a. The USAID Identity is the official marking for USAID, comprised of the USAID logo and brandmark with the tagline “from the American people.” The USAID Identity is on the USAID Web site at www.usaid.gov/branding. Recipients must use the USAID Identity, of a size and prominence equivalent to or greater than any other identity or logo displayed, to mark the following:
- (1) Programs, projects, activities, public communications, and commodities partially or fully funded by USAID;
 - (2) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other physical sites;
 - (3) Technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;
 - (4) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and

- (5) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.
- b. The recipient must implement the requirements of this provision following the approved Marking Plan in the award.
- c. The AO may require a preproduction review of program materials and “public communications” (documents and messages intended for external distribution, including but not limited to correspondence; publications; studies; reports; audio visual productions; applications; forms; press; and promotional materials) used in connection with USAID-funded programs, projects or activities, for compliance with an approved Marking Plan.
- d. The recipient is encouraged to give public notice of the receipt of this award and announce progress and accomplishments. The recipient must provide copies of notices or announcements to the Agreement Officer’s Representative (AOR) and to USAID's Office of Legislative and Public Affairs in advance of release, as practicable. Press releases or other public notices must include a statement substantially as follows:
- ”The U.S. Agency for International Development administers the U.S. foreign assistance program providing economic and humanitarian assistance in more than 80 countries worldwide.”*
- e. Any “public communication” in which the content has not been approved by USAID must contain the following disclaimer:
- “This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”*
- f. The recipient must provide the USAID AOR with two copies of all program and communications materials produced under this award.
- g. The recipient may request an exception from USAID marking requirements when USAID marking requirements would:

- (1) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
 - (2) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
 - (3) Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications;
 - (4) Impair the functionality of an item;
 - (5) Incur substantial costs or be impractical;
 - (6) Offend local cultural or social norms, or be considered inappropriate; or
 - (7) Conflict with international law.
- h. The recipient may submit a waiver request of the marking requirements of this provision or the Marking Plan, through the AOR, when USAID-required marking would pose compelling political, safety, or security concerns, or have an adverse impact in the cooperating country.
- (1) Approved waivers “flow down” to subagreements, including subawards and contracts, unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.
 - (2) USAID determinations regarding waiver requests are subject to appeal by the recipient, by submitting a written request to reconsider the determination to the cognizant Assistant Administrator.
- i. The recipient must include the following marking provision in any subagreements entered into under this award:

“As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient’s, subrecipient’s, other donor’s, or third party’s is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity.”

[END OF PROVISION]

M14. REGULATIONS GOVERNING EMPLOYEES (AUGUST 1992)

(The following applies to the recipient's employees working in the cooperating country under the agreement who are not citizens of the cooperating country.)

- a. The recipient's employees must maintain private status and may not rely on local U.S. Government offices or facilities for support while under this grant.
- b. The sale of personal property or automobiles by recipient employees and their dependents in the foreign country to which they are assigned are subject to the same limitations and prohibitions which apply to direct-hire USAID personnel employed by the Mission, including the rules contained in 22 CFR 136, except as this may conflict with host government regulations.
- c. Other than work to be performed under this award for which an employee is assigned by the recipient, employees of the recipient must not engage directly or indirectly, either in the individual's own name or in the name or through an agency of another person, in any business, profession, or occupation in the foreign countries to which the individual is assigned. In addition, the individual must not make loans or investments to or in any business, profession, or occupation in the foreign countries to which the individual is assigned.
- d. The recipient's employees, while in a foreign country, are expected to show respect for its conventions, customs, and institutions, to abide by its applicable laws and regulations, and not to interfere in its internal political affairs.
- e. In the event the conduct of any recipient employee is not in accordance with the preceding paragraphs, the recipient's chief of party must consult with the USAID Mission Director and the employee involved, and must recommend to the recipient a course of action with regard to such employee.
- f. The parties recognize the rights of the U.S. Ambassador to direct the removal from a country of any U.S. citizen or the discharge from this grant award of any third country national when, in the discretion of the Ambassador, the interests of the United States so require.

- g. If it is determined, either under e. or f. above, that the services of such employee should be terminated, the recipient must use its best efforts to cause the return of such employee to the United States, or point of origin, as appropriate.

[END OF PROVISION]

M15. CONVERSION OF UNITED STATES DOLLARS TO LOCAL CURRENCY (NOVEMBER 1985)

(This provision applies when activities are undertaken outside the United States.)

Upon arrival in the cooperating country, and from time to time as appropriate, the recipient's chief of party must consult with the Mission Director who must provide, in writing, the procedure the recipient and its employees must follow in the conversion of United States dollars to local currency. This may include, but is not limited to, the conversion of currency through the cognizant United States Disbursing Officer or Mission Controller, as appropriate.

[END OF PROVISION]

M16. USE OF POUCH FACILITIES (AUGUST 1992)

(This provision applies when activities are undertaken outside the United States.)

- a. Use of diplomatic pouch is controlled by the Department of State. The Department of State has authorized the use of pouch facilities for USAID recipients and their employees as a general policy, as detailed in items (1) through (6) below. However, the final decision regarding use of pouch facilities rest with the Embassy or USAID Mission. In consideration of the use of pouch facilities, the recipient and its employees agree to indemnify and hold harmless, the Department of State and USAID for loss or damage occurring in pouch transmission:

- (1) Recipients and their employees are authorized use of the pouch for transmission and receipt of up to a maximum of .9 kgs per shipment of correspondence and documents needed in the administration of assistance programs.
- (2) U.S. citizen employees are authorized use of the pouch for personal mail up to a maximum of .45 kgs per shipment (but see a.(3) below).
- (3) Merchandise, parcels, magazines, or newspapers are not considered to be personal mail for purposes of this standard provision and are not authorized to be sent or received by pouch.

- (4) Official and personal mail pursuant to a.(1) and (2) above sent by pouch should be addressed as follows:

Name of individual or organization (followed by letter symbol "G")
City Name of post (USAID/_)
Agency for International Development Washington, DC 20523-0001

- (5) Mail sent via the diplomatic pouch may not be in violation of U.S. Postal laws and may not contain material ineligible for pouch transmission.
- (6) Recipient personnel are NOT authorized use of military postal facilities (APO/FPO). This is an Adjutant General's decision based on existing laws and regulations governing military postal facilities and is being enforced worldwide.

- b. The recipient is responsible for advising its employees of this authorization, these guidelines, and limitations on use of pouch facilities.
- c. Specific additional guidance on grantee use of pouch facilities in accordance with this standard provision is available from the Post Communication Center at the Embassy or USAID Mission.

[END OF PROVISION]

M17. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (AUGUST 2013)

a. PRIOR BUDGET APPROVAL

Direct charges for travel costs for international air travel by individuals are allowable only when each international trip has received prior budget approval. Such approval is met when all of the following are met:

- (1) The trip is identified by providing the following information: the number of trips, the number of individuals per trip, and the origin and destination countries or regions;
- (2) All of the information noted at a.(1) above is incorporated in the Schedule of this award or amendments to this award; and
- (3) The costs related to the travel are incorporated in the budget of this award.

The Agreement Officer (AO) may approve, in writing, international travel costs that have not been incorporated in this award. To obtain AO approval, the recipient must request approval at least three weeks

before the international travel, or as far in advance as possible. The recipient must keep a copy of the AO's approval in its files. No other clearance (including country clearance) is required for employees of the recipient, its subrecipients or contractors.

International travel by employees who are not on official business of the recipient, such as rest and recuperation (R&R) travel offered as part of an employee's benefits package, must be consistent with the recipient's personnel and travel policies and procedures and does not require approval.

b. TRAVEL COSTS

All travel costs must comply with the applicable cost principles and must be consistent with those normally allowed in like circumstances in the recipient's non-USAID-funded activities. Costs incurred by employees and officers for travel, including air fare, costs of lodging, other subsistence, and incidental expenses, may be considered reasonable and allowable only to the extent such costs do not exceed reasonable charges normally allowed by the recipient in its regular operations as the result of the recipient organization's written travel policy and are within the limits established by the applicable cost principles.

In the absence of a reasonable written policy regarding international travel costs, the standard for determining the reasonableness of reimbursement for international travel costs will be the Standardized Regulations (Government Civilians, Foreign Areas), published by the U.S. Department of State, as from time to time amended. The most current Standardized Regulations on international travel costs may be obtained from the AO. In the event that the cost for air fare exceeds the customary standard commercial airfare (coach or equivalent) or the lowest commercial discount airfare, the recipient must document one of the allowable exceptions from the applicable cost principles.

c. FLY AMERICA ACT RESTRICTIONS

- (1) The recipient must use U.S. Flag Air Carriers for all international air transportation (including personal effects) funded by this award pursuant to the Fly America Act and its implementing regulations to the extent service by such carriers is available.
- (2) In the event that the recipient selects a carrier other than a U.S. Flag Air Carrier for international air transportation, in order for the costs of such international air transportation to be allowable, the recipient must document such transportation in accordance with this provision and maintain such documentation pursuant to the Standard Provision, "Accounting, Audit and Records." The documentation must use one of the following reasons or other exception under the Fly America Act:
 - (i) The recipient uses a European Union (EU) flag air carrier, which is an airline operating from an EU country that has signed the US-EU "Open Skies" agreement (<http://www.state.gov/e/eb/rls/othr/ata/i/ic/170684.htm>).

- (ii) Travel to or from one of the following countries on an airline of that country when no city pair fare is in effect for that leg (see <http://apps.fas.gsa.gov/citypairs/search/>):
 - a. Australia on an Australian airline,
 - b. Switzerland on a Swiss airline, or
 - c. Japan on a Japanese airline;

- (iii) Only for a particular leg of a route on which no US Flag Air Carrier provides service on that route;

- (iv) For a trip of 3 hours or less, the use of a US Flag Air Carrier at least doubles the travel time;

- (v) If the US Flag Air Carrier offers direct service, use of the US Flag Air Carrier would increase the travel time by more than 24 hours; or

- (vi) If the US Flag Air Carrier does not offer direct service,
 - a. Use of the US Flag Air Carrier increases the number of aircraft changes by 2 or more,
 - b. Use of the US Flag Air Carrier extends travel time by 6 hours or more, or
 - c. Use of the US Flag Air Carrier requires a layover at an overseas interchange of 4 hours or more.

d. DEFINITIONS

The terms used in this provision have the following meanings:

- (1) “Travel costs” means expenses for transportation, lodging, subsistence (meals and incidentals), and related expenses incurred by employees who are on travel status on official business of the recipient for any travel outside the country in which the organization is located. “Travel costs” do not include expenses incurred by employees who are not on official business of the recipient, such as rest and recuperation (R&R) travel offered as part

of an employee's benefits package that are consistent with the recipient's personnel and travel policies and procedures.

(2) "International air transportation" means international air travel by individuals (and their personal effects) or transportation of cargo by air between a place in the United States and a place outside thereof, or between two places both of which are outside the United States.

(3) "U.S. Flag Air Carrier" means an air carrier on the list issued by the U.S.

Department of Transportation at <http://ostpxweb.dot.gov/aviation/certific/certlist.htm>. U.S. Flag Air Carrier service also includes service provided under a code share agreement with another air carrier when the ticket, or documentation for an electronic ticket, identifies the U.S. flag air carrier's designator code and flight number.

(4) For this provision, the term "United States" includes the fifty states, Commonwealth of Puerto Rico, possessions of the United States, and the District of Columbia.

e. SUBAGREEMENTS

This provision must be included in all subagreements, including all subawards and contracts, under which this award will finance international air transportation.

[END OF PROVISION]

M18. OCEAN SHIPMENT OF GOODS (JUNE 2012)

***APPLICABILITY:** This provision is applicable for awards and subawards for which the recipient contracts for ocean transportation for goods purchased or financed with USAID funds. In accordance with 22 CFR 228.21, ocean transportation shipments are subject to the provisions of 46 CFR Part 381.*

OCEAN SHIPMENT OF GOODS (JUNE 2012)

a. Prior to contracting for ocean transportation to ship goods purchased or financed with USAID funds under this award, the recipient must contact the office below to determine the flag and class of vessel to be used for shipment:

U.S. Agency for International Development,
Office of Acquisition and Assistance, Transportation Division 1300 Pennsylvania Avenue, NW
Washington, DC 20523-7900
Email: oceantransportation@usaid.gov

b. This provision must be included in all subagreements, including subawards and contracts.

[END OF PROVISION]

**M19. VOLUNTARY POPULATION PLANNING ACTIVITIES – MANDATORY REQUIREMENTS
(MAY 2006)**

Requirements for Voluntary Sterilization Programs

(1) Funds made available under this award must not be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any individual to practice sterilization.

Prohibition on Abortion-Related Activities:

- (1) No funds made available under this award will be used to finance, support, or be attributed to the following activities: (i) procurement or distribution of equipment intended to be used for the purpose of inducing abortions as a method of family planning; (ii) special fees or incentives to any person to coerce or motivate them to have abortions; (iii) payments to persons to perform abortions or to solicit persons to undergo abortions; (iv) information, education, training, or communication programs that seek to promote abortion as a method of family planning; and (v) lobbying for or against abortion. The term “motivate,” as it relates to family planning assistance, must not be construed to prohibit the provision, consistent with local law, of information or counseling about all pregnancy options.
- (2) No funds made available under this award will be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent or consequences of abortions is not precluded.

[END OF PROVISION]

M20. TRAFFICKING IN PERSONS (JUNE 2012)

- a. USAID is authorized to terminate this award, without penalty, if the recipient or its employees, or any subrecipient or its employees, engage in any of the following conduct:
 - (1) Trafficking in persons (as defined in the Protocol to Prevent, Suppress, and Punish Trafficking in Persons, especially Women and Children, supplementing the UN Convention against Transnational Organized Crime) during the period of this award;
 - (2) Procurement of a commercial sex act during the period of this award; or
 - (3) Use of forced labor in the performance of this award.

- b. For purposes of this provision, “employee” means an individual who is engaged in the performance of this award as a direct employee, consultant, or volunteer of the recipient or any subrecipient.
- c. The recipient must include in all subagreements, including subawards and contracts, a provision prohibiting the conduct described in a(1)-(3) by the subrecipient, contractor or any of their employees.

[END OF PROVISION]

M21. SUBMISSIONS TO THE DEVELOPMENT EXPERIENCE CLEARINGHOUSE AND PUBLICATIONS (JUNE 2012)

- a. Submissions to the Development Experience Clearinghouse (DEC).
 - 1) The recipient must provide the Agreement Officer’s Representative one copy of any Intellectual Work that is published, and a list of any Intellectual Work that is not published.
 - 2) In addition, the recipient must submit Intellectual Work, whether published or not, to the DEC, either on-line (preferred) or by mail. The recipient must review the DEC Web site for submission instructions, including document formatting and the types of documents to submit. Submission instructions can be found at: <http://dec.usaid.gov>.
 - 3) For purposes of submissions to the DEC, Intellectual Work includes all works that document the implementation, evaluation, and results of international development assistance activities developed or acquired under this award, which may include program and communications materials, evaluations and assessments, information products, research and technical reports, progress and performance reports required under this award (excluding administrative financial information), and other reports, articles and papers prepared by the recipient under the award, whether published or not. The term does not include the recipient’s information that is incidental to award administration, such as financial, administrative, cost or pricing, or management information.
 - 4) Each document submitted should contain essential bibliographic information, such as 1) descriptive title; 2) author(s) name; 3) award number; 4) sponsoring USAID office; 5) development objective; and 6) date of publication.
 - 5) The recipient must not submit to the DEC any financially sensitive information or personally identifiable information, such as social security numbers, home addresses and dates of birth.

Such information must be removed prior to submission. The recipient must not submit classified documents to the DEC.

b. In the event award funds are used to underwrite the cost of publishing, in lieu of the publisher assuming this cost as is the normal practice, any profits or royalties up to the amount of such cost must be credited to the award unless the schedule of the award has identified the profits or royalties as program income.

[END OF PROVISION]

M22 . LIMITING CONSTRUCTION ACTIVITIES (AUGUST 2013)

- a) Construction is not eligible for reimbursement under this award unless specifically identified in paragraph d) below.
- b) Construction means —construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures.
- c) Agreement Officers will not approve any subawards or procurements by recipients for construction activities that are not listed in paragraph d) below. USAID will reimburse allowable costs for only the construction activities listed in this provision not to exceed the amount specified in the construction line item of the award budget. The recipient must receive prior written approval from the AO to transfer funds allotted for construction activities to other cost categories, or vice versa.

d) Description

LOCATION	DESCRIPTION
Elmina Fisheries Office	Fisheries Office Annex
Central Region and Western Region fisher folk	Drying sheds with racks
Central Region and Western Region fisher women	Processing Sheds with storage facilities
Central Region fisher women	Beach landing kiosk

e) The recipient must include this provision in all subawards and procurements and make vendors providing services under this award and subrecipients aware of the restrictions of this provision.

[END OF PROVISION]

M23. USAID Implementing Partner Notices (IPN) Portal for Assistance (JULY 2014)

(a) Definitions

“USAID Implementing Partner Notices (IPN) Portal for Assistance (“IPN Portal)” means the single point where USAID posts proposed universal bilateral amendments for USAID awards, which can be accessed electronically by registered USAID recipients. The IPN Portal is located at

<https://sites.google.com/site/usaaidipnforassistance/>.

Universal amendments are those which affect all assistance awards or a designated class of awards as specified in each amendment by the IPN Portal Administrator.

“IPN Portal Administrator” means the USAID official designated by the Director, M/OAA, who has overall responsibility for managing the USAID Implementing Partner Notices Portal for Assistance.

“Universal bilateral amendment” means those amendments with revisions or new requirements or provisions that affect all awards or a designated class of awards, as specified in the Agency notification of such revisions or new requirements.

(b) By submission of an application and execution of an award, the Applicant/Recipient acknowledges the requirement to:

- (1)** Register with the IPN Portal if awarded an assistance award resulting from this solicitation, and
- (2)** Receive universal bilateral amendments to this award and general notices via the IPN Portal.

(c) Procedure to register for notifications.

Go to <https://sites.google.com/site/usaaidipnforassistance/> and click the “Register” button at the top of the page. Recipient representatives must use their official organization email address when subscribing, not personal email addresses.

(d) Processing of IPN Portal Amendments

The Recipient may access the IPN Portal at any time to review all IPN Portal amendments; however, the system will also notify the Recipient by email when the USAID IPN Portal Administrator posts a universal bilateral amendment for Recipient’s review and signature. Proposed USAID IPN Portal amendments distributed via the IPN Portal are applicable to all awards, unless otherwise noted in the proposed amendment.

Within 15 calendar days from receipt of the notification email from the IPN Portal, the Recipient must do one of the following:

- (1)** (a) verify applicability of the proposed amendment for their award(s) per the instructions provided with each amendment; (b) download the amendment and incorporate the following information on the

amendment form: award number, organization name, and organization mailing address as it appears in the basic award; (c) sign the hardcopy version; and (d) send the signed amendment (by email or hardcopy) to the AO for signature. The Recipient must not incorporate any other changes to the IPN Portal amendment. Bilateral amendments provided through the IPN Portal are not effective until the both the Recipient and the AO sign the amendment;

- (2) Notify the AO in writing if the amendment requires negotiation of additional changes to terms and conditions of the award; or
- (3) Notify the AO that the Recipient declines to sign the amendment.

Within 30 calendar days of receipt of a signed amendment from the Recipient, the AO must provide the fully executed amendment to the Recipient or initiate discussions with the Recipient.

[END OF PROVISION]

M24. Pilot Program for Enhancement of Grantee Employee Whistleblower Protections (SEPTEMBER 2014)

The requirement to comply with and inform all employees of the "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections" is retroactively effective for all assistance awards and subawards (including subcontracts) issued beginning July 1, 2013.

The Grantee must:

1. Inform its employees working under this award in the predominant native language of the workforce that they are afforded the employee whistleblower rights and protections provided under 41 U.S.C. § 4712; and
2. Include such requirement in any subaward or subcontract made under this award. 41 U.S.C. § 4712 states that an employee of a Grantee may not be discharged, demoted, or otherwise discriminated against as a reprisal for "whistleblowing." In addition, whistleblower protections cannot be waived by any agreement, policy, form, or condition of employment. Whistleblowing is defined as making a disclosure "that the employee reasonably believes" is evidence of any of the following:
 - Gross mismanagement of a Federal contract or grant;
 - A gross waste of Federal funds;
 - An abuse of authority relating to a Federal contract or grant;
 - A substantial and specific danger to public health or safety; or
 - A violation of law, rule, or regulation related to a Federal contract or grant

(including the competition for, or negotiation of, a contract or grant).

To qualify under the statute, the employee's disclosure must be made to:

- A Member of the U.S. Congress, or a representative of a U.S. Congressional
- Committee;
- A cognizant U.S. Inspector General;
- The U.S. Government Accountability Office;
- A Federal employee responsible for contract or grant oversight or management
- at the relevant agency;
- A U.S. court or grand jury; or,
- A management official or other employee of the Grantee who has the responsibility to investigate, discover, or address misconduct.

[END OF PROVISION]

M25. SUBMISSION OF DATASETS TO THE DEVELOPMENT DATA LIBRARY (OCTOBER 2014)

a. Definitions. For the purpose of submissions to the DDL:

- (1) “Dataset” is an organized collection of structured data, including data contained in spreadsheets, whether presented in tabular or non-tabular form. For example, a Dataset may represent a single spreadsheet, an extensible mark-up language (XML) file, a geospatial data file, or an organized collection of these. This requirement does not apply to aggregated performance reporting data that the recipient submits directly to a USAID portfolio management system or to unstructured data, such as email messages, PDF files, PowerPoint presentations, word processing documents, photos and graphic images, audio files, collaboration software, and instant messages. Neither does the requirement apply to the recipient’s information that is incidental to award administration, such as financial, administrative, cost or pricing, or management information. Datasets submitted to the DDL will generally be those generated with USAID resources and created in support of Intellectual Work that is uploaded to the Development Experience Clearinghouse (DEC) (See M21. SUBMISSIONS TO THE DEVELOPMENT EXPERIENCE CLEARINGHOUSE AND PUBLICATIONS (JUNE 2012)).
- (2) “Intellectual Work” includes all works that document the implementation, monitoring, evaluation, and results of international development assistance activities developed or acquired

under this award, which may include program and communications materials, evaluations and assessments, information products, research and technical reports, progress and performance reports required under this award (excluding administrative financial information), and other reports, articles and papers prepared by the recipient under the award, whether published or not. The term does not include the recipient's information that is incidental to award administration, such as financial, administrative, cost or pricing, or management information.

b. Submissions to the Development Data Library (DDL)

- (1) The recipient must submit to the Development Data Library (DDL) at www.usaid.gov/data, in a machine-readable, non-proprietary format, a copy of any Dataset created or obtained in performance of this award, including Datasets produced by a subawardee or a contractor at any tier. The submission must include supporting documentation describing the Dataset, such as code books, data dictionaries, data gathering tools, notes on data quality, and explanations of redactions.
- (2) Unless otherwise directed by the Agreement Officer (AO) or the Agreement Officer Representative (AOR), the recipient must submit the Dataset and supporting documentation to the DDL within thirty (30) calendar days after the Dataset is first used to produce an Intellectual Work or is of sufficient quality to produce an Intellectual Work. Within thirty (30) calendar days after award completion, the recipient must submit to the DDL any Datasets and supporting documentation that have not previously been submitted to the DDL, along with an index of all Datasets and Intellectual Work created or obtained under the award. The recipient must also provide to the AOR an itemized list of any and all DDL submissions.

The recipient is not required to submit the data to the DDL, when, in accordance with the terms and conditions of this award, Datasets containing results of federally funded scientific research are submitted to a publicly accessible research database. However, the recipient must submit a notice to the DDL by following the instructions at www.usaid.gov/data, with a copy to the agreement officer representative, providing details on where and how to access the data. The direct results of federally funded scientific research must be reported no later than when the data are ready to be submitted to a peer-reviewed journal for publication, or no later than five calendar days prior to the conclusion of the award, whichever occurs earlier.

- (3) The recipient must submit the Datasets following the submission instructions and acceptable formats found at www.usaid.gov/data.
- (4) The recipient must ensure that any Dataset submitted to the DDL does not contain any proprietary or personally identifiable information, such as social security numbers, home addresses, and dates of birth. Such information must be removed prior to submission.

- (5) The recipient must not submit classified data to the DDL.

[END OF PROVISION]

[END OF MANDATORY PROVISIONS]

II. REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR U.S. NON GOVERNMENTAL ORGANIZATIONS

RAA1. NEGOTIATED INDIRECT COST RATES – PREDETERMINED (APRIL 1998)

- a. The allowable indirect costs must be determined by applying the predetermined indirect cost rates to the bases specified in the schedule of this award.
- b. Within the earlier of 30 days after receipt of the A-133 audit report or nine months after the end of the audit period, the recipient must submit to the cognizant agency for audit the required OMB Circular A-133 audit report, proposed predetermined indirect cost rates, and supporting cost data. If USAID is the cognizant agency or no cognizant agency has been designated, the recipient must submit four copies of the audit report, the proposed predetermined indirect cost rates, and supporting cost data to the Overhead, Special Costs, and Closeout Branch, Office of Acquisition and Assistance, USAID, Washington, DC 20523-7802. The proposed rates must be based on the recipient's actual cost experience during that fiscal year. Negotiations of predetermined indirect cost rates must begin soon after receipt of the recipient's proposal.
- c. Allowability of costs and acceptability of cost allocation methods must be determined in accordance with the applicable cost principles.
- d. The results of each negotiation must be set forth in an indirect cost rate agreement signed by both parties. Such agreement is automatically incorporated into this award and must specify (1) the agreed upon predetermined rates, (2) the bases to which the rates apply, (3) the fiscal year for which the rates apply, and (4) the specific items treated as direct costs. The indirect cost rate agreement must not change any monetary ceiling, award obligation, or specific cost allowance or disallowance provided for in this award.
- e. Pending establishment of predetermined indirect costs rates for any fiscal year, the recipient must be reimbursed either at the rates fixed for the previous fiscal year or at billing rates acceptable to the USAID Agreement Officer, subject to appropriate adjustment when the final rates for the fiscal year or other period are established.

[END OF PROVISION]

RAA2. RESERVED

RAA3. RESERVED

RAA4. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)

For any Exchange Visitor, Participant Training or Invitational Travel activities, the recipient must comply with this provision.

a. Definitions:

(1) An **Exchange Visitor** is any host-country or third-country national traveling to the U.S., for any purpose, including Participant Training and Invitational Travel, funded by USAID in whole or in part, directly or indirectly.

(2) A **Participant** is a host-country or third-country national sponsored by USAID for a Participant Training activity taking place in the U.S., a third country, or in the host country.

(3) **Participant Training** is a learning activity conducted within the U.S., a third country, or in the host country for the purpose of furthering USAID development objectives. A learning activity takes place in a setting in which an individual (the Participant) interacts with a knowledgeable professional, predominantly for the purpose of acquiring knowledge or skills for the professional or technical enhancement of the individual. Learning activities may be formally structured, such as an academic program or a technical course, or they may be more informal, such as an observational study tour.

(4) **Invitational Travel** is a type of travel that USAID funds for non-U.S. Government employees. This type of travel may be approved for both U.S. and foreign citizens who are not employed by the U.S. Government (USG), not receiving any type of compensation from the USG for such travel, and only when it is determined that the functions to be performed are essential to the interests of USAID.

b. Program Monitoring and Data Reporting: The recipient must monitor Exchange Visitors' and Participants' progress during their program and ensure that problems are identified and resolved quickly.

(1) For U.S.-based activities, the recipient must use USAID's official Exchange Visitor and Participant Training information system, currently called "Training Results and Information Network – TraiNet" (see <http://trainethelp.usaid.gov/>), to report and manage Exchange Visitor and Participant Training data. The recipient must also use the USAID Visa Compliance System – VCS (see <http://trainethelp.usaid.gov/>) to transfer required data for USAID Exchange Visitors to the Department of Homeland Security's Student and Exchange Visitor Information System (SEVIS).

(2) For all third-country activities, and for host-country activities of two consecutive days or 16 contact hours or more in duration, the recipient must use USAID's official Exchange Visitor and Participant Training information system, currently called "Training Results and Information Network – TraiNet" (see <http://trainethelp.usaid.gov/>), to report and manage Participant Training data.

c. Health and Accident Insurance:

(1) For Exchange Visitors traveling to the United States, the recipient must enroll Exchange Visitors in health and accident insurance coverage that meets or exceeds Department of State and USAID minimum coverage requirements as set forth in 22 CFR 62.14 and ADS 253.3.6.2. The requirements may be obtained from the Agreement Officer's Representative.

(2) For Participants traveling to a third country, the recipient must obtain health and accident insurance coverage for all Participants.

(3) For Participants traveling within the host country, the recipient must determine whether specific in-country participant training activities subject them to any risk of health and accident liability for medical costs.

Participants may incur, and if so, take appropriate steps according to the local situation, including obtaining health and accident insurance coverage for Participants.

d. Immigration Requirements:

(1) For Exchange Visitors traveling to the United States, the recipient must ensure that all USAID-sponsored Exchange Visitors obtain, use, and comply with the terms of the J-1 visa, issued in conjunction with a USAID issued Certificate of Eligibility for J-1 Visa Status (DS-2019).

(2) For Participants traveling to a third country or within the host country, the recipient must ensure that all Participants obtain, use, and comply with the terms of all applicable immigration, visa and other similar requirements.

e. Language Proficiency: The recipient must verify language proficiency.

Exchange Visitors must possess sufficient English language proficiency to participate in a U.S.-based activity. Participants of third-country or host-country training must be proficient in the language of training at a sufficient level for participation, unless an interpreter has been arranged. Language competency can be verified through a variety of means including proficiency assessments of interviews, publications, presentations, education conducted in English, and formal testing.

f. Pre-departure Orientation: The recipient must conduct pre-departure orientation for U.S-bound Exchange Visitors and Participants of third-country training programs. Pre-departure orientation covers: program objectives; administrative and policy review; cultural aspects; and training/learning methods (see http://pdf.usaid.gov/pdf_docs/PNADT444.pdf).

g. Conditions of Sponsorship: The recipient must ensure that all Exchange Visitors read and sign the Conditions of Sponsorship for U.S.-Based Activities form (AID 1381-6). The recipient must also ensure that all Participants of longterm (six months or longer) third-country training read and sign the form Conditions of Sponsorship for Third-Country Training form (AID 1381-7). The recipient must report to the Agreement Officer any known violations by Exchange Visitors of visa or other immigration requirements or conditions.

h. Exchange Visitor Security Risk and Fraud Inquiry: Each USAID Mission has an established process for conducting a Security Risk and Fraud Inquiry (SRFI) for Exchange Visitors. The recipient must be prepared to assist Missions in conducting the SRFI, if requested. However, the recipient's role is contributive, and the Mission is ultimately responsible for conducting the SRFI.

i. Fly America: To the extent that participants travel by international air travel, the recipient must comply with the Standard Provision, "International Air Travel and Air Transportation of Property."

j. Use of Minority Serving Institutions: For U.S.-based Participant Training, the recipient must, to the maximum extent possible, maintain their use of Historically Black Colleges and Universities (HBCUs) and other Minority

Serving Institutions (MSIs), including Hispanic Serving Institutions and Tribal Colleges and Universities, as training or education providers.

[END OF PROVISION]

RAA5. RESERVED

RAA6. RESERVED

RAA7. RESERVED

RAA8. RESERVED

RAA9. COST SHARING (MATCHING) (FEBRUARY 2012)

- a. If at the end of any funding period, the recipient has expended an amount of non-Federal funds less than the agreed upon amount or percentage of total expenditures, the Agreement Officer may apply the difference to reduce the amount of USAID incremental funding in the following funding period. If the award has expired or has been terminated, the Agreement Officer may require the recipient to refund the difference to USAID.

- b. The source and nationality requirements and the restricted goods provision established in the Standard Provision entitled "USAID Eligibility Rules for Goods and Services" do not apply to cost sharing (matching) expenditures.

[END OF PROVISION]

RAA10. RESERVED

RAA11. RESERVED

RAA12. REPORTING HOST GOVERNMENT TAXES (JUNE 2012)

- a. By April 16 of each year, the recipient must submit a report containing:

- (1) Contractor/recipient name.
- (2) Contact name with phone, fax and e-mail.
- (3) Agreement number(s).
- (4) The total amount of value-added taxes and customs duties (but not sales taxes) assessed by the host government (or any entity thereof) on purchases in excess of \$500 per transaction of supplies, materials, goods or equipment, during the 12 months ending on the preceding September 30, using funds provided under this contract/agreement.
- (5) Any reimbursements received by April 1 of the current year on value added taxes and customs duties reported in (iv).
- (6) Reports are required even if the recipient did not pay any taxes or receive any reimbursements during the reporting period.
- (7) Cumulative reports may be provided if the recipient is implementing more than one program in a foreign country.

- b. Submit the reports to: USAID/WEST AFRICA Controller with a copy to the Agreement Officer's Representative of this award.
- c. Host government taxes are not allowable where the Agreement Officer provides the necessary means to the recipient to obtain an exemption or refund of such taxes, and the recipient fails to take reasonable steps to obtain such exemption or refund. Otherwise, taxes are allowable in accordance with the Standard Provision, "Allowable Costs," and must be reported as required in this provision.
- d. The recipient must include this reporting requirement in all applicable subagreements, including subawards and contracts.

[END OF PROVISION]

RAA13. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)

- a. U.S. Government funds under this award must not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a multilateral organization, as defined below, unless approved by the Agreement Officer in writing.
- b. Definitions:
 - (1) A foreign government delegation is appointed by the national government (including ministries and agencies but excluding local, state and provincial entities) to act on behalf of the appointing authority at the international conference. A conference participant is a delegate for the purposes of this provision, only when there is an appointment or designation that the individual is authorized to officially represent the government or agency. A delegate may be a private citizen.
 - (2) An international conference is a meeting where there is an agenda, an organizational structure, and delegations from countries other than the conference location, in which country delegations participate through discussion, votes, etc.
 - (3) A multilateral organization is an organization established by international agreement and whose governing body is composed principally of foreign governments or other multilateral organizations.

[END OF PROVISION]

RAA14. RESERVED
RAA15. RESERVED
RAA16. RESERVED

RAA17. USAID DISABILITY POLICY – ASSISTANCE (DECEMBER 2004)

- a. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. Government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following Web site: pdf.usaid.gov/pdf_docs/PDABQ631.pdf
- b. USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women, and children with disabilities.

[END OF PROVISION]

RAA18. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)

- a. One of the objectives of the USAID Disability Policy is to engage other U.S. Government agencies, host country counterparts, governments, implementing organizations, and other donors in fostering a climate of nondiscrimination against people with disabilities. As part of this policy USAID has established standards for any new or renovation construction project funded by USAID to allow access by people with disabilities (PWDs). The full text of the policy paper can be found at the following Web site: pdf.usaid.gov/pdf_docs/PDABQ631.pdf.
- b. USAID requires the recipient to comply with standards of accessibility for people with disabilities in all structures, buildings or facilities resulting from new or renovation construction or alterations of an existing structure.
- c. The recipient will comply with the host country or regional standards for accessibility in construction when such standards result in at least substantially equivalent accessibility and usability as the standard provided in the Americans with Disabilities Act (ADA) of 1990 and the Architectural Barriers Act (ABA) Accessibility Guidelines of July 2004. Where there are no host country or regional standards for universal access or where the host country or regional standards fail to meet the ADA/ABA threshold, the standard prescribed in the ADA and the ABA will be used.
- d. New Construction. All new construction will comply with the above standards for accessibility.
- e. Alterations. Changes to an existing structure that affect the usability of the structure will comply with the above standards for accessibility unless the recipient obtains the Agreement Officer's advance approval that

compliance is technically infeasible or constitutes an undue burden or both. Compliance is technically infeasible where structural conditions would require removing or altering a load-bearing member that is an essential part of the structural frame or because other existing physical or site constraints prohibit modification or addition of elements, spaces, or features that are in full and strict compliance with the minimum requirements of the standard. Compliance is an undue burden where it entails either a significant difficulty or expense or both.

f. Exceptions. The following construction related activities are excepted from the requirements of paragraphs a. through d. above:

(1) Normal maintenance, reroofing, painting or wall papering, or changes to mechanical or electrical systems are not alterations and the above standards do not apply unless they affect the accessibility of the building or facility; and

(2) Emergency construction (which may entail the provision of plastic sheeting or tents, minor repair and upgrading of existing structures, rebuilding of part of existing structures, or provision of temporary structures) intended to be temporary in nature. A portion of emergency construction assistance may be provided to people with disabilities as part of the process of identifying disaster and crisis-affected people as “most vulnerable.”

[END OF PROVISION]

RAA19. RESERVED

RAA20. RESERVED

RAA21. RESERVED

RAA22. CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCTOBER 2010)

- a. Requirement for Central Contractor Registration (CCR).** Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently, if required by changes in your information or another award term.
- b. Requirement for Data Universal Numbering System (DUNS) numbers.** If you are authorized to make subawards under this award, you:
- (1) Must notify potential subrecipients that no entity (see definition in paragraph c. of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
 - (2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.
- c. Definitions.** For purposes of this award term:

- (1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at www.ccr.gov).
- (2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at fedgov.dnb.com/webform).
- (3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR 25, subpart C:
 - (i) A governmental organization, which is a State, local government, or Indian tribe;
 - (ii) A foreign public entity;
 - (iii) A domestic or foreign nonprofit organization;
 - (iv) A domestic or foreign for-profit organization; and
 - (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
- (4) Subaward:
 - (i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
 - (ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").
 - (iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
- (5) Subrecipient means an entity that:
 - (i) Receives a subaward from you under this award; and
 - (ii) Is accountable to you for the use of the Federal funds provided by the subaward.

ADDENDUM (JUNE 2012):

- a. Exceptions.** The requirements of this provision to obtain a Data Universal Numbering System (DUNS) number and maintain a current registration in the Central Contractor Registration (CCR) do not apply, at the prime award or subaward level, to:
- (1) Awards to individuals
 - (2) Awards less than \$25,000 to foreign recipients to be performed outside the United States (based on a USAID determination)
 - (3) Awards where the Agreement Officer determines, in writing, that these requirements would cause personal safety concerns.
 - (4) This provision does not need to be included in subawards.

[END OF PROVISION]

RAA23. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)

a. Reporting of first-tier subawards.

- (1) Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).
- (2) Where and when to report.
 - (i) You must report each obligating action described in paragraph a.(1) of this award term to www.fsrs.gov.
 - (ii) For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
- (3) What to report. You must report the information about each obligating action that the submission instructions posted at www.fsrs.gov specify.

b. Reporting Total Compensation of Recipient Executives.

- (1) Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –
- (i) The total Federal funding authorized to date under this award is \$25,000 or more;
 - (ii) (ii) In the preceding fiscal year, you received—
 - (A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - (iii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at www.sec.gov/answers/execomp.htm.)
- (2) Where and when to report. You must report executive total compensation described in paragraph b.(1) of this award term:
- (i) As part of your registration profile at www.bpn.gov/ccr.
 - (ii) By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

- (1) Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you must report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if–

(i) In the subrecipient's preceding fiscal year, the subrecipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

(ii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at www.sec.gov/answers/execomp.htm.)

(2) Where and when to report. You must report subrecipient executive total compensation described in paragraph c.(1) of this award term:

(i) To the recipient.

(ii) By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (for example, between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions.

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

(1) Subawards, and

(2) The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions.

For purposes of this award term:

(1) Entity means all of the following, as defined in 2 CFR 25:

- (i) A governmental organization, which is a State, local government, or Indian tribe;
 - (ii) A foreign public entity;
 - (iii) A domestic or foreign nonprofit organization;
 - (iv) A domestic or foreign for-profit organization; and
 - (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
- (2) Executive means officers, managing partners, or any other employees in management positions.
- (3) Subaward:
- (i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
 - (ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. __.210 of the attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non- Profit Organizations”).
 - (iii) A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
- (4) Subrecipient means an entity that:
- (i) Receives a subaward from you (the recipient) under this award; and
 - (ii) Is accountable to you for the use of the Federal funds provided by the subaward.
- (5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient’s or subrecipient’s preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
- (i) Salary and bonus.
 - (ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the

Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

- (iii) Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- (iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- (v) Above-market earnings on deferred compensation which is not tax qualified.
- (vi) Other compensation, if the aggregate value of all such other compensation (for example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

[END OF PROVISION]

RAA24. PATENT REPORTING PROCEDURES (JULY 2012)

As incorporated by 22 CFR 226.36 and the standard provision “APPLICABILITY OF 22 CFR PART 226,” the clause at 37 CFR 401.14 (“Patent Rights (Small Business Firms and Nonprofit Organizations)”) is incorporated by reference into this award as if set forth in full text. The recipient must use the National Institutes of Health EDISON Patent Reporting and Tracking system (<http://www.iedison.gov>) to fulfill its disclosure obligations under 37 CFR 401.14(c)(1). The recipient must also submit reports on utilization of subject inventions annually to the Agreement Officer’s Representative under 37 CFR 401.14(h), and the last report must be provided within 90 days of the expiration of the agreement.

[END OF PROVISION]

RAA25. RESERVED

[END OF STANDARD PROVISIONS]

ATTACHMENT D

BRANDING STRATEGY AND MARKING PLAN

BRANDING STRATEGY and MARKING PLAN
USAID/Ghana Sustainable Fisheries Management Project (SFMP)
September 2014

OVERVIEW

As required by 22 CFR 226.91, this Branding Strategy and Marking Plan defines how the USAID/Ghana Sustainable Fisheries Management Project (SFMP) will be promoted to beneficiaries and host country citizens, while describing the materials that the Coastal Resources Center (CRC) at the University of Rhode Island will organize and produce to assist USAID in delivering the message that the assistance is “from the American people.” The project will be fully compliant with USAID’s Branding and Marking regulations, as described in ADS Chapter 320. This plan is rooted in adherence to basic principles of fairness and appreciation in ensuring that USAID and the American people are publicly and visibly acknowledged and credited for support provided to the project.

CRC and its core partners—Hen Mpoano (HM), Friends of the Nation (FoN) and the Netherlands Development Organization (SNV)—as well as sub-recipients including Central and Western Region Fishmongers Improvement Association (CEWEFIA), Daasgift Quality Foundation (DAASGIFT), Development Action Association (DAA), Spatial Solutions (SS), and SSG Advisors (SSG)—will follow this plan and its requirements.

BRANDING STRATEGY

This Branding and Marking Plan is designed around three factors: 1) public communications that further the project’s goals, 2) telling the project story and sharing its accomplishments, and 3) informing others how this work achieved these accomplishments—sharing with others that the accomplishments were achieved through the support of the American people, through USAID. The key to this project’s success rests with the engagement and shared recognition of local organizations and communities, working together towards a common goal.

PROJECT POSITIONING

CRC will use “USAID/Ghana Sustainable Fisheries Management Project (SFMP)” as the title in the following manner:

A unique project logo will not be created for this work. Rather, the project will brand the work by using the project name in English on most of its materials and only in local languages upon concurrence from USAID.

All signage and materials will be marked with the USAID Standard Graphic Identity. The USAID Standard Graphic Identity, also called the USAID Identity, is defined in ADS Chapter 320 as comprised of the USAID logo or seal and brand mark, with the tagline that clearly communicates assistance is, “from the American people.”

In addition to printing and labeling the project with the USAID Standard Graphic Identity (logo and brand mark), CRC will ensure it is clear to all audiences that the project is supported by USAID and this project’s achievements are made possible through the support of the American people. In the case where the USAID Identity is visible, CRC will not repeat the “from American people” message because that would be redundant.

While CRC will be labeled as prime holder of the stated agreement, and as such is the principal organization responsible for managing sub-grants and building the capacity of host-country organizations, at all times USAID’s role as the donor will be predominant. This includes positioning the USAID Identity more prominently than others on project materials. Branding the work as a product of USAID’s generous support, on behalf of the American people, will be marked by the use of the USAID logo, brand name, and tagline—from the American people.

While CRC and implementing partners intend to co-brand some project materials, the project title and USAID’s Identity will always predominate. USAID’s Identity will be top or bottom left of documents.

COMMUNICATIONS AND PUBLICITY

All physical external communications regarding the project will acknowledge USAID support in a visible manner through the inclusion of the USAID Identity (logo, brand mark, and tagline). All communications, whether written and/or verbal, will also include an acknowledgement of USAID support, reciting the USAID tagline and statement of support: *This [specify product] is made possible by the generous support of the American people through the United States Agency for International Development (USAID).*”

Primary Audiences

The stated objective of the USAID/Ghana SFMP is to “rebuild targeted fish stocks through adoption of sustainable practices and exploitation levels.” The primary audience includes:

- Ministry of Fisheries and Aquaculture Development (MOFAD)
- Fisheries commission (FC)
- Government of Ghana parliamentary committees responsible for fisheries
- University of Cape Coast (UCC)
- Regional Coordinating Councils (RCC) for the Central and Western Regions

- National Development Planning Commission (NDPC), and Central and Western Region district offices
- Community and district level governance structures, including traditional leaders
- Civil society (NGOs/CBOs)
- Community members in the target areas
- Private sector actors
- Bilateral, multilateral and private donors; in particular, the World Bank West Africa Regional Fisheries Program (WARFP)

These organizations and individuals are considered key clients because the long-term success and sustainability of fisheries reform in Ghana lies with these parties and their longstanding commitment to this goal.

Resource users will be directly engaged via mass media, social media, web and mobile-based platforms as well as community-level, in-person communications. Resource users include:

- Fishermen
- Fishmongers
- Private entities found all along the fisheries value chain
- The public

Bottom-up, strategic communications will target often-overlooked stakeholders, including women and children with messages of particular concern to these groups. Among these “special communications” plans are behavior change messages aimed at reducing child labor and trafficking.

Project staff will verbally recognize USAID as the funder in any word of mouth communication. Project implementers will use a variety of materials, which may include PowerPoint presentations, posters for workshops or community events, training materials, and pamphlets and handbooks to convey information. All of these materials will display USAID’s Identity co-branded with CRC and core partners’ logos. CRC and all sub-recipients will acknowledge USAID as the funder whenever the USAID/Ghana SFMP is featured on CRC’s or core partners’ websites.

MAIN PROGRAM MESSAGE

The primary objective of the USAID/Ghana SFMP is to “rebuild targeted fish stocks through adoption of sustainable practices and exploitation levels” by reducing overexploitation of marine resources and reversing the alarming trend of declining fisheries stock yields.

Tools used for communicating the project message may include printed or electronic announcements, brochures, posters, banners, success stories, briefing papers, and formal communications on behalf of the project. CRC will emphasize communication of the project message during planning and consultation meetings, survey, research and evaluation activities, workshops, meetings to disseminate project results, and site visits. All of these tools and events will include acknowledgement of USAID's support.

ACKNOWLEDGMENTS

CRC and other implementing partners may co-brand project materials with their logos, as long as the following conditions have been met:

- The USAID Identity is given an equal or higher prominence than all others;
- The project clearly benefits from co-branding with implementing partners' identities; and
- The space permits multiple logos, and the work is not deemed cluttered or unattractive.

For this project USAID's logo should be top left, CRC's bottom left, and the sub-partners arrayed along the bottom.

MONITORING OF SUB-RECIPIENT BRANDING AND MARKING COMPLIANCE

In accordance with USAID branding and marking guidance, as stipulated in 22 CFR 226.91, CRC will monitor compliance of proper branding and marking throughout the duration of the project.

USAID branding and marking requirements flow down to implementing partners via the standard relevant provision that is included in all CRC sub-agreements. The partner's signature on the grant agreement and/or modifications acknowledges awareness of, and agreement to comply with branding and marking requirements. Shortly after signing sub-agreements, CRC will provide orientation and training to ensure compliance with the USAID/Ghana SFMP Branding and Marking Plan and will provide ongoing monitoring and support to ensure compliance. CRC's communications specialist will review final documents and publications for proper branding and marking before uploading to partner websites or USAID's Development Experience Clearinghouse. (DEC)

MARKING PLAN

CRC's marking plan complies with the requirement that all overseas projects, activities, public communications, and commodities partially or fully funded by USAID be visibly marked with the USAID logo. This includes the full USAID Identity, acknowledging that the assistance is "from the American People." CRC intends to mark this project in the following manner:

Print the USAID Identity (logo and brand mark) on all materials: As per USAID guidelines, CRC understands public communications to be defined as all documents and messages intended for

distribution to audiences external to CRC, including project- related correspondence, publications, reports, brochures, pamphlets, fact sheets, audio-visual products, applications, forms, promotional materials, online and digital material and communications, training courses, conferences, exhibitions, seminars, and other project-related activities or communications funded by USAID.

Labeling of all other materials: Equipment and supplies (excluding vehicles) funded by USAID for use during project implementation will be marked with a sticker bearing the USAID Identity. In the rare instance that other logos may appear on these items, actions will be taken to ensure that the USAID Identity will be equal or greater size and prominence in relation to any other logo that appears.

Verbally communicate USAID’s brand in public venues: CRC and its partners under this project will acknowledge USAID’s support verbally, by reciting the following statement: *‘This [specify product] is made possible by the generous support of the American people through the United States Agency for International Development (USAID).’*

In cases where USAID has not pre-approved the language, we will also add to the statement the following disclaimer: The contents are the responsibility of [name of organization] and do not necessarily reflect the views of USAID or the United States Government.”

Verbal communication will be supplemented by physical, marked signage wherever possible. Details as to how specific project items are to be marked are reflected in Table 1.

Table 1: Marked Deliverables

Deliverable	Type of Mark	When Marking Starts	Where Mark Will Be
Materials to announce new project	USAID Identity (cobranded where/as appropriate)	Immediately	At the time they are produced, top or bottom left on first page
Project offices in Ghana	Sign bearing project name only with no USAID Identity	Upon leasing of office space	Exterior doors
Reports and publications	USAID Identity (cobranded where/as appropriate). Disclaimer for publications that have not been reviewed by USAID. (ADS 320, 15E)	Immediately upon completion of documents	USAID Identity on cover according to USAID marking guidelines as specified in AAPD 05-01. Disclaimer will appear on bottom of inside cover page

Informational products including pamphlets, brochures, guides, teaching case studies, training manuals, and PowerPoint presentations	USAID Identity (cobranded where/as appropriate). Disclaimer for publications that have not been reviewed by USAID. (ADS 320, 15E) Reports reviewed by USAID should use the following: “This study/report/audio/ other information/media product (will specify) was produced for review by the United States Agency for International Development. It was prepared by [org name].”	Immediately	USAID Identity on cover according to USAID marking guidelines as specified in AAPD 05-01. Disclaimer and acknowledgment on inside cover page
Trainings, meetings, and events	USAID Identity (cobranded where/as appropriate)	Immediately	Top left of displayed banners, first page of agenda/other material

FORMATTING

Where and when CRC or partners’ logos appear on project-related communications, materials or commodities, the USAID logo or Identity, will always be included at equal or greater size and prominence with all others, as per the guidance provided in the [USAID Graphic Standards Manual](#) regarding size, format and placement.

Co-branded publications will display the horizontal Identity in the lower-left area of a publication cover, no smaller than any other logos on the page. For materials that are not co-branded, the USAID Identity will be displayed on the front cover, in the upper-left area of the publication. Professional publications will be produced in accordance with the USAID Graphic Standards Manual guidance and its appearances will be based on agreement with USAID.

The USAID logos will appear in their entirety and will not be recreated or presented in separate elements or in any other color scheme (but may be in black and white, if other logos are also in black and white) or proportions than those provided by USAID.

MARKING COST IMPLICATIONS

The cost of marking most printed materials is absorbed in the cost of materials development and printing. In cases where incorporation of the logo or Identity is not possible in the printing process, CRC will purchase and keep USAID stickers that can be applied post-production.

CRC uses banners of the USAID Identity in workshops/trainings. The expenditures for the banners or placards, stickers, and any additional unanticipated branding and marking actions are included with each activity. Partners’ branding and marking costs are negotiated during the award process and are incorporated in agreement budgets.

Marking will not be applied in the following cases:

Table 2: Unmarked Deliverables

Deliverable	Rationale
Project vehicles and non-deliverable items such as computers and office furnishings which are purely administrative in nature and purely for internal use	Standard exclusions under USAID marking policies
Projects, activities, public communications, and commodities not funded by USAID	CRC and implementing partners will not be required to mark commodities or activities that contribute to the project but are not funded by USAID.
Recruitment advertisements	Marking can create confusion among potential applicants and could result in them incorrectly contacting USAID instead of the lead implementer, CRC.
Official Government of Ghana documents (e.g., policy statements, adopted ordinances, management plans)	Marking would compromise local ownership. CRC will seek acknowledgment of USAID contributions within the document.

WAIVERS AND PRESUMPTIVE EXCEPTIONS

CRC is optimistic that the project will be implemented smoothly with the USAID branding and marking measures described here. However, if prominent display of U.S. sponsorship results in frequent or serious obstacles, CRC may request a waiver or presumptive exemption for certain activities or commodities.

[END OF BRANDING STRATEGY AND MARKING PLAN]

[END OF COOPERATIVE AGREEMENT]