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The Integrated Coastal and Fisheries Governance (ICFG) Program for the Western Region of Ghana

Project Monitoring Plan

2010

Hɛn Mpoano

THE UNIVERSITY OF RHODE ISLAND GRADUATE SCHOOL OF OCEANOGRAPHY

COASTAL RESOURCES CENTER

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For more information on the Integrated Coastal and Fisheries Governance project, contact: Coastal Resources Center, University of Rhode Island, Narragansett Bay Campus, 220 South Ferry Road, Narragansett, Rhode Island 02882, USA. Brian Crawford, Director International Programs at brian@crc.uri.edu; Tel: 401-874-6224; Fax: 401-874-6920.

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Performance Monitoring Plan

October 18, 2010

Integrated Coastal and Fisheries Governance Initiative (ICFG)

Hɛn Mpoano

THE UNIVERSITY OF RHODE ISLAND
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Section 1: Introduction

A. Contract Background

The Integrated Coastal and Fisheries Governance (ICFG) Initiative for the Western Region of Ghana is a four year cooperative agreement awarded to the Coastal Resources Center (CRC) of the University of Rhode Island (URI) under Cooperative Agreement No. 641-A-00-09-00036-00 as part of the USAID investment in Biodiversity and Food for the Future. The Cooperative agreement was awarded in Fall 2010. CRC will implement ICFG Initiative activities in collaboration with its partners Friends of the Nations, SustainaMetrix and the World Fish Center.

The ICFG Initiative goal is to "support the Government of Ghana in achieving its development objectives of poverty reduction, food security, sustainable management and conservation by contributing to the following vision:

> *Ghana's coastal ecosystems are being developed and conserved in a sustainable an equitable manner: the goods and services produced by sound coastal governance and improved fisheries management are generating a diversity of long-term socio-economic benefits for coastal communities while sustaining biodiversity.*

B. Program Description and Approach

Coastal regions are the primary habitat for the human species. Today, an estimated 40 percent of all humanity is compressed into 5 percent of the inhabited land-space along the margins of ocean, seas and great lakes. The activities of human society in industry, transportation and trade, energy processing, tourism, recreation, communications and services are all concentrated along coasts. As might be expected, coastal regions thus consume a similarly disproportionate share of manmade and natural resources and generate a similarly disproportionate amount of wastes. This makes the issue of how humanity manages its activities and its impacts on coastal ecosystems one of the great challenges of the 21st century.

Ghana's coastline is a microcosm of these global challenges. The ICFG Initiative, locally referred to as "*Hɛn Mpoano*" Initiative (meaning Our Coast in Fanti tribal language) will assist Ghana in addressing these issues by drawing on established good practices in coastal and fisheries management that have emerged from developing country experiences over the past two decades. The Program will focus its efforts in the Western Region, where good practices can be demonstrated at a regional scale. At the same time, it will also begin building constituencies and commitment at the national level. For instance, it will work with key fisheries stakeholder groups such as artisanal fishermen, coastal communities, District Officers, the Fisheries Directorate and the National Fisheries Commission to clearly define

and identify priority management issues and long-term goals for management of selected fish stocks. The Program will use integrated coastal management (ICM) as the organizing framework as so many of the issues along Ghana's coastline are interrelated. The Program will contribute to addressing priority coastal governance issues including the long-term decline in fish stocks and the increasing conflicts in fisheries. Fisheries initiatives will emphasize the artisanal fisheries sector—a mainstay of employment and food security. The Program will also work to build the capacity of national level government agencies to support this reform by providing technical assistance and training. Government agencies need to show long-term commitment that extends beyond formally adopted goal statements and to ensure that national and local government budgets include specific line items to finance the implementation of reforms.

The following is a description of the issues posed by coastal and fisheries governance in Ghana:

Intensification of Human Pressures on Ghana's Coast. While the districts of Ghana's coastal zone represent only about 6.5 percent of the land area of the country, it is home to 25 percent of the nation's total population—with coastal populations growing at the rate of 3 percent per year. Poverty in coastal areas is extensive; the combination of poor health, poverty and environmental degradation contributes to a vicious cycle that negatively impacts the quality of human life in the coastal zone.

Over 60 percent of Ghana's industries lie within the coastal zone. Just as the mining sector is a dominant source of employment inland, marine capture fisheries are the major economic activity along the coast. The Western Region is particularly dependent on the renewable and non-renewable natural resources that include not only fisheries, but also mining, oil and gas, and forestry, as well as a growing tourism industry.

Oil and gas production offshore will be a major driver of the economy over the next decade. There have been several recent discoveries of offshore oil reserves in the Western Region along the adjoining edge of the continental shelf and slope. This development raises many concerns—it's potential to increase conflicts with the fishing industry over the use of the marine space, and its potential negative impacts on coastal and marine habitats. In addition to working with private industry stakeholders on these challenges, the Program will work with key government agencies to plan such development in a manner that minimizes conflicts and establishes mechanisms for conflict resolution.

Ecosystems Services are at Risk. These and other human activities that are focused on economic growth and development may jeopardize the health of Ghana's coastal ecosystems. In fact, there is strong evidence that Ghana's coastal ecosystems are already seriously degraded. The Ghana Environmental Action Plan identifies this as a key issue. The World Bank-supported 1996 Integrated Coastal Zone Management Strategy for Ghana highlighted seven priority coastal and marine environmental issues: domestic sanitation, fisheries degradation, wetland and mangrove degradation, industrial pollution of water resources, coastal erosion, biodiversity loss, and aquatic weed encroachment—with the first five classified as the highest priorities.

Climate Change is happening. Another pressing consideration for Ghana is the impact of global climate change on its coasts and coastal resources. Climate change will severely impact Ghana's shoreline and further weaken the resilience of coastal ecosystems and human communities living in these areas. Sea level rise will drown mangroves and requires setting aside buffers to enable them to retreat inland. Productivity of fisheries ecosystems will be altered and migration patterns of highly mobile stocks will likely change. This means that

management systems must be agile and adaptive enough to respond quickly as changes occur. Some coastal tourism and fisheries infrastructure is already at risk from erosion and flooding. New development, if not planned properly, will face similar problems. Planning and adapting to climate change will be central to avoiding large economic losses from poorly planned coastal development. Climate change adaptation along the coast must be a core feature of future coastal governance.

Over-exploitation of fishery resources. Fisheries are important both to Ghana's economy and its food security. Per capita fish consumption is 27 kg per annum compared to the world average of 13 kg per annum. Local demand for fish already outstrips supply—and the gap between supply and demand is expected to increase over the next decade. This places increasing pressure on fish stocks that are already considered some of the most overexploited in the region with some in danger of collapse.

Economics matter. On the economic front, Ghana's fisheries sector accounts for approximately 4.5 percent of GDP. According to frequently cited estimates, marine fisheries account for approximately 80 percent of the nation's total fish supply, and in 2008 yielded approximately 291,000 tons of fish catch that generated approximately US$713 million in revenue. Inshore pelagic and demersal fisheries comprise the bulk of the marine landings (196,000 tons and 22,500 tons respectively in 2008) followed by the offshore commercial /industrial fishery with 72,000 tons in landings. The fisheries sector provides an estimated 200,000 persons with primary employment and an additional 300,000 persons with secondary employment. The artisanal fishery makes up the majority of the fleet with an estimated 12,000 small-scale vessels (canoes) operating from 334 landing centers in 195 fishing villages. In comparison, the semi-industrial fleet contains approximately 350 vessels and the large scale industrial fleet approximately 90 vessels. From an employment perspective, the artisanal fishery is of greatest importance and also contributes approximately 70 percent of the national landings. Within the Western Region, the fisheries sector consists of approximately 2,400 motorized and un-motorized dugout canoes operating from 80 landing sites. They produce approximately one-quarter of the total artisanal landings or about 48,000 tons annually.

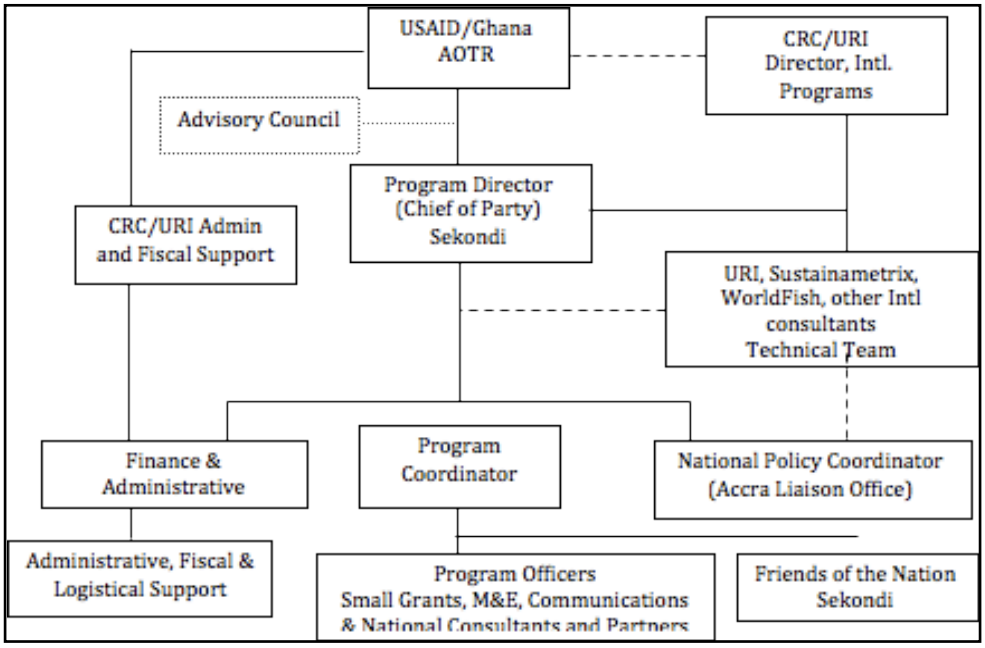
Declining Catch. In spite of the importance of fisheries to the nation in terms of GDP, employment and food supply, the annual fish catch has been declining in recent years, especially among the small pelagic fisheries. Demersal fisheries have also peaked and have been relatively stable in the last decade. The lack of major increases in fish catch has been accompanied by a significant increase in fishing effort within the canoe fishery as well as in the semi-industrial and industrial fleets. These conditions are clear signs of a fishing sector that is severely overcapitalized and overfished. In short, there is a "race to catch the last fish"—i.e., to maximize catch rather than maximize the value of catch. Individual fishermen are losing economic ground, and an important component of the nation and sub-region's food security is increasingly at risk.

Threats to Biodiversity. Wetlands, including coastal wetlands and mangroves, comprise approximately 10 percent of Ghana's land surface. Along Ghana's coast, there are about 90 lagoons that contain important resident and migratory birdlife (70 species). Five of these lagoons are designated RAMSAR sites. Coastal wetland losses were recently estimated at 6,000 ha/yr. The Western Region also contains two coastal forest reserves, the Cape Three Points Forest Reserve and the Draw River Forest Reserve. While many of the coastal protected areas in the Western Region are in good condition, development trends there will put them at risk. A particular concern is that the sensitive lagoons that are important bird habitat and turtle nesting beaches become increasingly vulnerable to degradation from development.

Endangered and Protected Species. Ghana is home to five species of marine turtles—the green, hawksbill, leatherback, loggerhead and Olive Ridley turtles. Threats to these endangered and protected species are varied and numerous. Humpback whales also migrate through Ghana's Exclusive Economic Zone (EEZ). While there are currently no marine protected areas (MPAs) within Ghana waters, the country's Wildlife Division has been advocating for their creation. Given the importance of MPAs as an effective management measure for protecting marine ecosystems, careful consideration should be given to developing a network of MPAs within Ghana's EEZ.

C. Organizational Structure

The ICFG Initiative organizational structure is shown in Figure 1. While there are clear job descriptions for staff and terms of reference for all partners involved in the Initiative, the team is built around team work, collaboration and sharing responsibility for planning, implementation and monitoring and evaluation. The Chief of Party (Program Director) oversees the initiative, and as part of the administrative structure, works directly with the entire team, building capacity for M&E in all program activities and though partnerships with



SustainaMetrix and the World Fish Center to implement the Performance Monitoring Plan.

Figure 1: Operational Structure of the In-country Program management Unit

D. Role of ICFG Initiative within the USAID S0 Framework

During the initial four years of the ICFG Initiative, the emphasis will be placed on achieving the 1st order enabling conditions that are considered essential to achieving this long term goal within a geographic focus area primarily in the Western Region. However, applying an ecosystems based approach requires consideration of larger scales of governance for the Gulf of Guinea Large Marine Ecosystem as a whole. Therefore, some effort will also be placed on improving enabling conditions at the national and regional scale as well. This goal and the integrated nature of the program mean that the Program will contribute to key strategic objectives of USAID Ghana:

- Democracy and governance (SO1)
- Economic growth (SO2)
- Sustainable management of natural resources and biodiversity conservation (SO2)

While the Initiative will contribute to several USAID cross cutting themes on gender, decentralization, empowering Ghanaians, food security, and public-private partnerships however, the primary focus of the ICFG Initiative will be to contribute directly to the first two strategic objectives described above and provide support for the third. The focus on monitoring will be based on documentation of baseline conditions as these relate to the Orders of Outcomes framework (see Section 2 for a more in-depth discussion of the ICFG Initiative Performance Monitoring Framework) as well as USAID indicators. The baseline will be the basis for setting targets and selecting the indicators that will be tracked to measure process and assess learning on all aspects of the ICFG Initiative. The following is therefore an initial framework that will be refined and made specific once the Program has set realistic and well informed targets.

1st Order Outcomes are articulated as follows and will be the major emphasis of the Program in the first four years.

Result 1: Enabling conditions for an integrated approach to coastal and fisheries governance in the Western Province and at the national and regional scale are assembled. (This result area defines targets on issues of local, national and regional governance, policy reform and communication, and private partnerships and alliances).

2nd Order Outcomes are possible as expressed in he following two result areas once a sufficient threshold of enabling conditions are achieved:

Result 2: Changes in behavior at local, regional and national level are setting the stage for generating benefits.

Result 3: Changes in behavior at the local, national and regional levels are supporting the ecosystem approach to coastal and fisheries planning and decision-making and more sustainable forms of coastal resource use.

As these **2nd Order Outcomes** are achieved, the potential for building evidence toward achievement of **3rd Order Outcomes** as expressed in the goal statement become possible. Together, the goal statement and the sequence of orders of outcome results described above, make up our results framework and development hypotheses. Initial indicators to judge progress towards achieving these results are listed in the table below by Orders of outcome and also showing their relationship to USAID strategic objectives and crosscutting themes.

Project Goal

Support the government of Ghana in achieving its development objectives of poverty reduction, food security, sustainable management and conservation by contributing to the following vision:

Ghana's coastal ecosystems are being developed and conserved in a sustainable and equitable manner: the goods and services produced by sound coastal governance and improved fisheries management are generating a diversity of long-term socio-economic benefits for coastal communities while sustaining biodiversity.

2nd Order Outcomes	**Result 3** Changes in behavior at the local, national and regional levels are supporting the ecosystem approach to coastal and fisheries planning and decision-making and more sustainable forms of coastal resource use.	**Result 2** Changes in behavior at local, regional and national level are setting the stage for generating benefits.
1st Order Outcomes	**Result 1** Enabling conditions (capacity, constituencies, commitment, goals) for a fresh and integrating approach to coastal and fisheries governance in the Western Province and at the national and regional scale are assembled.	

Linkages to other donor activities

- There are many donors funding private sector programs and projects in Ghana and ICFG Initiative is taking steps to ensure that there is maximum collaboration on activities and no duplication of effort. Shortly after arriving in country, ICFG Initiative began meeting with donors from both private and public sectors and met individually with the Danish International Development Agency (DANIDA), the British Department for International Development (DFID), the Canadian International Development Agency (CIDA), the German Technical Assistance Agency (GTZ), the International Finance Corporation (IFC), and the World Bank, among others. Additional meetings will be scheduled each year with new donors and with donors from whom more information is required. ICFG Initiative will provide USAID with a summary of donor meetings and potential areas of synergy with other donor activities.

E. Monitoring, Evaluation, Analysis, and Communication

Given that the ICFG Initiative intends to create major systems change using an ecosystem approach in the Western Region of Ghana, the design of a practical and efficient M&E strategy is an essential topic at the start of Phase 2 and will require scaling up resources and time to implement, periodically assess effectiveness and learn by doing. The context of the Western Region is complex. Systems thinking and complexity concepts are opening up new boundaries in monitoring and evaluation (M&E). Therefore, in order to establish an M&E process for the ICFG Initiative at this stage, the following document is intended to frame a team based dialogue that is focused on inquiry:

- What do we want to learn during the second and third phases of the initiative?
- How will we use the information we generate?
- Who are the primary intended users of this information and what is the primary intended use?
- Who are the secondary intended users this information and how will we communicate results?

This document describes the answers to these questions and features a basic design of a performance monitoring and evaluation system to deliver timely and accurate results to USAID and the developmental process of the ICFG initiative. We plan to employ a suite of custom developed ecosystem governance indicators in conjunction with a suite USAID biodiversity indicators for biodiversity, environment, food security, economic development, etc. Since ecosystem governance must be both “top-down” and “bottom-up” at the same time, a key focal point of the M&E will be to understand where these forces collide, intersect

and get entangled together and encounter real world complexities to inform the development of a nested system of governance. We have designed the M&E to encourage the program team to be both adaptable (learn and adjust as we go) and remain rooted within a conceptual framework to maximize consistency, use and learning for long-term program development. We fully recognize that our understanding of the context will change over time, and our intent is to develop cross-scale innovations at the scale of the communities, the Coastal Districts, the Western Region and Ghana as a whole. Thus we recognize the need to be adaptive, agile, and responsive in the face of cross-scale dynamics.

This M&E system features a methodology that recognizes the importance of the ecosystem approach to building the enabling conditions using the Orders of Outcome and Policy Cycle (Olsen et. at 2009) and the primacy of a developmental approach to M&E that recognizes the complex systems challenges:

- Major systems change, as proposed by the ICFG initiative will add levels of complexity, new uncertainties, new disagreements and unexpected consequences
- Identifying key forks in the road as basis for decisions about which direction to take as well as understanding key tipping points and what is required to create a new desired direction
- Creating and maintaining a documentary record of changes made
- Generating feedback and learning for development such as taking select successes and innovations to scale - from pilot demonstrations to broader scale implementation

In other words, the methods and the methodological rigor of the M&E strategy is based on what we believe to be most appropriate to the context, sensitive to what is emerging, while being adaptive and inclusive.

Recognizing there are strengths and weaknesses in all M&E approaches, the methods need to fit the capacity of the team. Clearly, the context of the Western Region of Ghana is highly complex. Unlike simple or complicated issues, where cause is linked to effect and solutions can often be effectively addressed by employing best practices, lessons learned, extensive research and detailed planning etc., ecosystem

M&E Purposes and Use for ICFG Initiative in terms of priority:

Major systems change and cross-scale developmental evaluation: providing feedback about how major systems change is unfolding, evidence of emerging tipping points, and/or how an innovation is or may need to be changed and adapted as it is taken to scale (i.e. if many of the elements of the ICFG initiative are successful - M&E focuses largely on building the enabling conditions for a nested system of ecosystem-based governance in the western region - with focus on landscape and seascape)

Ongoing development: As the ICFG evolves, tracking projects and program elements (i.e. mini grants, wetlands training, carbon offsets), policy (i.e. marine protected areas, nested systems of governance) or other conditions in the dynamic system of the Western Region (i.e. oil and gas, poverty indices).

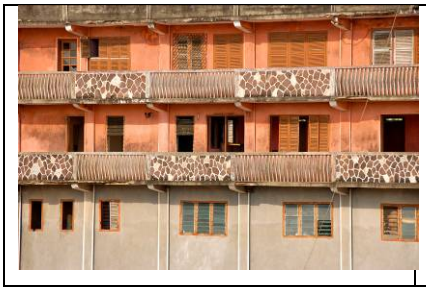
Adapting effective general principles to a new context: as ideas and innovations come in from other places and attempted to be developed in context the Western Region - such as co-management and restricted fisheries access - M&E to focus on what happens within each of the nested systems (between top-down policy and bottom up forces of change) - the dynamic middle.

Pre-formative development of a potentially scalable innovation: ideal for emerging ideas such as a new fish smoker, bamboo crafts and specialty exports, or business plan for reducing sand winnowing, to help shape them into a potential models that could be subject to a more detailed evaluation.

Developing a rapid response: in the face of a major crisis such as a natural disaster (i.e. tsunami, financial market collapse, large oil spill) M&E needs may shift dramatically to be adaptable, near real-time monitoring of the situation, solution testing, generating innovative and helpful interventions when/if it occurs.

governance involving fisheries reform and integrated coastal zone management in the context of severe poverty in a region we are just learning about, involves a series of complex issues that are difficult to define; have tangled up root causes; involve stakeholders with diverse values, interests and positions; vary from person to person and community to community; are constantly evolving; and, have no obvious answers at the onset of the program.

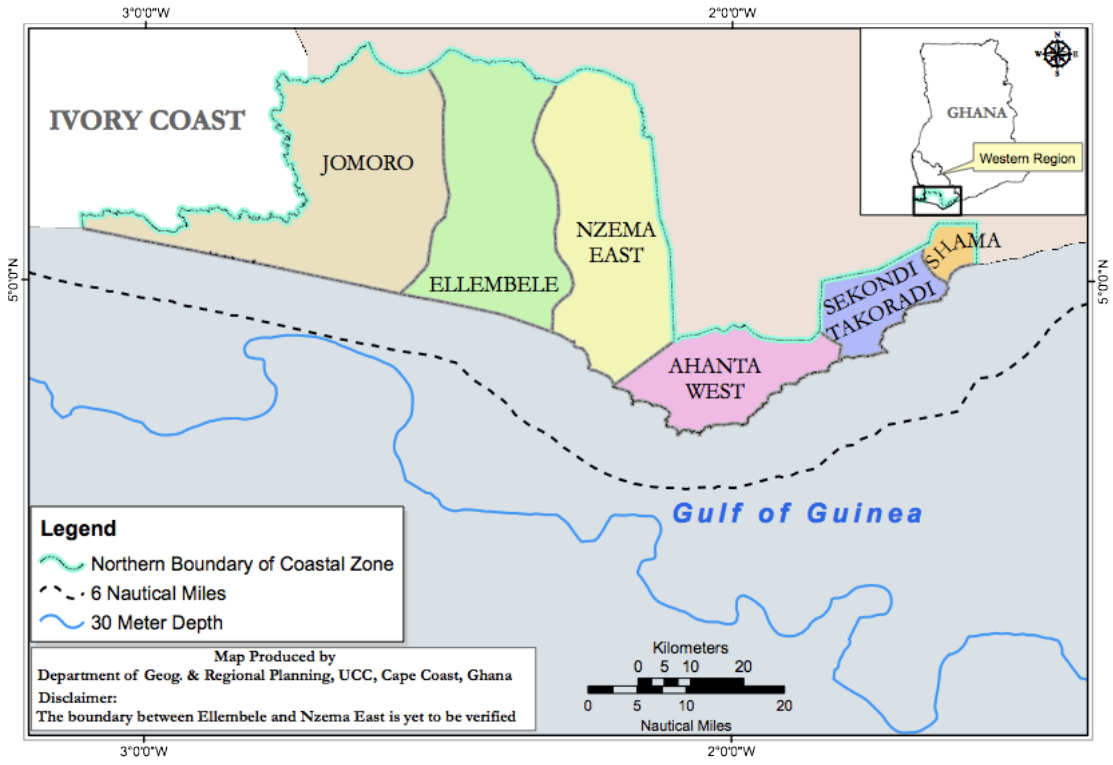
In this context of complexity, evaluation strategy is critical. Traditional formative to summative approaches are best conducted in situations where there is little external turbulence, where there is both control and predictability within the situation or context where the program resides, external forces are relatively stable. Clearly, this is not the case in the Western Region of Ghana. Thus we have chosen an evaluation strategy that is build around the principals of "Developmental Evaluation", as defined by Michael Quinn Patton (2010) which "centers on situational sensitivity, responsiveness, and adaptation, and is an approach to evaluation especially appropriate for situations of high uncertainty where what may and does emerge is relatively unpredictable and uncontrollable. Developmental evaluation tracks and attempts to make sense of what emerges under conditions of complexity, documenting and interpreting the dynamics, interactions, and interdependencies that occur as innovations unfold."



Section 2: Performance Monitoring

A. Approach to Monitoring, Evaluation, Analysis, Communication

The focus of the initiative is to build the enabling conditions to increase the efficiency and effectiveness of initiatives that work to reduce negative impacts of human activities on ecosystems in the coastal districts of the Western Region of Ghana. It is based upon the recognition that the ICFG Initiative must tailor the design, implementation, monitoring and evaluation of projects to the unique combination of institutional, legal, sociocultural and ecological features in the local context. The customization and adaptation is balanced with a standardized format for M&E to encourage comparison and learning across projects where partners are working with similar goals and objectives.



An "ecosystem approach" guides the initiative. Traditionally, management efforts have been organized around particular uses such as fisheries or mineral exploitation, resulting in separate governance regimes for each use. Over time it has become ever more apparent that such a sectoral approach results in conflicts among users and is inadequate in meeting the need for sustaining the goods and services that flow from healthy ecosystems. The shift away from the management of individual resources to a systems approach has taken hold in a

number of fields such as forestry and fisheries and has been endorsed by a number of studies and expert commissions. The practice of ecosystem-based management recognizes that both the environment and the associated human population must be addressed simultaneously. It is concerned primarily with instigating the changes in human behavior that are required to restore and sustain the desired qualities of ecosystems. Ecosystem management is concerned with the processes of change within living systems. It is therefore designed and executed as an adaptive, learning-based process that applies the principles of the scientific method to the processes of management (Olsen et. al., 2006).

Boundaries matter, therefore for this initiative, we are defining the area of focus to be the coastal ecosystems which include the limit of the coastal districts of the Western Region as the landward boundary. Seaward, the boundary includes estuaries, inshore coastal waters, and offshore waters to limit of the artisanal fishery (as defined by the six nautical mile limit seaward from land or the 30 meter depth contour whichever is greater). See the image above for the area of focus.

To be effective, ecosystem governance initiatives must (1) be sustainable over long periods of time – usually many decades, (2) be capable of being adapted to changing conditions and (3) provide the mechanisms to encourage or require specified forms of resource use and collaborative behaviors among institutions and user groups. Much of the challenge lies in achieving changes in the behavior of the user groups and institutions. Ecosystem-based governance integrates the best available science with a transparent, equitable and democratic approach to planning and decision making. Ecosystem-based management needs to be carried out in a strategic manner that tailors principles of good practice to the culture and the needs of a specific place. Successful programs advance and change through linked cycles of planning, implementation and re-assessment. These features of ecosystem management signal the transition from traditional sector-by-sector planning and decision-making to a holistic approach based on the interactions between sectors and within and among ecosystems.

In the ICFG Initiative, we expect to assemble the enabling conditions for improved governance to improve:

- How resources or an environment are utilized,
- How problems and opportunities are evaluated and analyzed,
- What behavior is deemed acceptable or forbidden, and
- What rules and sanctions are applied to affect how natural resources are distributed and used?

In this Performance Monitoring Plan, we distinguish between management and governance. Management is the process by which human and material resources are harnessed to achieve a known goal within a known institutional structure. We therefore speak of business management, park management, personnel management or disaster management. In these instances the goals and the mechanisms of administration are well known and widely accepted. Governance, in contrast, addresses the values, policies, laws and institutions by which a set of issues are addressed. It probes the fundamental goals and the institutional processes and structures that are the basis for planning and decision-making. Governance sets the stage within which management occurs (Olsen, 2003).

In this Performance Monitoring Plan, we frequently refer to the processes of planning and decision making as governance in order to reinforce the idea that a reassessment of the fundamental goals and values of society is increasingly necessary. Once the goals of a governance program or project have been defined as expressions of the ecosystem approach much of the day-to-day work of coastal stewardship such as biodiversity protection and improved fisheries is concerned with the well known practices of management.

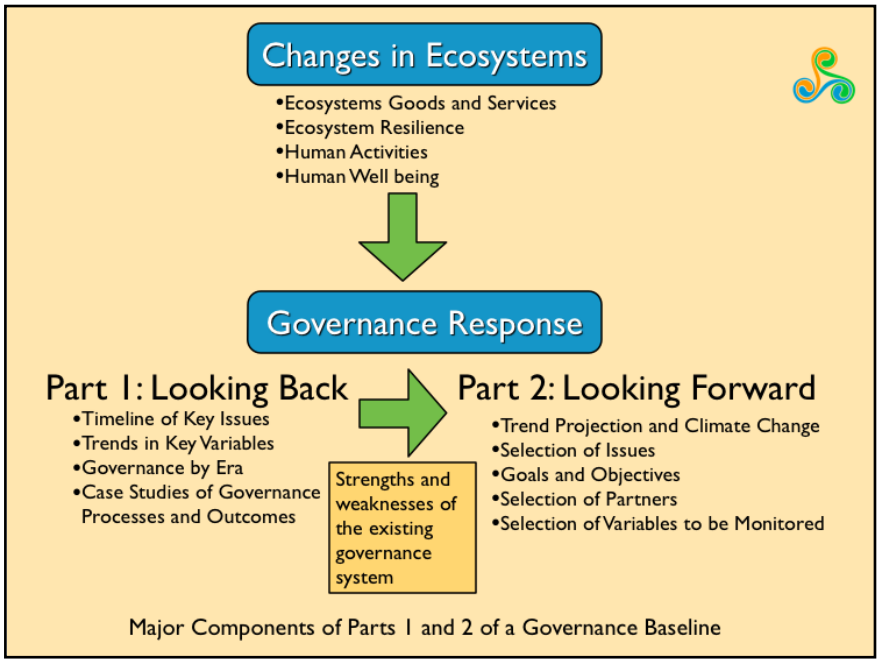


Figure 2: Components of a Governance Baseline

Fundamental to the evaluation is the establishment of a baseline. Since the focus if the initiative is on ecosystem governance, a starting point, or governance baseline, is a central feature of the initiative, one that is complimented by a series of progress benchmarks to track progress. A governance baseline has two parts. As shown in Figure 2, Part One is a documentation and analysis of how the governance system in a specific place has responded – or failed to respond – to the trajectory of ecosystem change. It examines the long-term trends in both human well-being and the environmental conditions and case studies that examine the processes and outcomes of responses to the issues raised by past and current expressions of societal and environmental change. Part Two outlines a strategic approach to designing a new program, or adapting an on-going program, to address the ecosystem management issues of the place. The program design in Part Two therefore details how the design builds upon the strengths of the existing governance system and works to reduce its weaknesses. Parts One and Two of baseline together form the reference point against which future changes in the ecosystem, the governance system and the efforts of the program will be gauged. The methods encourage a long-term perspective, an appreciation of the roles played by civil society, markets and government and a holistic, ecosystem-based, approach to coastal stewardship.

As a central feature of the M&E system, the baseline for the ICFG Initiative was developed as part of the year 1 work-plan and serves as a basis for the year 2 work-plan asking the questions: where are we now; where are we going; and, what should we look for along the way? The ICFG Initiative governance baseline documents and analyzes the context of the Western region and assumes that a careful documentation and analysis of the existing governance system provides important insights into how best to design a forward looking management and governance initiative within the context of the coastal communities, coastal districts, Western Region, Ghana as a nation and the next larger scale of the Gulf of Guinea LME. The baseline provides a macro reference point against which future systems change can be measured and evaluated. By completing the baseline in year one, it has reminded the team to not oversimplify and fully appreciate where we are and what may change as the program unfolds. We believe that when projects and programs invest in developing governance baselines in respect to complexity and with common conceptual framework, learning is made easier. This is a major asset to learning and the practice of adaptive management, a central feature of the ICFG Initiative.

A governance baseline is a complement to, not a substitute for, an analysis of the other features of a coastal system including its socio-economic and biophysical characteristics. Threats assessments, logic models, as well as a host of other methods will be used when appropriate to apply the ecosystem approach. For example, as the program considers the potential for monitoring marine protected areas, the handbook "How Is Your MPA Doing?" (Pomeroy et al, 2004) offers an approach to evaluating the effectiveness of marine protected area management as other methods are designed to guide the planning and evaluation of coastal wetland (IUCN) and marine conservation sites (The Nature Conservancy, 2000).

The process of developing a governance baseline described in this Project Monitoring Plan do not contradict or compete with these other methods. The baselining methods we present are designed to build a shared understanding within an interdisciplinary team for how current issues have evolved in a specific locale. They are being successfully applied in a wide diversity of social, political and environmental contexts.

B. Process Analysis: The Policy Cycle

Both process and outcomes are tracked as part of the PMP. There are many methods to analyze process by which integrated ecosystem based programs are constructed and evolve (see for example, GESAMP 1996; Cicin-Sain and Knecht 1998; Davis and Hirji, 2003a, b; Dyson et al., 2003; Richter et al., 2003; Jønch-Clausen 2004). A simplifying and widely used framework was offered by the Joint Group of Experts on the Scientific Aspects of Marine Environmental Protection (GESAMP, 1996). The GESAMP policy cycle begins with an analysis of problems and opportunities (Step 1). It then proceeds to the formulation of a course of action (Step 2). Next is a stage when stakeholders, managers, planners and political leaders commit to new behaviors and allocate the resources by which the necessary actions will be implemented (Step 3). This involves formalization of a commitment to a set of policies and a plan of action and the allocation of the necessary authority and funds to carry it forward. Implementation of the policies and actions is Step 4. Evaluation of successes, failures, learning and a re-examination of how the issues themselves have changed rounds out a "generation" of the policy cycle as Step 5.

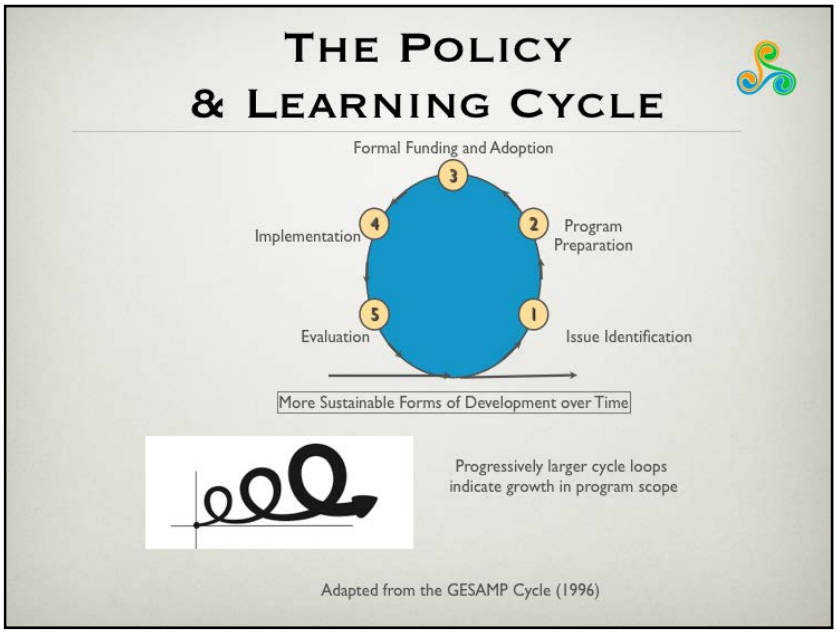


Figure 3: Steps in the Policy Cycle

Ideally, ecosystem governance evolves as a process of sustained learning and adaptation that proceeds through cycles with recognizable steps. As shown in Figure 3 below, successive generations of a program repeat these five steps to address an expanding agenda of issues and/or a larger geographic area. This conceptually simple cycle (Figure 5) is useful because it draws attention to the interdependencies between the steps within each generation and

between successive generations of management. The five steps may be completed in other sequences, as for example, when an initiative begins with enactment of a law (Step 3) that provides the mandate for analyzing issues and developing a detailed plan of action (Steps 1 and 2). Altering the sequence, however, often comes at the cost of efficiency, as when it becomes apparent that the authorities provided by the law prove to be inadequate for implementing the actions that are required. Progress and learning are greatest when there are many feedback loops within and between the steps (GESAMP, 1996; Olsen et al., 1997, 1999).

The reality for many programs of all varieties is that we often see only fragments of unconnected cycles. Particularly for integrating forms of management, a governance baseline often reveals major gaps between repeated efforts at issue analysis and planning (Steps 1 through 3) and implementation of a plan or program of action (Step 4). Too often, subsequent initiatives do not build strategically on a careful assessment of what can be learned by earlier attempts to address the same or similar issues (Step 5).

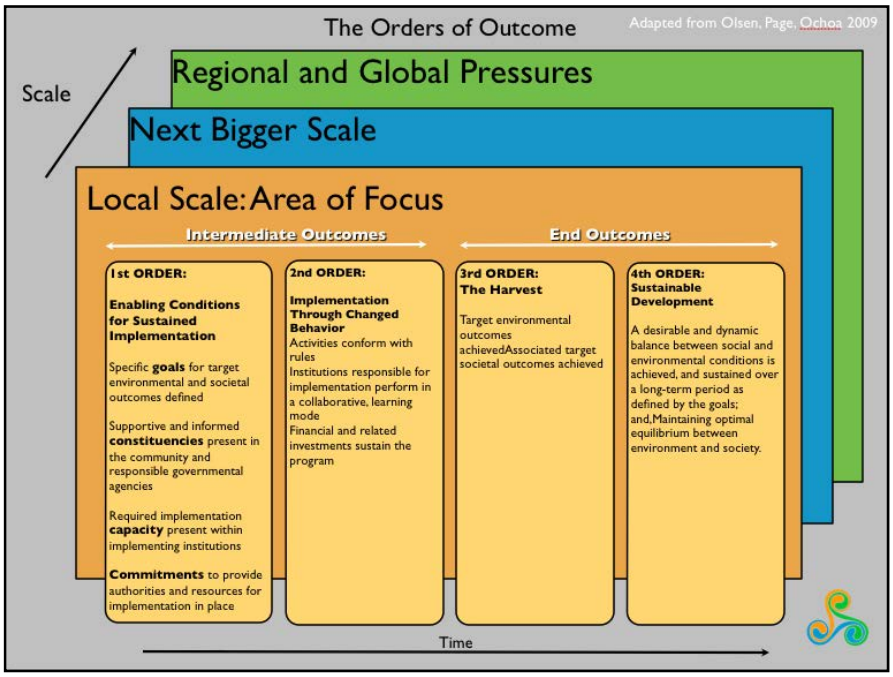


Figure 4: The Orders of Outcome

This element of the baseline graphically displays for each case study the degree to which a generation, or generations of governance completed the steps in the policy cycle.

C. Outcome Analysis: The Orders of Outcome

The policy cycle is a framework for examining the processes of ecosystem governance and for identifying repeated efforts to address an issue or a set of issues in a place. It can identify the presence or absence of learning as a society works to achieve its goals over time. Experience demonstrates repeatedly, however, that a sound processes, with appropriate participation, a technically competent program staff and sustained governmental support, may not deliver the desired outcomes. The Orders of Outcomes framework (Olsen, 2003; UNEP/GPA, 2006; National Research Council, 2008) is designed to compliment the policy cycle by focusing on the sequence of outcomes that are must be achieved when working to realize desired societal and environmental conditions (Figure 4).

The 1st Order Outcomes define the four enabling conditions for the sustained practice of ecosystem-based management. It includes the formal commitments required to implement a plan of action directed at the achievement of defined ecosystem conditions. The outcomes that mark the full scale implementation of a formally approved and sustainably funded plan of action are addressed in the 2nd Order, as changes in the behavior of governmental

institutions, the behavior of the relevant groups exploiting or otherwise affecting ecosystem conditions and the behavior of those making financial investments in the system. An important feature of this third category of 2nd Order change is success in generating the funds required to sustain the program over the long term. The 3rd Order marks the achievement of the specific societal and environmental quality goals that prompted the entire effort. In ecosystems that are much altered by human activities the achievement of a sequence of 3rd Order goals marks the path to more sustainable forms of development that mark the culmination of sustained courses of action that mark achievement of the 4th Order. The following are detailed descriptions of the four enabling conditions.

1st Order Outcomes: Assembling the Enabling Conditions For the Successful Implementation of a Plan of Action

The 1st Order constitutes the threshold of results that are present when an initiative has successfully completed steps 1 through 3 of the policy cycle. Since the ecosystem approach in rooted in learning and experimentation, these three initial steps will have been nourished by the conduct of a number of actions designed to test new approaches to problem solving and build trust among the elements of government, society and markets civil that will need to work together to achieve desired goals. Thus learning by doing is the principle path to building the capacity and the constituencies required to practice the ecosystem approach. The 2nd Order is evidence of the changes in behavior that signals the implementation of the policies, procedures and plan of action of a formally instituted program that is associated with step 4 of the policy cycle.

We begin by examining the degree to which the 1st Order preconditions for effective and sustained implementation were or are present in the case study. Experience in a wide diversity of settings suggests that the transition to implementation can be anticipated only when all four of the following conditions are present:

- A core group of well informed and supportive constituencies composed of stakeholders in both the private sector and government agencies actively support the program,
- Sufficient initial capacity is present within the institutions responsible for the program to implement its policies and plan of action,
- Governmental commitment to the policies of a program has been expressed by the delegation of the necessary authorities and the allocation of the financial resources required for long-term program implementation, and
- Unambiguous goals that address both societal and the environmental conditions have been adopted against which the efforts of the program can be measured.

For each case study examined by a governance baseline the degree to which the 1st Order enabling conditions were successfully assembled will give clues for the traditions and capabilities of governance in that locale as they apply to the issues that past initiatives have addressed. Where the focal point of a past or on-going initiative is the management of natural resources the application of the Orders framework may reveal that the weaknesses lie in lack of clarity, or disagreement over the fundamental goals of the program and weakness or important gaps in the constituencies for that program. In other cases local support may be strong and well informed but sustained governmental commitment has been lacking. Each case study should be examined in terms of its achievements – or absence of achievements – in 1st, 2nd, 3rd Order Outcomes. Some case studies may only reveal 1st Orders results while others may have generated the impacts associated with the 3rd Order. These differences will reveal a wealth of insights into the strengths and weaknesses of the existing governance system as these apply to the practice the ecosystem approach.

2nd Order Outcomes: Behavioral Change

2nd Order outcomes are evidence of the successful implementation of a formally endorsed and adequately funded ecosystem-based program. This includes evidence of new forms of collaborative action among governmental institutions and the actions of state-civil society partnerships, the behavioral changes of resource users and changes in patterns of investment. Unlike the 1st Order, success does not necessarily require results in all three categories. Depending upon the goals of a program, results in one or two of these categories may suffice.

Examples of evidence of new forms of collaborative action among institutions, the functioning of state-civil society partnerships, involvement of the tourism sector in monitoring and surveillance, and the high compliance of resource users with rules governing rates and forms of natural resource exploitation. It is critically important to distinguish between 2nd Order changes in behavior that occur while assembling the enabling conditions from the changes that signal the full scale implementation of the program as a whole.

3rd Order Outcomes: Achievement of Target Environmental and Societal Conditions

3rd Order outcomes mark the achievement of the program's goals as these were defined during the issue selection and planning phase and may have been adjusted during implementation. These outcomes are the rewards for sustained behavioral change in the targeted institutions and groups. Water quality improves, there are more fish, income levels rise, and target communities' engagement in supplemental livelihoods stabilizes or improves.

Good governance practices may be expected to bring additional benefits of strengthened systems of participatory democracy that bring order, transparency, and equity to decision making and to the manner in which resources are allocated. By modeling standards of good governance, ecosystem management programs bring hope, a greater sense of security and belief that the political system can respond to societal needs. The induced changes in behavior can increase the standard of living of coastal residents by improving food security, and provide opportunities to generate income through supplemental employment. Properly managed, diversified income generating activities that improve economic welfare can be related to improvements in the condition of the environment.

Examples of 3rd Order outcomes include:

- Measurable improvements in chemical, physical and biological parameters
- Improved recruitment of priority fish species
- Demonstrable reduction of persistent organic pollutants in the food chain
- Changes in local community income and social conditions as a result of improved environmental conditions
- Reductions in the loading of nutrients and the associated evidence of eutrophic condition

4th Order Outcomes: Towards Sustainable Development

The difference between 3rd and 4th Order Outcomes is that sustainable development requires achieving a dynamic equilibrium among both social and environmental qualities. 3rd Order assessments examine the degree to which a program's societal and environmental goals have been achieved. These are usually limited in scope and can only address the issues upon which the program decided to focus. The 4th Order, on the other hand, surveys the ecosystem as a whole and asks whether the conditions achieved are sufficient to sustain a healthy, just and equitable human society that is sustaining the qualities of the ecosystem of which it is a part. Sustainable development will not have been achieved if, for example, the state of coral reefs of a place are sustained or improved while the people associated with them continue to live in unacceptable poverty. Similarly, sustainable development has not been achieved if some measures of quality of life are high but such achievements are eroding the resource base or

require the exploitation of other social groups. The challenge is vastly complicated by the imperative of defining an acceptable balance in terms of both intergenerational equity and a planetary perspective on both societal and environmental conditions and trends. Recognizing that all living systems are in a constant process of change, sustainable forms of development will be dynamic, not static, and must be capable of responding to the surprises that Mother Nature delivers. This again raises the topic of resilience—the ability of an ecosystem to recover from a stress and to adapt to changing circumstances.

It is important to recognize that some expressions of 1st, 2nd, and 3rd Order outcomes will accumulate concurrently within a given time period. While there are causal relationships between the three orders they are not, and should not, be achieved in a strictly sequential progression. For example, many successful programs experiment at a small geographic scale before attempting to apply new management practices at the national scale. Thus the 1st Order threshold may only be achieved at the national scale when 2nd and 3rd Order outcomes have accumulated at one or more demonstration sites. For the ICFG Initiative, the target will be on building the enabling conditions - or 1st order Outcomes!

D. M&E System Design

In many programs the bulk of monitoring is dedicated to the careful documentation of changes in the conditions of concern to the program such as environmental, societal, economic etc. Typically, much less attention is given to monitoring and assessing progress in the enabling conditions (1st Order outcomes) and with changes in the behaviors of targeted groups (2nd Order outcomes) that are necessary to achieve desired environmental, societal and economic results (3rd Order goals). For the ICFG Initiative we advocate an approach which emphasizes 1st and 2nd Order Outcomes, particularly in such a young program, where we will be working hard to assemble the 1st Order preconditions for successful implementation of our plan of action. Both the changes in human well being and changes in environmental conditions will be defined by carefully selecting 3rd Order goals, as well as a suite of USAID indicators that provide evidence for accomplishment or necessary adjustments for each of the1st and 2nd Order Outcomes. What will be monitored and how the monitoring will be done is, of course, to be determined by the specific annual work plans with corresponding M&E plans.

Given the fact that the ICFG Initiative is such a young program, where the assembly of the 1st Order preconditions is the priority, 2nd Order achievements are the expression of a learning-by-doing approach. In this situation, it is often neither feasible nor strategically appropriate to invest heavily in the research and monitoring of the 3rd Order conditions at the ecosystem scale. It is important, however, that we describe and quantify the environmental and social conditions that are present at the beginning of an initiative (*Our Coast, Our Future* publication) to document what it is that the ICFG initiative is working to change. Yet monitoring designed to track changes in the abundance of fish, water quality in a coastal lagoon, or the income of target social groups such as fishmongers can quickly become a technically challenging, complex, expensive and time consuming undertaking. In cases such as this, monitoring of 3rd Order variables is often a waste of funding and frequently infeasible and the only option is to carefully select a few indicators that will provide future comparison to the baseline conditions.

The ICFG initiative is positioning itself to be a good and thoughtful user of data generated by institutions, researchers and observers external to the program. In many instances sophisticated data, for example changes in land use near the Amansuri Wetlands Complex from remote sensing, may be accessible that, when combined with observations by members of local communities on why and by whom such changes are being made, produce a valuable

record of this form of ecosystem change. Carefully designed methods for recording aspects such as wetland health, carbon offsets and fish landings that make use of inexpensive tools are essential methods that the program will use to involve local people in tracking environmental and social conditions. In complex systems, causality of project interventions to 3rd Oder Outcomes is tenuous at best. Therefore we may be tracking 3rd Order outcomes but not making any real targets for environmental indicators.

The performance of any plan or program can be assessed only if there is objective and verifiable data that are revealing of the dynamics within both the program and the ecosystem it is attempting to influence thus employing a baseline, as described above, that provide a reference point for assessing the progress and performance of a program that has adopted the ecosystem approach.

The purposes of such baselines and the subsequent monitoring of selected variables are three-fold: (1) to promote learning within the program, its partners and its constituency, (2) to provide a foundation for the practice of adaptive governance and (3) to make the program accountable to its funders and stakeholders. A well designed, strategic monitoring system is the foundation for adaptive governance and learning. The key challenge is to make such adaptation and learning a central feature of the culture of the program and all those who contribute to it. This requires making the time and creating the conditions for periodic stock taking and reflection. But a program cannot be always adjusting its investments and an over-emphasis on self examination can lead to indecision and inefficiency. Many programs find that it is best to organize the work in annual work plans and to anchor the preparation of each work plan in a thorough review and self assessment of the progress made and lessons learned over the previous year informed by an identification of changes in the context in which the program is operating that present new challenges and new opportunities. Such annual events should involve all program staff and its partners and may extend over several days. The objective is to make the presentations and discussion substantive, frank and conducted in a manner that encourages trust and transparency. In many cases the presence of trained facilitators is a good investment.

External evaluations are also important and need to make full use of the program's monitoring capacity and results. These bring in fresh perspectives and access to experience and ideas not otherwise easily available to the program. Typically external evaluations are concerned as much with performance as with outcomes. Process evaluations are required by the institutions that are funding a program to assess the internal workings of the program, whether, and how efficiently it is meeting the commitments made to the funder and to identify adjustments to the administration and fiscal management of the program. Process evaluation focuses upon a program's outputs, the number and quality of reports that have been generated, the number of people trained, the equipment and services that have been purchased and the degree to which stakeholders have been consulted. It is most useful when such process evaluation is complimented by outcomes evaluation that assesses the impacts of the program on the environmental and social conditions that are addressed by its goals and fundamental purposes. Such outcome evaluation should seek to objectively the relative contributions of the program's policies and actions to observed social and environmental change.

Building capacity to make the principles of the ecosystem approach an operational reality and in applying methods, such as those presented in this PMP, will remain a major challenge for the ICFG Initiative. Such capacity building will be encouraged by networks at local, national, regional and global scales and by sustained investments in education training and practitioner certifications.

E. Types of Indicators

During the initial four years of the ICFG Program, the emphasis will be placed on achieving the 1st order enabling conditions that are considered essential to achieving this long term goal within a geographic focus area primarily in the Western Region. However, applying an ecosystems based approach requires consideration of larger scales of governance for the Gulf of Guinea Large Marine Ecosystem as a whole. Therefore, some effort will also be placed on improving enabling conditions at the national and regional scale as well.

Many of our indicators span several result areas. For the ecosystem approach, we believe that by not disaggregating the indicators by result areas, it is a more comprehensive. Hectares and Scorecards are summative. Other indicators disaggregate certain aspects such as by gender pr by geography. This goal and the integrated nature of the program mean that the Program will contribute to key strategic objectives of USAID Ghana:

- Democracy and governance (SO1)
- Economic growth (SO2)
- Sustainable management of natural resources and biodiversity conservation (SO2)

USAID Indicator	**USAID SOs and Cross Cutting Themes**
1st Order Enabling Conditions (Result 1)	
Improvements assessed by a governance scorecard (Annex C) addressing goals, constituencies, commitment and capacity dimensions	SO1 Governance
Evidence of ICM and fisheries strategies, plans, policies, bylaws adopted by government w/time bound quantitative environmental & socio-economic targets	SO1 Governance SO2 Economic Growth (biodiversity, food security)
Number of organizations and government agencies strengthened	SO1 Governance SO2 Economic Growth (biodiversity)
Number of stakeholders participating in resource management initiatives, workshops regional meetings/exchange visits	SO1 Governance SO2 Economic Growth (biodiversity), Gender
Number of government personnel, community leaders and private sector stakeholders trained	SO1 Governance Gender
Hectares (terrestrial and marine) in areas of biological significance under improved management: Amansuri - Shama STMA - Cape Three Points (land and seascape) Fisheries (coastline length out to 30 meter depth contour)	SO2 Economic Growth (biodiversity)

USAID Indicator	USAID SOs and Cross Cutting Themes
1st Order and 2nd Order Changed Practices (Result 2)	
Amount of private sector and/or government agency resources ($$) allocated for planning or implementation of ICM and fish management plans or strategies	SO2 Economic Growth (biodiversity, food security)
2nd Order Changed Practices (Result 3)	
Number of rural households that benefit directly from USG Assistance	SO2 (Food Security, Gender)
3rd Order Changed Practices (Goal)	
Average household food group diversity score	SO2 (Food Security, Gender)

F. Targets

The goal of performance management and evaluation is to encourage adaptive management and learning within the Program and to report results to key stakeholders, notably USAID/Ghana. This requires collecting timely information using indicators selected to provide meaningful information on progress towards stated objectives. The Program's Performance Management Plan (PMP) as outlined in this document includes key results, refined performance targets disaggregated by year, specific monitoring parameters, and source(s) of data for each indicator. At this stage, annual targets for some indicators are included as our first approximation of what the ICFG Initiative hopes to achieve and will be reviewed annually and adjusted as necessary based on progress, experience and lessons learned

Indicators and targets for Hen Mpoano disaggregated by Year (FY) and Life of Project (LOP) are provided in the Table below:

No.	Indicator	FY 11 Target	FY 12 Target	FY 13 Target	LOP Target	Life of Project Comments
1	Improvements on a governance scorecard covering, goals, constituencies, commitment and capacity dimensions, including measures that legislation and regulations are being implemented and complied with, and budgetary investments by government in fisheries management	Baselines established	Increasing	Increasing	Increasing	Increasing annually. 4 initiatives tracked – Western region as a whole, and 3 focal areas. Scorecard may be use for tracking smaller scale planning efforts internally (e.g. community wetland plans) but not reported here.

No.	Indicator	FY 11 Target	FY 12 Target	FY 13 Target	LOP Target	Life of Project Comments
2	Evidence of ICM and fisheries strategies, plans, policies, bylaws adopted by govt. w/ timebound quantitative environmental & socio-economic targets	3 Wetlands in STMA	4 (Cape 3 Points and commu-nity wet-lands	1 (Amansuri)	8	
3	Number of CSOs and govt. agencies strengthened such as local NGOs, alliances of NGOs, trade associations or community management committees or advocacy groups (biodiversity), district natural resources offices, etc.	53, qualitative narrative provided in PMP on how each is being strength-ened	53, qualitative narrative provided in PMP on how each is being strength-ened	53, qualitative narrative provided in PMP on how each is being strength-ened	53, qualitative narrative provided in PMP on how each is being strength-ened	53 organizations being strengthened as the main targets. Initiative is working with most of these in Year2 but expects strengthening to continue through end of project so no annual targets, but qualitative narrative of strengthening efforts provided. Friends of the Nation, WERENGO (assn of 45 NGOs), Hotel Operators assn, Oil and Gas platform, NGOs/CSOs getting small grants (~15), Fish. Comm., Costal districts (6), UCC Dept of Geog and Dept of Ocean. and Fish., Community Health Workers college
4	No of stakeholders participating in resource management initiatives, workshops, regional meetings, exchange visits.	Tracked but no target	Tracked but no target	Tracked but no target	Tracked but no target	Tracked but no target
5	Number of government personnel, community leaders and private sector stakeholders trained	100	100	100	300	Total target does not include year 1 - and will be included in the next reporting cycle

No.	Indicator	FY 11 Target	FY 12 Target	FY 13 Target	LOP Target	Life of Project Comments
6	Number of hectares in areas of biological significance under improved management	600 hct (STMA wetlands)	11,100 (Cape Three Points 5,100, CREMA wetlands 6000 hct)	Amansuri – 21,000	32,700	32,700 hct (initial estimates but more precise estimates provided on UCC has district and focal area GIS mapping completed). We plan to disaggregate this by hectares under planning, adoption and implementation phases Amansuri – 21,000 hct Shama - hct TBD STMA wetlands 600 hct Cape Three Points 5,100 Community-based (CREMA) wetlands – 6000 hct
7	Amount of private sector and/or government resources allocated for planning and implementation of ICM and fisheries management plans or strategies	Tracked but no target	Tracked but no target	Tracked but no target	Tracked but no target	Tracked but no targets, expected to be increasing annually
8	Number of rural households that benefit directly from USG Assistance	50	100	150	300	Life of project numbers are cumulative
9	Average household food group diversity score	Tracked but no target	Tracked but no target	Tracked but no target	Tracked but no target	Tracked but no target as impossible to demonstrate or expect project attribution at the community or district scale

G. Data Collection

Responsibilities of ICFG Initiative

For the ICFG Initiative, there is a team-based approach to collecting, analyzing and completing routine semi-annual performance monitoring reports (PMRs). The Project Director has appointed Godfred Ameyaw and Stephen Kankam as PMR coordinators who are responsible for collection of performance management information vis-a-vis each indicator including keeping on file evidences supporting the results reported, and maintaining quality control assurances on data and information collected. These reports are submitted to the USAID AOTR (Agreement Officer Technical Representative) which document progress on

achieving results. These reports include: 1) a comparison of actual accomplishments against the targets established for the period; 2) explanation of quantifiable outputs generated by Project activities; 3) reasons why goals were or were not met. The data reported is supported by evidence collected and filed in the Main field office. Glenn Page of SustainaMetrix will facilitate three monitoring and evaluation learning events (October, March and August) to coincide with the start of year 2, and the two semi-annual reporting periods for the PMRs.

Brian Crawford and others at the CRC home office provide quality control measures to ensure the PMP system is properly implemented through periodic internal auditing of PMR systems. The ICFG Program invests resources in monitoring and reporting to foster learning and adaptive management. Learning and sharing occurs across implementation sites and with other projects and programs. An internal self-assessment is conducted annually in conjunction with the work-planning events. Regular management and annual reporting activities are carried out by the Initiative's senior management team. Main tasks and reporting requirements include:

- Preparation and submission of semi-annual progress reports to USAID/Ghana AOTR (Agreement Officer Technical Representative)
- Timely and regular input of data into the USAID TraiNet for all training activities
- Annual self-assessment of progress and annual workplan preparation and submission by CRC/WWF for approval by USAID
- Collection, analysis and reporting of data to USAID on Program indicators and targets for Program performance monitoring, submitted semi-annually as part of the standard semi-annual progress report
- Financial reports submitted to USAID AO (Agreement Officer) and AOTR from URI

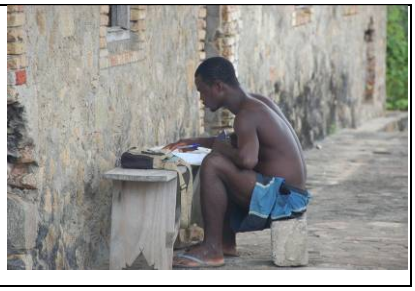
The following table provides a summary of the routine reporting schedule for the ICFG Initiative.

Activity	2010-2014												Responsible Person
	J	F	M	A	M	J	J	A	S	O	N	D	
Routine Reporting													
Monthly activity updates to CRC													MF
Monthly key staff (In-country office w/ CRC) Skype conference calls													BC
Semiannual PMP reporting													MF
Draft semiannual report to URI for review													MF
Review comments from CRC													BC
Semi-annual reports to USAID													MF
Input PMP training data into the USAID TraiNet													KK
Stakeholder progress reporting and annual planning													MF
Workplan to USAID													BC
Workplan approval by USAID													BD
Financial Management													
Monthly account reports from in-country to CRC													MF
Expenditure reports to USAID from CRC/URI													CM

Indicator Definitions/Quality Control

Annex C presents information on each indicator including an indicator definition, unit of measure, how data will be disaggregated, along with data collection and data quality information.





Section 3: Key Results for Phase 2 By Program Components

A. Assumptions

The issues identified in Phase 1 and the strategies and actions for addressing them in Phase 2 were discussed with stakeholders in Takoradi at the end of August 2010. Outcomes of that workshop led us to organize Phase 2 activities into five components presented below along with the key results expected and the associated objectives per component: during phase 2. The specific results associated with each component have been defined above.

B. Component 1: Develop and Formalize a Nested Governance System for the Coastal Zone of the Western Region

- The Advisory Council has successfully developed political support to address the critical coastal and fisheries issues identified in Phase 1.
- Legal and institutional design options that provide alternative approaches of nested and integrated governance that address current issues in the coastal landscape and seascape of the six districts in the Western Region have been developed

C. Component 2: Improve Governance of the Landscape

- Management planning that is inclusive of all stakeholders is well advanced for the three focal and biologically rich natural areas as well as several smaller wetland sites.
- Networks and formal collaborative programs have been established for the conservation of these same biologically rich areas as well as for the sea turtles.
- Programs are developed and evolving relative to diversified livelihoods and value chain improvements for fisherfolk in coastal communities.
- Family planning programs have been re-introduced to coastal communities through collaborative programs.
- Several additional regional partner organizations have become active in the Initiative and have received capacity building support.
- Information on and consideration of ecological functions and services has been integrated into land use planning for the Cape Three Points areas of the STMA and the Takoradi – Axim Corridor project.
- Officials in four district offices are trained and equipped in land use and economic planning.
- Feasibility report and action plan developed for accessing REDD funding.
- Small grants program has developed procedures and improved strategies for delivering programmatic components through local and regional associations and NGOs and a minimum of 15 small grants are awarded to local civil society groups for conservation initiatives in the three focal areas.
- A collaborative action plan on value chain enhancement is underway in partnership with the ACDI-VOCA ADVANCE Program.

D. Component 3: Improve Governance of the Seascape

- Alternative fisheries data collection systems that improve understanding of changes in effort are being piloted together with the Fisheries Commission
- Fisheries stakeholders in the Western Region have identified and recommended to government how development of fisheries regulations can be improved and how improved compliance can be promoted
- Enforcement actions by government are improved in terms of better at sea and shore based surveillance and prosecutorial practices.
- Alternatives for nested systems for co-management of the fisheries as well as Community leaders and regional authorities are actively promoting MPAs and institutional mandates have been proposed for co-management
- Likely sources and causes of the "green-green" algae proliferations have been identified and recommendations to address causes or mitigate impact have been made.

E. Component 4: Build Capacity for the Governance of the Coastal Zone and Marine Fisheries

- Targeted partner agencies and district government personnel have developed new capabilities to apply best practices in integrated coastal planning and associated climate change vulnerability and adaptation, as well as local scale conservation planning.
- Educational programs are developed and being tested for the secondary schools that facilitate involvement in participatory monitoring programs
- Several professional training and academic programs are evolving within the Universities of Ghana and Cape Coast that better address critical issues of ICM and fisheries co-management
- A communications program is targeting coastal communities with visual and radio mediums that build stakeholder awareness of critical coastal zone issues and ways they can change individual practices that contribute to solutions
- There is in place a unified and strong civil society platform that can successfully engage the oil and gas industry, as well as the Government of Ghana, in addressing the evolving social and ecological concerns and in putting in place measures that can potentially help avoid symptoms of the "curse" of oil exploitation

F. Component 5: Monitor and Evaluate Progress and Learning

- With partners and stakeholders, the initiative is implementing a creative M&E system that measures progress and re-orients interventions based upon a common participatory learning process, and which acts as a "social thermometer" that measures quality of life and food security in the Western Region.
- The Initiative is piloting a carbon neutral approach for the Initiative in Ghana by accounting for emissions and assessing options for offsetting actions

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Section 4: Additional Information Monitoring

A. Environmental Monitoring and Compliance

The Initial Environmental Examination (IEE) was submitted in December 2009 subsequent to submission of this first implementation workplan. Monitoring schemes were put in place in Year 1 to ensure no significant environmental impacts are occurring for those actions or projects which are identified as possibly causing minor environmental impacts. In Year 1, almost all of the activities fall under categorical exclusions (e.g. trainings, meetings, assessments, environmental surveys). There are no plans at this time to implement gear exchanges, which in some instances can have an impact on endangered species of marine mammals or marine turtles depending on the type of gear exchanged and the type of new gear provided.

Some of the small grant activities, notably relative to small grants for sanitation or diversified livelihoods programs, are anticipated to require some monitoring and may require minor mitigation measures to avoid any significant impacts. These are any early actions taken at some of the coastal landing sites—e.g., possible construction of water and sanitation systems or other minor infrastructure improvements, and/or construction of small scale marketing, processing or landing facilities. Possible mitigation measures include actions to reduce erosion or sedimentation into adjacent water bodies during and after construction, to ensure proper siting of wells or bore holes dug. The specific actions will depend on results of the participatory appraisals, the needs identified by the communities, and the results of the feasibility studies.

B. Social Indicators

The program is considering developing a “social thermometer” that will aggregate data collected from other sources relevant to the social context of the focal areas as well as collect some modest data on dietary and livelihoods indicators relative to local perceptions to quality of life that could link to education, quality of life, and critical issues such as social impact of oil and gas.

C. Carbon Neutral Approach

As noted above, the Initiative will be piloting a carbon neutral approach for the initiative in Ghana by accounting for emissions and assessing options for offsetting actions. This will include an estimate of international flights and offer a voluntary contribution to carbon offset programs such as mangrove restoration in the focal areas.

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Annex A: Ecosystem Governance Process Scorecard with Indicators

Baseline Conditions as of October 1, 2010 for the Process of Establishing a Nested Governance Program for the Coastal Zone of the Western Region: Steps and Actions of the Management Cycle.

STEP	INDICATORS 0= NOT INITIATED; 1= UNDERWAY; 2= COMPLETED	HEN MPOANO PROGRESS		
		0	1	2
Step 1: **Issue Identification and Assessment**	• Principal environmental, social and institutional issues and their implications assessed	•	X	•
	• Major stakeholders and their interests identified	•	X	•
	• Issues upon which the Hɛn Mpoano will focus its efforts selected	•		X
	• Goals of the initiative defined	•	X	•
	• Stakeholders actively involved in the assessment and goal setting process	•	X	•
Comments on Progress in Step 1: The issues and objectives for actions undertaken in both the landscape and the seascape will be defined in greater detail in consultation with stakeholders as phase 2 of the Hɛn Mpoano Initiative unfolds.				
Step 2: **Design of a Nested Governance Program for the Coastal Zone of the Western Region**	• Scientific research on selected management questions conducted		X	•
	• Boundaries of the area of focus defined (coastal zone, Western Region of Ghana)	•	X	
	• Baseline conditions documented	•	X	
	• Institutional framework for the nested governance system designed	X	•	•
	• Institutional capacity for implementation developed	X		•
	• Pilot activities implemented at selected sites model necessary changes in behavior of resource users and governance institutions	X	•	•

STEP	INDICATORS 0= NOT INITIATED; 1= UNDERWAY; 2= COMPLETED	HEN MPOANO PROGRESS		
		0	1	2
Comments on Progress in Step 2: As of this baseline, Step 2 activities of Hɛn Mpoano have been defined but the implementation of specific actions on the landscape and seascape are yet to begin. The seaward extent of the area of focus for the Hɛn Mpoano Initiative where actions are to be undertaken will be refined as strategies to support new fisheries regulations are defined.				
Step 3: **Formal Adoption and Funding of a Nested Governance Program for the Coastal Zone of the Western Region**	• Policies/plan formally endorsed and authorities necessary for their implementation provided	X	•	•
	• Funding required for program implementation obtained	X	•	•
Comments on Progress in Step 3: The Hɛn Mpoano Initiative hopes to catalyze the actions associated with Step 3 by 2014. The activities undertaken in Step 2 are being designed to create the capacity and political will required by the formalization of a sustained coastal governance program.				
Step 4: **Implementation of a formally constituted Nested Governance Program for the Coastal Zone of the Western Region**	• Behaviors of strategic partners monitored, strategies adjusted	X	•	•
	• Societal/ecosystem trends monitored and interpreted	X	•	•
	• Investments in necessary physical infrastructure made	X	•	•
	• Progress and attainment of goals documented	X	•	•
	• Major stakeholder groups sustain participation	X	•	•
	• Constituencies, funding and authorities sustained	X	•	•
	• Program learning and adaptations documented	X	•	•
Comments on Progress in Step 4: The implementation of a future coastal program for the Western region will be informed by the pilot scale activities undertaken				
Step 5:	• Program outcomes documented	X	•	•

STEP	INDICATORS 0= NOT INITIATED; 1= UNDERWAY; 2= COMPLETED	HEN MPOANO PROGRESS		
		0	1	2
Self Assessment and External Evaluation	• Management issues reassessed	X	•	•
	• Priorities and policies adjusted to reflect experience and changing social/environmental conditions	X	•	•
	• External evaluations conducted at junctures in the program's evolution	X	•	•
	• New issues or areas identified for inclusion in the program	X	•	•

Comments on Progress in Step 5: Monitoring and evaluation lies at the heart of adaptive ecosystem governance and will be a major feature of both Hɛn Mpoano and the nested governance program that it hopes to catalyze. During Phase 2 of Hen Mpoano, the results of monitoring will be the basis for self assessments and adjustments to the program's activities. In Phase 3, the progress made towards establishing a sustained governance program will be evaluated as a source of experience for a national coastal and fisheries governance program.

Annex B: Ecosystem Governance Outcome Scorecard with Indicators

Baseline Conditions as of October 1, 2010 for the Process of Establishing a Nested Governance Program for the Coastal Zone of the Western Region: Progress in Assembling the Enabling Conditions (1st Order Outcomes). The Hɛn Mpoano initiative hopes to instigate the establishment of a formally constituted governance program for the Western Region by working over a four year period to assemble the First Order enabling conditions for such a program. Table A.2 below serves as a baseline in the form of ratings for indicators for the four major categories of enabling conditions for such a future program. These indicators will be reviewed semi-annually as a basis for documenting progress, discussing what is being learned and adjusting the initiative's strategies. First and second Order baselines at for selected program elements (such as fisheries, community management and protected areas) will be developed in the first half of Year 2 of the program and subsequently updated through a Monitoring and Evaluation (M and E) program.

KEY QUESTIONS	0	1	2	3	RANK TIME 1	RANK TIME 2
Unambiguous Goals (3 Indicators)						
Have management issues been identified and prioritized by the Hɛn Mpoano Initiative?	no action to date	broad issues identified by project team; some stakeholder involvement	specific issues identified with stakeholders; prioritization underway	issues have been identified and prioritized with stakeholders	2	
Justification for the ranking: The community surveys, a series of technical reports and the Our Coast document have identified the issues associated with trends in the social and environmental conditions and current human activities in the coastal zone. To varying degrees the issues have been discussed with stakeholders but the process of prioritization, the setting of objectives and selecting the strategies for addressing them - is incipient. As Phase 1 draws to a close, these crucial decisions are being addressed through the preparation of the Phase 2 workplan and initial discussions with the Advisory Council.						
Do the Hɛn Mpoano Initiative goals define both desired societal and environmental conditions?	no goals defined	goals are being negotiated with stakeholders but have not been formalized	desired long-term goals address either societal or environmental outcomes	goals define both desired societal and environmental outcomes	1	
Justification for the ranking: A long term goal (10-20 years) for the coasts and fisheries of Ghana to which Hen Mpoano hopes to contribute was defined in broad terms in the submission to USAID. Specific societal and environmental goals at the scale of the coastal zone of the Western Region have been discussed with participants in general terms.						

KEY QUESTIONS	0	1	2	3	RANK TIME 1	RANK TIME 2
Are the Hɛn Mpoano Initiative goals detailed through time bound and quantitative targets (how much, by when)?	no targets defined	targets are expressed in non-quantitative terms	targets specify either a date or a quantitative measure, but not both	targets have been defined in quantitative terms (how much, by when)	0	
Justification for the ranking: Specific goals for a future coastal zone governance program for the Western Region have not been discussed with stakeholders. Quantitative targets as required by USAID are in the process of being defined for some elements of the program.						
Constituencies (3 Indicators)						
Do the user groups who will be affected by the actions of the Hɛn Mpoano Initiative understand and support its goals, strategies and targets?	many important user groups are unaware of the program's goals, strategies and targets	user groups are aware of program's goals and targets but the degree of support varies	with a few important exceptions, user groups understand and support the program	relevant user groups understand program goals and targets and actively support them	1	
Justification for the ranking: While many important groups in government, civil society and the market are aware of the program they do not yet know its goals, strategies or targets since these have thus been expressed only in general terms.						
Is there public support for the Hɛn Mpoano Initiative?	there is little public awareness of the program	public awareness is incipient	public support is building up due to public education efforts, positive press coverage, endorsements from community leaders	surveys reveal that there is wide public support for the program and its goals and targets	1	
Justification for the ranking: During Phase 1 of the Initiative, selected stakeholders have participated in workshops and the community survey introduced the program to residents on coastal settlements. Media attention has been growing and a detailed communications plan is being developed.						

KEY QUESTIONS	0	1	2	3	RANK TIME 1	RANK TIME 2
Do the institutions that will assist in implementing Hɛn Mpoano understand and support its agenda?	there is little awareness of the program within institutions that will be important partners during implementation	while pertinent institutions are aware of the program their degree of support is unclear	with few exceptions pertinent institutions understand and support the program and have publicly endorsed it	program recognized as important and legitimate by institutions that will be involved in implementing plan of action	1	
Justification for the ranking: Institutions believed to be important to the implementation of the program have agreed to serve on the Advisory Council. Traditional Chiefs have been invited to program events and have expressed interest in the program as have the planners in the coastal districts and at the regional level, representatives of some national agencies and the Fisheries Commission as well as several university faculty members have begun to participate in program activities.						
Formal Commitment (3 Indicators)						
Have the Hɛn Mpoano Initiative policies and plan of action been formally approved by the appropriate level of Ghanaian government?	formal approval process has not been initiated	there is a governmental mandate for the initiative	policies and actions are being negotiated with approving authorities	plan of action and policies have obtained approval required for implementation	0	
Justification for the ranking: A proposal for a nested governance system for the coastal zone of the Western Region of Ghana has not been initiated.						
Has the government provided the Hɛn Mpoano Initiative with the authorities it needs to successfully implement its plan of action?	no government support	acknowledgement by some leaders of necessary authorities needed	commitments negotiated between government representatives and responsible institution(s)	formal commitment (law, decree, or decision) cements legitimacy of program	0	
Justification for the ranking: While collaborative relationships have been established with governmental institutions in the Western Region and at the national level, a proposal for a nested governance system for the coastal zone of the Western Region of Ghana has not been initiated.						
Have sufficient financial resources been committed to fully implement the program over the long term?	no financial resources committed for implementation of plan of action	some pledges and commitments, but significant funding gap remains	adequate short term funding (3-5 years) secured for program design	sufficient financial resources in place to fully implement program over long term	2	

KEY QUESTIONS	0	1	2	3	RANK TIME 1	RANK TIME 2
Justification for the ranking: USAID has committed to fund the project for an initial 5 year period. Similarly the World Bank is planning major investments in fisheries reforms at the national scale and other donors are sponsoring activities that can contribute to the outcomes promoted by this program. However, no proposal for a Western Region fisheries and coastal governance program has been to the government. This proposal is anticipated to emerge in years 3 and 4 of the program.						
Institutional Capacity (5 Indicators)						
Does the Hɛn Mpoano Initiative possess the human resources to implement its plan of action?	no personnel have been assigned responsibility for program implementation	staffing for program implementation is inadequate	staffing is adequate in some institutions but not in others	sufficient human resources are in place to fully implement the program	2	
Justification for the ranking: Staffing appears to be adequate for the initial implementation for the Phase 2 Workplan. Capacity to practice the ecosystem approach in the Districts and in institutions responsible for fisheries is weak. Capacity building needs are being identified and are being addressed through a variety of activities.						
Has the Hɛn Mpoano Initiative demonstrated their capacity to implement its plan of action?	institutional capacity necessary to implement program is not present	institutional capacity to implement program is marginal	in some key institutions institutional capacity is adequate but there are important weaknesses in others	sufficient institutional capacity is present in institutions with responsibilities for implementing program	2	
Justification for the ranking: The Hɛn Mpoano team is building its internal capacity through a combination of training and learning by doing activities. Capacity in partner institutions at the regional and national levels in many instances is weak. Capacity building needs are being identified and are being addressed through a variety of activities.						
Has the Hɛn Mpoano Initiative demonstrated the ability to practice adaptive management?	no evidence of adaptive management	practice of adaptive management is incipient and is being expressed as minor adjustments to operational procedures	important institutions engage in periodic self assessments and have modified their behavior based on experience and learning	program as a whole has demonstrated its ability to learn and adapt by modifying important targets and/or policies	1	
Justification for the ranking: It is not possible to assess the practice of adaptive management at such an early stage of a new initiative.						

KEY QUESTIONS	0	1	2	3	RANK TIME 1	RANK TIME 2
Is the focal area for Hɛn Mpoano, the coastal zone of the Western Region, structured as a decentralized planning and decision making system?	power and responsibility are concentrated at one level in governance system	program provides for some responsibility and initiative at various levels	decision making and responsibility is decentralized but there are significant coordination issues	program successfully integrates top-down and bottom-up initiative; it is structured as a decentralized system without sacrificing efficiency	1	
Justification for the ranking: While the decentralization of government has in actuality retained power and authority within central government, there are nonetheless opportunities for building a decentralized system.						
Have important actions and policies been successfully tested at the pilot scale?	No pilot programs have been initiated	Pilot programs are underway to assess viability of actions and policies	Pilot programs are completed and outcomes have shaped actions and policies	Action plans and policies have been successfully tested at pilot level	1	
Justification for the ranking: Pilot activities are being designed at the time of this baseline.						

Annex C: Detailed Description of Indicators

Indicator #1

Result Area: Enabling conditions for a integrated approach to coastal and fisheries governance in the Western Province and at the national and regional scale are assembled
PERFORMANCE INDICATOR REFERENCE SHEET
Indicator Number: 1 (First Order Enabling Conditions - Result 1)
Name of Indicator: Improvements on a governance scorecard covering, goals, constituencies, commitment and capacity dimensions, including measures that legislation and regulations are being implemented and complied with, and budgetary investments by government in fisheries management
DESCRIPTION
Precise Definition(s): Governance capacity includes the enabling conditions (goals, constituencies, human resource capacity, and commitment of government of resources and funds) and related behaviors of management institutions, resource users, and evidence of physical infrastructure development. The scorecard used is adapted from a scorecard based on governance indicators in UNEP/GPA Ecosystem Based Management Guide and the LOICZ Handbook on The Analysis of Governance responses to Ecosystem Change
Unit of Measure: Number. (summed score on various dimensions of governance)
Disaggregated by: Focal areas and program as a whole
Justification & Management Utility: The purpose of this indicator is assessing the degree to which enabling conditions from a holistic perspective are in place as a necessary precondition for effective governance. Weak governance is considered a key constraint to sustainable management of fisheries resources
PLAN FOR DATA ACQUISITION BY CCP
Data collection method: Facilitated discussion on each of the more than a dozen governance dimensions and determining a consensus score of from 1-5, supplemented by explanation of reasons for the specific score. Once all dimensions are scored, scores are summer for a total score.
Method of data acquisition by CRC/URI Convening of small expert group to score each governance dimension
Data Source: Summary report of expert group assessment
Frequency and timing of data acquisition: Annually.
Estimated Cost of Data Acquisition: $8000/year (does not include embedded costs of salaries, meetings, travel etc.)
Individual responsible at CRC/URI: Field site M and E coordinator
DATA QUALITY ISSUES
Date of Initial Data Quality Assessment: March 2011 for the focal areas - September 2010 for the Program as a whole
Known Data Limitations and Significance (if any): While a numeric score is provided for each management system which makes for ease of comparison over time and between fisheries, the score is based on expert opinion or judgments of people familiar with the fishery and may be subject to some bias
Actions Taken or Planned to Address Data Limitations: Adaptive program adjustments based on response to scorecard results
Date of Future Data Quality Assessments: August 2011, and semi-annually afterwards
Procedures for Future Data Quality Assessments: in large groups across all components with core initiative partners
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING
Data Analysis:
Presentation of Data:
Review of Data:
Reporting of Data:
OTHER NOTES
Notes on Baselines/Targets:
Other Notes:
PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2009			Baseline set in 2010 for the initiative as a whole (see PMP manual for the results of the scorecard for the initiative as a whole) The baseline for the focal areas will be conducted in March 2011
2010	Increasing score		
2011	Increasing score		
2012	Increasing score		
THIS SHEET LAST UPDATED ON: 13OCT/2010			

Indicator #2

Result Area : Enabling conditions for a integrated approach to coastal and fisheries governance in the Western Province and at the national and regional scale are assembled

PERFORMANCE INDICATOR REFERENCE SHEET			
Indicator Number: 2 (First Order Outcome, Result 1)			
Name of Indicator: Evidence of ICM and fisheries strategies, plans, policies, bylaws adopted by govt. w/ timebound quantitative environmental & socio-economic targets			
DESCRIPTION			
Precise Definition(s): This definition is not just a count of the plans and strategies that have been formally adopted. The plan or strategy must be adopted and then the specifics of the plan examined and a judgment made by expert opinion as to whether the goals are clearly defined in quantifiable and timebound language			
Unit of Measure: Qualitative			
Disaggregated by: Focal areas and districts			
Justification & Management Utility: This indicator is to determine to what degree are the policies and plans being adopted include quantifiable and timebound goals. Absence of such goals often leads to poor implementation so this is one indicator of the quality of such plans and strategies			
PLAN FOR DATA ACQUISITION BY CCP			
Data collection method: Collection of policy or plan adopted by the Program and then review by an expert to determine degree that goals are well quantified			
Method of data acquisition by CRC/URI Copying of report and review by expert opinion			
Data Source: Short Report by expert on each policy, strategy, etc.			
Frequency and timing of data acquisition: Annually			
Estimated Cost of Data Acquisition: $500/ year for visits to focal area and districts (does not include embedded costs of salaries, meetings, travel etc.)			
Individual responsible at CRC/URI: Field site M and E coordinator			
DATA QUALITY ISSUES			
Date of Initial Data Quality Assessment: October/November 2011			
Known Data Limitations and Significance (if any): This indicator assesses whether the plan or policy is well written from a goal perspective, or adopted, but does not indicate how well it is implemented			
Actions Taken or Planned to Address Data Limitations: Internal indicators will be developed			
Date of Future Data Quality Assessments: Semi-annually			
Procedures for Future Data Quality Assessments: To be determined			
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING			
Data Analysis:			
Presentation of Data:			
Review of Data:			
Reporting of Data:			
OTHER NOTES			
Notes on Baselines/Targets:			
Other Notes:			
PERFORMANCE INDICATOR VALUES			
Year	**Target**	**Actual**	**Notes**
2009			No evidence of ICM policies exist
2010			Some progress on urban wetlands and funding of small grants for 5 wetland areas - all which we believe will lead to district policies and or bye-laws
2011			
2012			
THIS SHEET LAST UPDATED ON: 13OCT/2010			

Indicator #3

Result Area : Enabling conditions for a integrated approach to coastal and fisheries governance in the Western Province and at the national and regional scale are assembled
PERFORMANCE INDICATOR REFERENCE SHEET
Indicator Number: 4 (First Order Enabling Condition, Result 1)
Name of Indicator: Number of CSOs and govt. agencies strengthened such as local NGOs, alliances of NGOs, trade associations or community management committees or advocacy groups (biodiversity), district natural resources offices, etc
DESCRIPTION
Precise Definition(s): Government agencies include line agencies responsible for fisheries management such as the department of fisheries, or supporting agencies such as the NEA or Department of Parks and Wildlife Conservation, as well as co-management committees with community and private sector membership such as hotel operators willing to commit to sea turtle conservation. Strengthened means they have been provided training, materials or other assistance to build capacity. Created means legally formed through a decree, ordinance or law by national or local government, or through traditional practices of a village council or tribal chief.
Unit of Measure: Number.
Disaggregated by: CSO/Government/Private Sector Alliances
Justification & Management Utility: The purpose of this indicator is to determine if the main government agencies and management institutions created or tasked with management responsibilities are being properly targeted and assisted in building their capability to carry out their duties and responsibilities
PLAN FOR DATA ACQUISITION BY CCP
Data collection method: Collection of project and partner documents that shows activities undertaken to strengthen the respective institution
Method of data acquisition by CRC/URI Copying of project records or records of local partners
Data Source: project and partner documents
Frequency and timing of data acquisition: Semi-annually.
Estimated Cost of Data Acquisition: $500/year (does not include embedded costs of salaries, meetings, travel etc.)
Individual responsible at CRC/URI: Field site M and E coordinator
DATA QUALITY ISSUES
Date of Initial Data Quality Assessment: 30 September, 2010
Known Data Limitations and Significance (if any): Number of agencies strengthened does not tell you if the most important agencies or bodies have been strengthened without accompanying narrative to that effect. In addition number alone does not tell the degree to which each body has been strengthened, however, that measure attempts to be captured through the governance scorecard for selected focal areas, but at a systems scale not at an individual agency level.
Actions Taken or Planned to Address Data Limitations: CRC will also assess how organizations who receive training through USG Assistance put training to use.
Date of Future Data Quality Assessments:
Procedures for Future Data Quality Assessments:
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING
Data Analysis:
Presentation of Data:
Review of Data:
Reporting of Data:
OTHER NOTES
Notes on Baselines/Targets:
Other Notes:

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2009			Targets set in 2010 - these are cumulative numbers
2010	30	30	Initial steps for strengthening most of these organizations. During one training, 45 individual organizations have been strengthened as part of the WERENGO Alliance
2011	45		We intend to report 15 additional as these are cumulative
2012	50		We intend to report 5 additional as these are cumulative
THIS SHEET LAST UPDATED ON: 30 SEPTEMBER 2010			

Indicator #4

Result Area : Enabling conditions for a integrated approach to coastal and fisheries governance in the Western Province and at the national and regional scale are assembled

PERFORMANCE INDICATOR REFERENCE SHEET			
Indicator Number: 5 (First order Enabling Condition Result, #1)			
Name of Indicator: No of stakeholders participating in resource management initiatives, workshops, regional meetings, exchange visits.			
DESCRIPTION			
Precise Definition(s): Number of stakeholders participating is defined as all persons participating in a substantive way in an exchange visit or meeting. This would not include administrative support staff, drivers, etc. It includes resource users and government officials and other stakeholders - fish buyers, exporters, processors, etc			
Unit of Measure: Number.			
Disaggregated by: Location and Gender			
Justification & Management Utility: This indicator documents that there are processes underway that provide opportunity for dialogue and discussion among stakeholders to resolve issues concerning management as well as drawing lessons about what works and does not work concerning effective management and that may have applicability or transferability in each country.			
PLAN FOR DATA ACQUISITION BY CCP			
Data collection method: Collection of information on project and partner activities			
Method of data acquisition by CRC/URI: Collection of information from project documents			
Data Source: Project and partner documents			
Frequency and timing of data acquisition: Semi-annually.			
Estimated Cost of Data Acquisition: $500/year (does not include embedded costs of salaries, meetings, travel etc.)			
Individual responsible at CRC/URI: Field site M and E coordinator			
DATA QUALITY ISSUES			
Date of Initial Data Quality Assessment: To be collected in October 2010, semi-annually afterwards			
Known Data Limitations and Significance (if any): Meetings alone do not tell us the degree to which the management issues and policy needs are being addressed, but are a process indicator and a good benchmark that actions are being taken to achieve that longer term result.			
Actions Taken or Planned to Address Data Limitations: Getting to know more about project partners activities			
Date of Future Data Quality Assessments: Semi annually			
Procedures for Future Data Quality Assessments: Getting to know more about project partner activities			
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING			
Data Analysis: Data will be analyzed semi-annually and reported to relevant stakeholder			
Presentation of Data: Data will be presented to relevant stakeholders			
Review of Data: Data will be reviewed in a working group format with the people who are collecting the data to ensure data quality			
Reporting of Data: Data will be reported to USAID in semi-annual reports			
OTHER NOTES			
Notes on Baselines/Targets:			
Other Notes:			
PERFORMANCE INDICATOR VALUES			
Year	**Target**	**Actual**	**Notes**
2009			
2010			
2011			
2012			
THIS SHEET LAST UPDATED ON:			

Indicator #5

Result Area : Enabling conditions for a integrated approach to coastal and fisheries governance in the Western Province and at the national and regional scale are assembled

PERFORMANCE INDICATOR REFERENCE SHEET

Indicator Number: 6 (First Order Enabling Condition, Result #1)

Name of Indicator: Number of government personnel, community leaders and private sector stakeholders trained

DESCRIPTION

Precise Definition(s): This indicator tracks the number of individuals (gender disaggregated) that are trained. It will measure participation in a broad range of training activities, including classroom trainings, workshops, study tours, and twinning (mentoring). Regional trainings will not be reported under this indicator.

Unit of Measure: Number of persons

Disaggregated by: Trained in Natural Resources Sector vs Fisheries (under Agriculture) value chain and other diversified livelihood improvement training. These will also feature a gender disaggregation.

Justification & Management Utility: The purpose of this indicator is to measure the number of people who receive training and/or mentoring on natural resources management

PLAN FOR DATA ACQUISITION BY CCP

Data collection method: Collection of project records and summing of numbers of participants trained

Method of data acquisition by CRC/URI Copy of TraiNet records and document, printout of TraiNet web reporting entries

Data Source: TraiNet reporting records

Frequency and timing of data acquisition: Semi-annually

Estimated Cost of Data Acquisition: $500/year (does not include embedded costs of salaries, meetings, travel etc.)

Individual responsible at CRC/URI: Field site M and E specialist

DATA QUALITY ISSUES

Date of Initial Data Quality Assessment: 30 September 2010

Known Data Limitations and Significance (if any): Indicator is a simple measure of the number of individuals that are reached by training programs. It does not measure the quality of trainings or the extent to which individuals use the knowledge gained.

Actions Taken or Planned to Address Data Limitations: TraiNet records accurately documented

Date of Future Data Quality Assessments: Semi-annually in March and August of every year

Procedures for Future Data Quality Assessments: Based on findings from initial data quality assessments

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: Data will be analyzed soon after data collection

Presentation of Data: Data will be presented to relevant government agencies local communities and private sector stakeholders

Review of Data: Data will be reviewed in a working group format with the people who are collecting the data to ensure data quality

Reporting of Data: Data will be reported to USAID on a semi-annual basis

OTHER NOTES

Notes on Baselines/Targets: Baseline is collected in 2010 with targets set is subsequent years

Other Notes:

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2009			Targets set in 2010
2010			
2011			
2012			

THIS SHEET LAST UPDATED ON: OCTOBER 2010

Indicator #6

Result Area: Enabling conditions for a integrated approach to coastal and fisheries governance in the Western Province and at the national and regional scale are assembled

PERFORMANCE INDICATOR REFERENCE SHEET

Indicator Number: 7 (First Order Enabling Condition, Result 1)

Name of Indicator: Number of hectares in areas of biological significance under improved management

DESCRIPTION

Precise Definition(s): Area under improved management indicates that there are specific locations within each of the three focus area have undergone a management process that is laying the groundwork for improving environmental and resource conditions. Improved management includes activities that promote enhanced management of natural resources for the objective of conserving biodiversity in areas that are identified as biologically significant through national regional or global priority setting processes. Management should be guided by a stakeholder endorsed process following principles of sustainable natural resource management and conservation. Management plans or strategies developed are some examples. The area claimed as improved for fisheries management plans is the range of fishing fleet targeting stocks covered, or area of community managed zones, including no-take areas, or area of any officially designated MPA (Marine Park or fishery no-take reserve).

Unit of Measure: Number of hectares

Disaggregated by: Focal areas and specific planning areas within the focal sites, as well as by areas (1) under planning, (2) plans adopted and (3) plans being implemented

Justification & Management Utility: The purpose of this indicator is to document the geographic extent of natural resources falling under improved management regimes as part of supported field activities.

PLAN FOR DATA ACQUISITION BY CCP

Data collection method: GIS mapping of area and review of management plans or other relevant documents.

Method of data acquisition by CRC/URI copies of documents and GIS maps

Data Source: project records, and records from government sources (districts)

Frequency and timing of data acquisition: Semi-annually

Estimated Cost of Data Acquisition: $5000 per management area (does not include embedded costs of salaries, meetings, travel etc.)

Individual responsible at CRC/URI: Field site M and E specialist

DATA QUALITY ISSUES

Date of Initial Data Quality Assessment: March 2011

Known Data Limitations and Significance (if any): A good indication of natural resource governance but it does not show if the management had an impact on changing natural resource conditions.

Actions Taken or Planned to Address Data Limitations: Data will be collected by a qualified and competent GIS person such as CRC, Cape Coast university or other government sources.

Date of Future Data Quality Assessments: August 2011 and semiannually afterwards.

Procedures for Future Data Quality Assessments:

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: Data will be analyzed by a competent GIS specialist, likely from CRC

Presentation of Data: Data will be presented to relevant government agencies, CRC partners and relevant local communities

Review of Data: Data will be reviewed accuracy by the GIS specialists

Reporting of Data: There will be annual reporting of data to USAID and relevant government agencies

OTHER NOTES

Notes on Baselines/Targets: A baseline will be set in October 2010

Other Notes:

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2009			Targets set at end of Year 1
2010			
2011			
2012			

THIS SHEET LAST UPDATED ON: OCTOBER 2010

Indicator #7

Result Area : Enabling conditions for a integrated approach to coastal and fisheries governance in the Western Province and at the national and regional scale are assembled			
PERFORMANCE INDICATOR REFERENCE SHEET			
Indicator Number: 3 (First Order Enabling Conditions, Result 1)			
Name of Indicator: Amount of private sector and/or government resources allocated for planning and implementation of ICM and fisheries management plans or strategies			
DESCRIPTION			
Precise Definition(s): This indicator documents the amount of budgetary resources committed to implementation of a plan or policy			
Unit of Measure: Number in US $			
Disaggregated by: Government, Civil Society and Public/Private Partnerships			
Justification & Management Utility: The purpose of this indicator is to determine degree of commitment to implement plans and policies that are formally adopted. IEHA indicator for public/private alliances is embedded here.			
PLAN FOR DATA ACQUISITION BY CCP			
Data collection method: Compilation of budget information from district and regional government offices and private sector and CSO groups			
Method of data acquisition by CRC/URI: copy of relevant documents			
Data Source: copies of government budgets and other documents showing budgets allocated for planning or implementation			
Frequency and timing of data acquisition: Semi-annually, and ongoing			
Estimated Cost of Data Acquisition: $500/year (does not include embedded costs of salaries, meetings, travel etc.)			
Individual responsible at CRC/URI: Field site M and E coordinator			
DATA QUALITY ISSUES			
Date of Initial Data Quality Assessment:			
Known Data Limitations and Significance (if any): This indicator often estimates amounts of money leveraged and dollar estimations or resources allocated, it does not assess quality of implementation			
Actions Taken or Planned to Address Data Limitations: Tracking of cost share, leveraged funds, soft and hard match and contributions to common programs as each investment happens.			
Date of Future Data Quality Assessments:			
Procedures for Future Data Quality Assessments:			
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING			
Data Analysis:			
Presentation of Data:			
Review of Data:			
Reporting of Data:			
OTHER NOTES			
Notes on Baselines/Targets:			
Other Notes:			
PERFORMANCE INDICATOR VALUES			
Year	**Target**	**Actual**	**Notes**
2009			First years summary of match is to be aggregated in October 2010
2010	Increasing		
2011	Increasing		
2012	Increasing		
THIS SHEET LAST UPDATED ON:			

Indicator #8

Result Area: Implementation - practices at the local and national level are supporting enhanced social and economic benefits for resource users

PERFORMANCE INDICATOR REFERENCE SHEET

Indicator Number: 8

Name of Indicator: Number of rural households that benefit directly from USG Assistance

DESCRIPTION

Precise Definition(s): This indicator measures the number of households benefiting economically by receiving economic assistance packages or improved access to loan capital. All households that received some form of direct assistance package - grants or materials, cash, loans, training, technical extension visits, etc are counted. These can be households involved in associations or informal community associations or groups

Unit of Measure: Number of households

Disaggregated by: Gender by head of household

Justification & Management Utility: This indicator measures the number of households who are engaged in micro-enterprises and other natural resource-based livelihood development schemes, or value chain improvements, food production business, artisanal crafts etc., that have been provided some form of assistance package by the project. By being engaged in these activities, it is assumed that the men and women will achieve increasing tangible and equitable economic benefits, food production and income generation. Another key constraint to improved economic benefits of persons and small businesses in fishing communities is lack of access to capital or access to loans with reasonable interest rates. By establishing community credit and savings associations, village banks and revolving loan fund schemes, this constraint can be partially addressed and is assumed to lead to increased economic benefits for those taking and repaying loans, or building savings in an account.

PLAN FOR DATA ACQUISITION BY CCP

Data collection method: Collection of relevant project reports, documents and lists of participants in relevant activities and summing of numbers of persons

Method of data acquisition by CRC/URI. Collection and review of records

Data Source: Project documents and records

Frequency and timing of data acquisition: Quarterly.

Estimated Cost of Data Acquisition: none other than M&E coordinator time

Individual responsible at CRC/URI: Field site M and E coordinator and Local Project Partners

DATA QUALITY ISSUES

Date of Initial Data Quality Assessment:

Known Data Limitations and Significance (if any): This indicator is an indirect measure and not every person receiving assistance will necessarily benefit economically, however, it is much easier to collect this data and evidence than tracking income data of every person assisted. This is an easy indicator to measure as membership lists of associations are readily available. Some individuals may be double counted if the receive training and participate in a savings scheme for instance

Actions Taken or Planned to Address Data Limitations:

Date of Future Data Quality Assessments:

Procedures for Future Data Quality Assessments:

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis:

Presentation of Data:

Review of Data:

Reporting of Data:

OTHER NOTES

Notes on Baselines/Targets:

Other Notes:

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2009			Measured but no targets
2010			
2011			
2012			

THIS SHEET LAST UPDATED ON: OCTOBER 2011

Indicator #9

Result Area: Implementation - practices at the local and national level are supporting enhanced social and economic benefits for resource users

PERFORMANCE INDICATOR REFERENCE SHEET

Indicator Number: 9

Name of Indicator: Average household food group diversity score (Second Order Outcome Result 2)

DESCRIPTION

Precise Definition(s): A food access indicator measuring the number of different food groups consumed by a household over a 24-hour recall period. It is collected through a household questionnaire consisting of one single question, using 12 standard food groups, asked of the person responsible for food preparation in the household. The population-based survey is usually conducted during the hungry season, on all the households selected in a representative sample. The questionnaire and instructions for data collection, tabulation, and analysis can be found in the Indicator Guide at http://www.fantaproject.org/publications/hdds_mahfp.shtml

Unit of Measure: Household and food groups

Disaggregated by: Families in focal areas (within the program area of Western Region) and families outside program areas (Central Region)

Justification & Management Utility: This indicator is a proxy for household socioeconomic status used as a food access indicator and not a measure of dietary quality. Improved socio-economic status is expected to improve access to food.

PLAN FOR DATA ACQUISITION BY CCP

Data collection method: Household survey

Method of data acquisition by CRC/URI. This is to be measured through household surveys in communities benefitting from USG assistance and control communities outside the program area.

Data Source: Communities within and outside program areas via household survey reports

Frequency and timing of data acquisition: annually

Estimated Cost of Data Acquisition: $5,000 per survey (does not include embedded costs of salaries, meetings, travel etc.)

Individual responsible at CRC/URI: Field site M and E specialist

DATA QUALITY ISSUES

Date of Initial Data Quality Assessment: August 2011

Known Data Limitations and Significance (if any): This is only one measure of food security within the coastal communities – food access but is relatively simple to measure. Not covered as a food security indicator is that a more effectively managed fishery sustains food supply that could be lost from poor management or gains in food quality or supply through value chain improvements where benefits may be provided to Ghanaians well beyond the targeted coastal communities

Actions Taken or Planned to Address Data Limitations: CRC will conduct these household surveys in controlled communities outside of program areas as well.

Date of Future Data Quality Assessments: Annually in August 2012, 2013.

Procedures for Future Data Quality Assessments: To be determined based upon results of the first survey review.

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: The tabulation and analysis of the population-based survey is subject to significant analysis since there are likely a wide range of factors that could generate either positive of negative trends - ones that are outside of the scope of the intervention. Therefore the data analysis will require the inclusion of other external local and regional factors.

Presentation of Data: The data will be represented to CRC staff and members of other institutions who are involved in the household surveys.

Review of Data: Data will be reviewed to identify limitations and address challenges.

Reporting of Data: There will be annual reports sent to USAID.

OTHER NOTES

Notes on Baselines/Targets:

Other Notes:

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2009			Measured but no targets
2010			
2011			
2012			

THIS SHEET LAST UPDATED ON: OCTOBER 2011