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FROM THE AMERICAN PEOPLE

Associate Cooperative Agreement No. 641-A-00-09-00036-00, for “Integrated Coastal and Fisheries Governance (ICFG) Program for the Western Region of Ghana”, under the Leader with Associates Award No. EPP-A-00-04-00014-00.

September 4, 2009.

2009

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Hen Mpoano

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THE  
UNIVERSITY  
OF RHODE ISLAND  
GRADUATE SCHOOL  
OF OCEANOGRAPHY



This publication is available electronically on the Coastal Resources Center's website at <http://www.crc.uri.edu>

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WorldFish: <http://www.worldfishcenter.org>

Friends of the Nation: <http://www.fonghana.org>

Hen Mpoano: <http://www.henmpoano.org>

Sustainametrix: <http://www.sustainametrix.com>

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](mailto:brian@crc.uri.edu); Tel: 401-874-6224; Fax: 401-874-6920.

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# USAID | GHANA

FROM THE AMERICAN PEOPLE

September 4, 2009

Mr. Brian Crawford  
Director, International Programs  
Coastal Resources Center  
University Of Rhode Island  
220 South Ferry Road  
Narragansett, RI 02882

Subject: Associate Cooperative Agreement No. 641-A-00-09-00036-00,  
for "Integrated Coastal and Fisheries Governance (ICFG)  
Program for the Western Region of Ghana", Under the  
Leader with Associates Award No. EPP-A-00-04-00014-00.

Dear Mr. Crawford:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the U.S. Agency for International Development (USAID) hereby awards to Coastal Resources Center, University of Rhodes Island (hereinafter referred to as the "Recipient"), the sum of \$10,000,000 to provide support for a program entitled "Integrated Coastal and Fisheries Governance (ICFG) Program for the Western Region of Ghana" as described in the Schedule of this award and in Attachment B, entitled "Program Description."

This Associate Award is effective on September 15, 2009 and obligation is made as of the effective date and shall apply to commitments and expenditures made by the Recipient in furtherance of program objectives during the period beginning with the effective date and ending September 14, 2013. USAID will not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

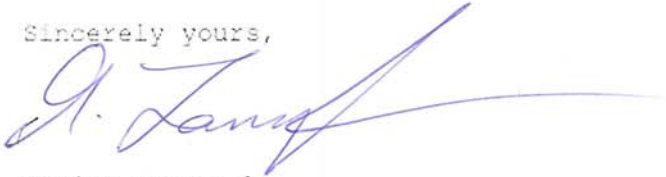
This associate award is made on condition that the funds will be administered in accordance with the terms and conditions as set forth in 22 CFR 226, entitled "Administration of Assistance Awards to U.S. Non-Governmental Organizations"; Attachment A (the Schedule); and Attachment B (the Program Description); and Attachment C (Branding Strategy and Marking Plan) all of which have been agreed to by your organization. The Mandatory Standards Provisions and as Applicable Standard Provision of the referenced Leader with Associates Cooperative Agreement apply to this associate award but are not attached.

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

Tel: 233-21-741200  
Fax: 233-21-741365  
[www.usaid.gov/missions/gh](http://www.usaid.gov/missions/gh)

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

Sincerely yours,



Marjan Zangeneh  
Supervisory Regional Agreement Officer  
USAID/West Africa

Attachments:

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

ACKNOWLEDGED:

By University of Rhodes Island, Coastal Resources Center

NAME: S. Bradley Moran, Ph.D.  
Asst VP for Research Admin. JA

TITLE: 51

SIGNATURE: S. Bradley Moran

DATE: 9/3/09

**TABLE OF CONTENTS**

**SCHEDULE ..... 5**

**PROGRAM DESCRIPTION ..... 11**

**Branding Strategy and Marking Plan ..... 62**

**A. GENERAL**

- 1. Total Estimated USAID Amount: \$10,000,000.00
- 2. Total Obligated USAID Amount: \$ 664,229.00
- 3. Cost-share Amount (Non-Federal): \$ 2,500,000.00
- 4. Remaining Amount to be obligated: \$ 9,335,771.00
- 5. Total Program Amount: \$12,500,000.00
- 6. Activity Title: Integrated Coastal and Fisheries Governance (ICFG) Program for the Western Region of Ghana
- 7. USAID Technical Office: Economic Growth
- 8. Tax I.D. Number: 05-6000522
- 9. DUNS No.: 796475382
- 8. LOC Number: HHS-80A6P

**B. SPECIFIC**

MAARD No. 641-A21-09-016

BBFY	EBFY	FUND	PA	DIST	PE	SOC	OBLIGATED AMOUNT
2008	2009	DV	A21	641-M	A085	4100201	\$664,229.00
TOTAL OBLIGATED AMOUNT							\$664,229.00

**C. PAYMENT OFFICE**

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

**Attachment A**

**SCHEDULE**

**A.1 PURPOSE OF THE COOPERATIVE AGREEMENT**

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

**A.2 PERIOD OF COOPERATIVE AGREEMENT**

1. The effective date of this Cooperative Agreement is September 15, 2009. The estimated completion date of this Cooperative Agreement is September 14, 2013.

2. Funds obligated hereunder are available for program expenditures for the estimated period from September 15, 2009 through November 15, 2009.

**A.3 AMOUNT OF COOPERATIVE AGREEMENT AND PAYMENT**

1. The total estimated amount of this Cooperative Agreement for the period shown in A.2.1 above is \$10,000,000.00.

2. USAID hereby obligates the amount of \$664,229 for program expenditures during the period set forth in A.2.2 above and as shown in the Budget below. The Recipient will be given written notice by the Agreement Officer if additional funds will be added. USAID is not obligated to reimburse the Recipient for the expenditure of amounts in excess of the total obligated amount.

3. Payment will be made to the Recipient by Letter of Credit in accordance with procedures set forth in 22 CFR 226.

**A.4 COOPERATIVE AGREEMENT BUDGET**

The following is the Agreement Budget, including local cost financing items, if authorized. Revisions to this budget shall be made in accordance with 22 CFR 226.25.

COST ELEMENTS	USAID 09/15/2009- 09/14/2013	Cost-Share Amount (Non- Federal)
Training	\$526,302	
Procurement (Capital Equipment)	\$118,767	
Direct Costs	\$7,930,209	
Indirect Costs	\$1,424,722	
TOTAL	\$10,000,000	\$2,500,000
<b>TOTAL PROGRAM</b>		<b>\$12,500,000</b>

**A.5 REPORTING AND EVALUATION**

**A.5.1. Financial Reporting**

In accordance with 22 CFR 226.52, the SF 269 and SF 272 will be required on a quarterly basis. The recipient shall submit these forms in the following manner:

(1) The SF 272 and 272a (if necessary) must be submitted via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>). A copy of this form shall also be submitted at the same time to the Agreement Officer and the Agreement Officer Technical Representative (AOTR).

(2) The SF 269 or 269a (as appropriate) shall be submitted to the Agreement Officer Technical Representative (AOTR) with one copy to the Agreement Officer.

(3) In accordance with 22 CFR 226.70-72, the original and two copies of all final financial reports shall be submitted to M/FM, the Agreement Officer, and the AOTR. The electronic version of the final SF 272 or 272a shall be submitted to HHS in accordance with paragraph (1) above.

**A.5.2. Program Reporting**

Annual Implementation Plan:

The Recipient shall submit detailed Annual Implementation Plan, with detailed cost information to the Agreement Officer Technical Representative (AOTR) within 90 days of the award date. The implementation plan is the key document for agreement performance against which the performance progress shall be monitored and evaluated by both USAID and the Recipient. The annual implementation plan should describe the activities to be carried out and how they will be carried out. The implementation plan should provide



information on all aspects of program implementation, including coordination and involvement of other partners, beneficiaries, relationships with Government of Ghana (GoG) programs, communications of results, etc. The AOTR will review the implementation plans and approve or provide suggestions for adjustments within two weeks of submission.

Monitoring and Evaluation (M&E) Plan:

The Recipient shall submit an M&E plan to the AOTR detailing how they intend to monitor progress of work and the achievement of results under the agreement. The monitoring and evaluation plan for each program component shall provide qualitative and quantitative performance measure on specific results. One copy of the M&E plans must be submitted electronically to the AOTR within 60 days of the award date. The M&E plan shall be updated and revised as appropriate in collaboration with USAID.

Semi-annual Performance Monitoring Reports (PMRs):

Recipient shall submit the original and two copies of the performance reports to the USAID AOTR.

A PMR is due within 30 days of the end of each reporting period of the agreement. The 2<sup>nd</sup> PMR of the year will serve as an annual report and should include data collected for every indicator. Performance reports will generally contain information on the following:

- A comparison of actual accomplishments with the goals and objectives established for the period, the findings if any, of the investigator (Whenever appropriate and the output of the project or program can be readily quantified, such quantitative data should be related to cost data for computation of unit cost.)
- A comparison of actual accomplishments with targets established and why any targets were not met.
- Recipient shall immediately notify USAID of developments that have a significant impact on the award-supported activities. Also, notification shall be given in the case of problems, delays, or adverse conditions which materially impair the ability to meet the objectives of the award. This notification will include a statement of the action taken or contemplated, and any assistance needed to resolve the situation.

Final Report

The Recipient shall submit, within 90 days of the associate cooperative agreement termination, a detailed final report. This report should highlight major successes achieved during the agreement period. The report should also discuss any shortcomings and difficulties encountered. An additional function of this report is to outline lessons learned and make recommendations for follow-on activities.

The Recipient shall submit the original and one copy of the final report to the Agreement Officer Technical Representative (AOTR), with a copy to the Agreement Officer, and one copy, in electronic (preferred) or paper form of final documents, to one of the following: (a) Via E-mail: docsubmit@usaid.gov ; (b) Via U.S. Postal Service: USAID Development Experience Clearinghouse, M/CIO/KM, RRB M.01, U.S. Agency for International Development, Washington D.C. 20523, USA; (c) Via Fax: (202)216-3515; or (d) Online:

<http://dec.usaid.gov>

**A.6 INDIRECT COST RATE**

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

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

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

2) Predetermined (Off-campus)

3) July 7, 2008 through June 30 2010

**A.7 TITLE TO PROPERTY**

Property Title will be vested with the Recipient.

#### **A.8 AUTHORIZED GEOGRAPHIC CODE**

The authorized geographic code for procurement of goods and services under this award is 935. The Recipient must comply with the source/origin requirement in 22 CFR 228.

#### **A.9 COST-SHARE**

The Recipient agrees to apply a cost-share amount of not less than \$2,500,000 of non-federal USAID resources, or 25% of the total activity costs, whichever is less, to the program.

#### **A.10 SUBSTANTIAL INVOLVEMENT**

Substantial involvement during the implementation of this Agreement shall be limited to approval of the elements listed below:

- a. Approval of Recipient Implementation Plans.
- b. Approval of specified key personnel assigned to the position listed below. The personnel currently listed in the final application (dated July 28, 2009) have been approved. All changes thereto must be submitted for the approval by the AOTR.  
Title: Chief of Party  
Deputy Chief of Party
- c. Agency and recipient collaboration or joint participation.
  - Approval of the Performance Monitoring Plan

#### **A.11 ENVIRONMENTAL COMPLIANCE**

As part of its initial Implementation Plan, and all Implementation Plans thereafter, the Recipient, in collaboration with the USAID AOTR and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this Cooperative Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

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

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

When the approved Regulation 216 documentation is (1) an IEE that contains one or more Negative Determinations with conditions and/or (2) an EA, the Recipient shall:

- a) Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the Recipient shall prepare an EMMP or M&M Plan describing how the Recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.
- b) Integrate a completed EMMP or M&M Plan into the initial work plan.
- c) Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

The Recipient will be responsible for periodic reporting to the USAID Agreement Officer Technical Representative, as specified in the Schedule/Program Description of this award.

#### **A.12 BRANDING STRATEGY AND MARKING PLAN**

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

#### **A.13 PROGRAM INCOME**

There is no program income under this program.

**Attachment B**

**PROGRAM DESCRIPTION**

The Coastal Resources Center, University of Rhode Island's  
application is attached and made part of this award.

## **Coastal Development and Governance Challenges**

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 (Millennium Ecosystem Assessment, 2005). Twelve of the largest fifteen cities are coastal. Not surprisingly, coastal regions contain the lion's share of humanity's infrastructure. 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 21<sup>st</sup> century.

Ghana's coastline is a microcosm of these global challenges. The Integrated Coastal and Fisheries Governance (ICFG) Program 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 the same time, and equally if not more important, it will begin building constituencies and commitment at the national level as well. For instance, it will work with key fisheries stakeholder groups such as artisanal fishermen, coastal communities, District Officers as well as the Fisheries Directorate and National Fisheries Commission to clearly define and identify priority management issues and long-term goals for management of selected fish stocks (e.g. small pelagics). 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 address two priority coastal governance issues—the long-term decline in stocks and the increasing conflicts in fisheries. The emphasis will be on the artisanal fisheries sector—a mainstay of employment and food security—and its interactions with the semi-industrial and industrial fleets. 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 beyond just clearly stated and formally adopted goal statements. To demonstrate their commitment to sustainability beyond the life-of-the-Program, they must work to ensure that national and local government budgets include specific line items to finance the work of implementing reform.

**Issues Posed by Coastal and Fisheries Governance**  
**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 the coastal areas is extensive, with the average welfare level among food farmers in rural coastal areas, as estimated by the Ghana Poverty Assessment, 12 percent below that in large urban centers such as Accra. 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 plays an important role 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—assets that also have the potential to attract increased tourism to this region.

Emerging oil and gas development 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. Leases have been signed for the development of two fields (Jubilee and South Deepwater Tano) and there are plans for expanded port development and other shore-based infrastructure. These include discussions of a refinery to support the expected oil production. This development raises many concerns—its potential to increase conflicts with the fishing industry over the use of the marine space, and its potential negative impacts on what is a growing coastal tourism sector. In addition to working with private industry stakeholders on these challenges, the Program will work with key government agencies—e.g., the Ghana Ports and Harbours Authority; the Ministry of Environment, Science and Technology; the Fisheries Directorate; and the Ministry of Lands and Natural Resources—to plan such development in a manner that can minimize conflicts and establishes mechanisms for conflict resolution.

These and other human activities that are focused on economic growth and development may, at the same time, threaten the health of Ghana's coastal ecosystems. In fact, there is strong evidence that Ghana's coastal ecosystems are *already* seriously degraded and 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. The ICFG Program will work with government to carefully assess the current status of this strategy and related ICM plans in order to identify concrete actions the Program could take to help with improving implementation of this strategy/these plans.

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. While predictions of the specifics of the changes that will occur are possible, they are still only predictions. This means that management systems must be agile and adaptive enough to respond quickly as observed changes do 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 of the coast must be a core feature of future coastal governance. The ICFG Program will work to build the awareness of all stakeholders of the impacts of climate change on the coast and the need to build resiliency and to be agile in adapting as change does occur. As well, the Program will work with government partners to ensure policies are in place that require considerations of climate change impacts throughout all phases of new development.

### **Over-exploitation of fishery resources**

Fisheries are important both to Ghana's economy and its food security. Regarding the later, 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—with the gap between supply and demand 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.

On the economic front, Ghana's fisheries sector accounts for approximately 4.5 percent of GDP. 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 8,000 to 10,000 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.

In spite of the importance of fisheries to the nation in terms of GDP, employment and food supply, 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 among 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.

The evolution of fisheries on a global scale can be characterized as moving slowly, but inexorably, from open access, to regulated/restricted access, to rights-based or "managed" access. Open and unregulated access has often led to overcapacity—i.e., too many boats chasing increasingly fewer and smaller fish. Globally, this and other factors are contributing to a crisis of fishing overcapacity, to the point where the world's fisheries actually contribute a net loss to total gross product. In other words, it costs more to catch, process, and bring the harvest to market than is generated in revenue returns. This is true for most fishing nations, and the existing data suggest this is also true for Ghana. If the question of how to successfully compete in the arena of globalized trade is half of the challenge facing Ghana, the other half of the challenge is how to ensure that domestic needs are met first, and that the socioeconomic benefits derived from integrated coastal resources management and the fishing sector are distributed in a fair, equitable, and sustainable manner.

A substantial portion of the fish within Ghana's exclusive economic zone (EEZ) is harvested by foreign vessels or industrial trawlers operating in an "offshore economy". Only a fraction of the economic rent or value of these fisheries is captured by the country. There is growing interaction and conflict between the industrial and artisanal fisheries within Ghana's EEZ. These conflicts will likely grow with

accelerated efforts to move the offshore economy onshore—by improving the investment climate and building the infrastructure and services for the artisanal sector. In order to ensure the sustainability of social and economic benefits that the artisanal sector brings to Ghana, it is essential that this sector become more organized and competitive. This will require that traditional fishers: a) become increasingly business-like and are given the economic incentives to improve all aspects of their operations; b) improve their product-stream (e.g., consistent supply, high-quality, value-added products); and c) assume greater responsibility for sustaining the natural resources upon which they depend.

### **Threats to Biodiversity Assets**

Wetlands, including coastal wetlands, 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. The Keta and Songaw lagoons are particularly important as nesting grounds for marine turtles. Mangroves in the coastal lagoons and estuaries also provide important habitat for the threatened West African Manatee and are the nursery grounds for many species of commercially important fishes. Yet, in spite of their importance, coastal wetland losses were recently estimated at 6,000 ha/yr.

Of particular importance is the Amansuri wetland. It is pristine and classified as a wetland of international significance. At over 1,000 km<sup>2</sup>, it is one of the country's largest wetlands and contains several wetland habitat types including mangroves, peat, swamp and intertidal mud flats. 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 the turtle nesting beaches become increasingly vulnerable to degradation from development and oil spills.

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. The green turtle is often hunted for its meat and humans, pigs and dogs compete to collect and consume eggs laid on nesting beaches. Coastal development is impacting the turtle's nesting habitats along the beaches. The turtles are also dying as bycatch from trawlers and other fishing gear. The U.S., per Section 609 of US Public Law 101-162, bars the import into the U.S. of shrimp and shrimp products harvested in ways that may adversely affect sea turtles. However, Ghana has not taken the necessary measures to reduce the incidental taking of sea turtles in its trawl fisheries and for that reason has not been

certified by the US Department of State and cannot export its product to the U.S.

While there are currently no marine protected areas (MPAs) within Ghana waters, the country's Wildlife Division has been advocating for the creation of one MPA offshore of the Cape Three Points Forest Reserve. Such an MPA would help protect threatened populations of marine turtles and mammals and Ghana's only coastal reef. Given the importance of MPAs as an effective management measure for protecting marine ecosystems, careful consideration should be given to developing not just one MPA, but a network of MPAs within Ghana's EEZ.

### **CRC's Approach to the Governance of Coastal Ecosystems**

Based on the overlapping and integrated nature of the issues facing Ghana and its coastal ecosystem, the ICFG Program believes the most effective approach to addressing these challenges is an ecosystem-based management approach (EBM). The following explains in more detail not only the EBM approach, but its relevance as a strategy to address the coastal resources management challenges facing Ghana at this time.

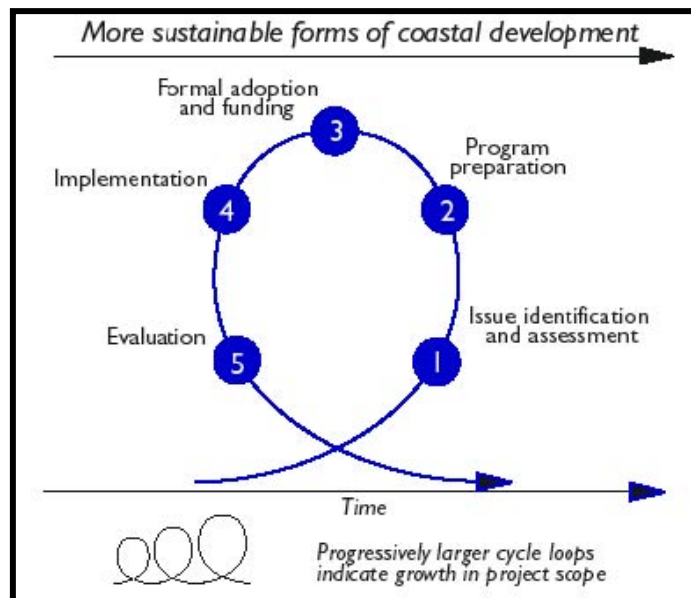
First, it is important to distinguish between EBM and traditional management efforts. The latter have been organized around particular uses such as fisheries or mineral exploitation and have resulted in separate governance regimes for each use. Over time, sectoral approaches result in conflicts among users and are inadequate in sustaining the goods and services that flow from healthy ecosystems. The shift away from the management of individual resources to an integrated or "systems" approach, which has taken hold in a number of fields such as forestry and fisheries, has been endorsed by a number of studies and expert commissions. The practice of the ecosystem approach 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. One frequently quoted definition is as follows:

"Ecosystem-based management is an integrated approach to management that considers the entire ecosystem, including humans. The goal of ecosystem-based management is to maintain an ecosystem in a healthy, productive and resilient condition so that it can provide the services humans want and need. Ecosystem-based management differs from current approaches that usually focus on a single species, sector, activity or concern; it considers the cumulative impacts of different sectors." (McLeod et al, 2005)

For three decades, CRC has pioneered the practice of ICM, applying and refining the concepts and tools that apply the principles of the ecosystem approach to complex coastal systems in the U.S. and internationally. More recently CRC has recognized and been particularly concerned about the widening implementation gap—i.e., the failure to transition from issue analysis and planning to the

sustained implementation of a plan of action that delivers the benefits of effective coastal management and governance. The CRC emphasis on participation and capacity building, however, is designed to overcome this problem. The ICFG Program will use capacity building as one, although only one, tool to help address the myriad coastal/fisheries/ICM governance issues.

CRC has found that the design and administration of coastal management programs must be rooted in simplifying conceptual frameworks that are readily understandable by the multiple stakeholders in a coastal ecosystem stewardship initiative. Much thought and effort was devoted initially to defining the sequence of "essential actions" that define the *processes* by which an initiative is organized. This is best captured by the five step management cycle (GESAMP, 1996) that organizes the many actions—and the different contributions of the sciences—to steps of issue identification and analysis, planning, negotiation of the necessary authority and funding to implement a plan of action, program implementation and an evaluation of the effort and its impacts. As illustrated by Ghana's own experience in trying to establish ICM and community-based fisheries, however, often only fragments of unconnected cycles are implemented. Investments in issue analysis and planning (Steps 1 through 3) have not always led to the sustained implementation of a plan or program of action (Step 4). As well, too often subsequent initiatives do not build strategically on a careful assessment of what could be learned from earlier attempts to address the same or similar issues (Step 5).



Analysis of experience in integrated forms of management (vs. sector specific management) has also shown that a well designed and well executed management *process* still may not produce the desired *outcomes*. This has led CRC and its partners to develop the Orders of Outcomes framework. This disaggregates the ultimate goal of

sustainable forms of development into a sequence of more tangible outcomes (Olsen, 2003; UNEP/GPA, 2006; National Research Council, 2008). The 1<sup>st</sup> Order Outcomes define the four enabling conditions for the sustained practice of the ecosystem approach. Experience suggests that the transition to the full scale implementation of an ICM program can be anticipated only when all four of the following conditions are present:

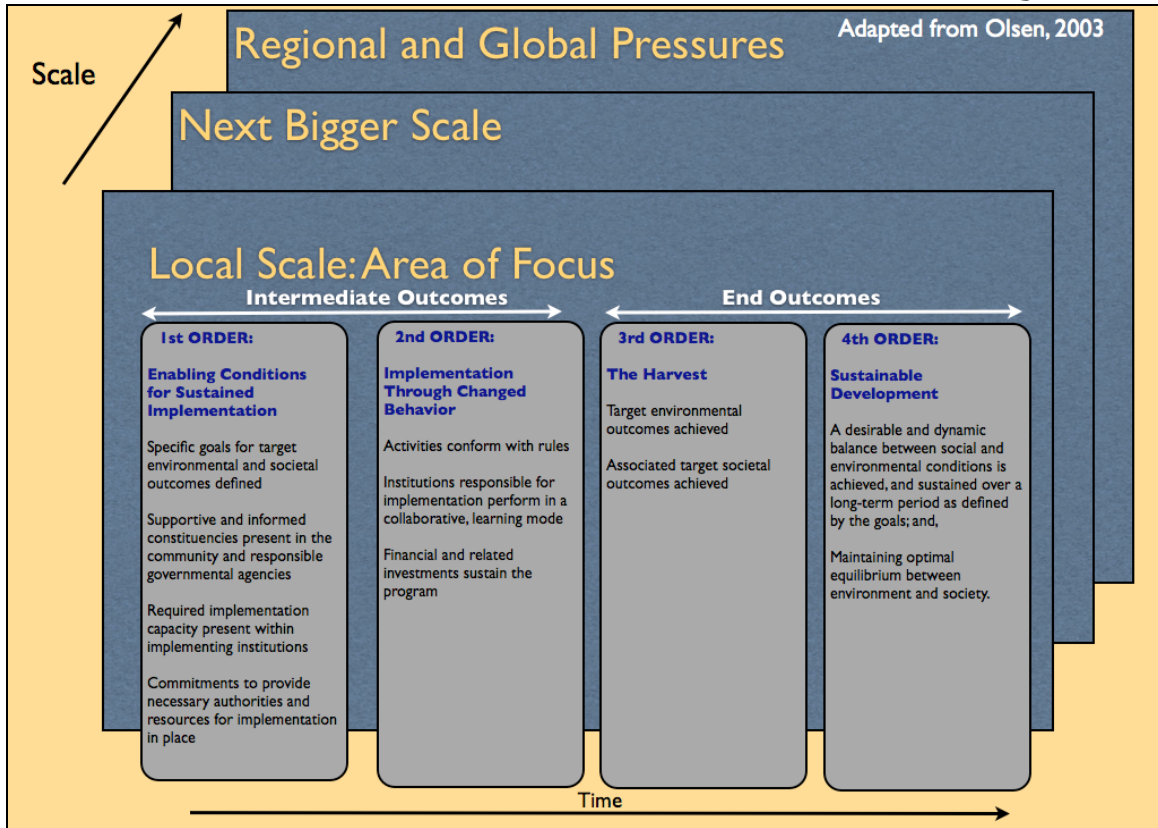
- A core group of well informed and supportive constituencies actively supports the program,
- Sufficient initial capacity is present within the institutions responsible for the program to implement its policies and plan of action,
- Governmental commitment to the policies of a program has been expressed 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.

These accomplishments result from the successful completion of Steps 1-3 of the cycle.

The outcomes that signal the implementation of new or reformed practices of resource use and conservation are defined in the 2<sup>nd</sup> Order. These are changes in the behavior of governmental institutions; changes in the behavior of the relevant groups exploiting or otherwise affecting ecosystem conditions; and changes in the behavior of those making financial investments in the system. An important feature of 2<sup>nd</sup> Order change is success in generating the funds required to sustain the program over the long term.

The 3<sup>rd</sup> 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 3<sup>rd</sup> Order goals marks the path to the sustainable forms of development that are defined as the 4<sup>th</sup> Order.

#### **The Orders of Outcome Results Framework**



CRC has applied this approach (i.e., our model of using the Policy Cycle and the Orders of Outcomes) successfully to coastal management initiatives worldwide (see selected examples in Table 1 below). As illustrated by these examples, in a life-of-project timeframe it is relatively easy to achieve accomplishments in all three orders at the local scale. In that same period, at the national level it is difficult to demonstrate anything more than second order outcomes (at least any that could be reasonably attributed to a project initiative) and at the regional level, the most that can be achieved is usually limited to 1<sup>st</sup> Order Outcomes. The Orders of Outcomes framework will be applied to the ICFG Program as the organizing framework for its key and intermediate results and the program monitoring system.

**Table 1: Selected Examples of CRC Accomplishments in Coastal Management Worldwide**

	<b>Global Scale</b>	<b>National Scale</b>	<b>Local Scale</b>
<b>1st Order Enabling Conditions</b>	<ul style="list-style-type: none"> <li>• UNEP adopts methodology for assessing progress in ecosystem-based management</li> <li>• Guidebook on climate change</li> </ul>	<ul style="list-style-type: none"> <li>• Government adoption of National ICM strategy (Tanzania)</li> <li>• Government adoption of National Coastal</li> </ul>	<ul style="list-style-type: none"> <li>• 5 Special Area Zones and Committees formed (Ecuador)</li> <li>• District action plans for ICM adopted in coastal areas (Tanzania)</li> </ul>

	<p>adaptation in the coastal zone</p> <ul style="list-style-type: none"> <li>• MPA professional certification program adopted by Western Indian Ocean Marine Science Program</li> <li>• CRC invited to serve in global programs (LOICZ., GESAMP)</li> <li>• CRC conducts assessments of UNDP GEF coastal initiatives in Latin America</li> <li>• Inter-American Development Bank adopts ICM strategy</li> </ul>	<p>Zone Management Plan (Sri Lanka)</p> <ul style="list-style-type: none"> <li>• Executive Degree for a national ICM program (Ecuador)</li> <li>• Shrimp mariculture code of conduct and best practices adopted by national associations (Honduras and Mexico)</li> <li>• Mariculture permitting guidelines and mariculture development strategy adopted by Fisheries Department (Tanzania)</li> <li>• National ICM law passed by Parliament (Indonesia)</li> </ul>	<ul style="list-style-type: none"> <li>• Private sector sources of funding secured:             <ul style="list-style-type: none"> <li>- The Coca-Cola company (Tanzania and Thailand)</li> <li>- UNOCAL Oil (Balikpapan Bay, Indonesia)</li> </ul> </li> <li>• District ICM law passed (Minahasa, Indonesia)</li> <li>• Pilot CB-MPA sites scaled-up in two district and over two dozen villages in North Sulawesi, Indonesia</li> <li>• Lampung Province approves provincial ICM plan, and East Kalimantan approves Balikpapan Bay plan</li> </ul>
<p><b>2nd Order Changes in behavior</b></p>		<ul style="list-style-type: none"> <li>• Coastal management unit established in National Environmental Management Council that proceeds to replicate coastal district action planning along the entire mainland coast based on initial demonstrations developed with CRC assistance (Tanzania)</li> <li>• Ministry of Marine Affairs Launches Sea Partnership Program modeled after US Sea Grant</li> </ul>	<ul style="list-style-type: none"> <li>• Women use fuel efficient stoves and decrease tree cutting (Bagamoyo District, Tanzania)</li> <li>• MPA marker buoys and signboards placed in multiple CB-MPA sites (Indonesia and Tanzania)</li> <li>• Mangroves planted (Thailand, Ecuador, Indonesia, Tanzania)</li> <li>• Local ICM action plans implemented (Ecuador, Mexico, Tanzania,</li> </ul>

		Program (Indonesia)	Indonesia)
<b>3rd Order Environ- mental and Socio- Economi- c Improve- ments</b>			<ul style="list-style-type: none"> <li>• Fish abundance and coral cover increased in community-based MPAs (Bagamoyo, Tanzania; North Sulawesi Indonesia; Nicaragua)</li> <li>• 235 businesses restarted and 44 new businesses created (Ranong Province, Thailand)</li> </ul>

The accelerating decline and loss of quality of coastal ecosystems and fisheries worldwide—despite a multiplicity of projects and programs and many billions of dollars in investments—suggests that the challenges are those of governance rather than management. *Governance* is defined as the product of the values, policies, laws and institutions by which a set of issues is addressed (Juda, 1999; Juda and Hennessey, 2001). Governance calls for a re-examination of the formal and informal arrangements, institutions, and mores that structure and influence:

- 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 natural resources distribution and use.

There are three principle sources of governance: the marketplace, government, and the institutions and arrangements of civil society. The manner and the mechanisms by which these interact with one another are complex and dynamic. The ICFG Program will work to orchestrate the contributions of the three sources of governance to the coastal and fisheries issues in Ghana.

As noted earlier, capacity building is a key element of the CRC approach to development work. Therefore the ICFG Program will tap into CRC and partners efforts over the past five years to codify good practices in the ecosystem approach in coastal and marine settings. This has included key authorship of a series of handbooks and associated training materials that provide practical guidance to practitioners on adaptation to climate change, the management of



fisheries, responses to changes in freshwater inflows to estuaries, the development of baselines for the response of governance systems to ecosystem change and the governance and socio-economic dimensions of Large Marine Ecosystems. Most recently, CRC and its partners have developed the first certification programs that set explicit standards for the competencies required of those engaged in the management of MPAs and in the practice of coastal ecosystem governance. Crystallization of what has been learned from ICM and MPA management practice to date will help inform the activity design and implementation of the ICFG Program as it builds capacity in the ecosystem approach in Ghana.

### **Governmental and Donor Efforts in Coastal and Fisheries Management in Ghana**

Similar to many other developing nations, Ghana has seen a sequence of projects, programs and legislation designed to address the problems caused by the over-use and misuse of its coastline and fishery resources. The CRC approach requires that this body of accomplishments and failures be carefully examined in order to understand the workings of the existing governance system and the traditions and values that shape it. For example, the World Bank worked with several governmental agencies in the mid 1990s to establish a national ICM program. This produced an ICM Strategy (1996), but one that was never formally adopted. An ICM unit in the Ministry of Environment, Science and Technology was created but, as a primarily top-down initiative it appears to have failed to win constituencies at the community or district levels and has not had a significant impact on the trajectory of change along Ghana's coast.

For example, Ghana has put in place a number of national level structures for coordination in coastal and fisheries management—the Fisheries Commission (Ministry of Food and Agriculture), National Committee on the Implementation of Agenda 21, and Steering Committee for the Gulf of Guinea Large Marine Ecosystem (both within the Ministry of Environment, Science and Technology). As well, there is a large body of legislation of direct relevance to coastal management—the national Biodiversity Strategy, Coastal Wetlands Strategy, and a draft ICM Plan and Coastal Zone Management Indicative Plan. A number of past and existing programs and plans address such issues as oil spills and industrial pollution. These need review to identify needs for capacity building and to identify strengths and positive advances upon which the ICFG Program should build.

Since the challenges posed by artisanal and industrial fisheries have been a major concern in Ghana for decades, it is important to review—before designing any new initiative—the existing large body of policies, regulations and plans. While decentralization has been a major theme in past efforts to establish community-based fisheries management committees at the district level, it is important to

recognize that some of the issues of decentralized governance and management cannot be solved at the local level and will require reforms in the national framework for fisheries management. For instance, is there a need for changes in the way that the National Fisheries Commission Operates and appointments are made, given its recent inactive status that seems to have paralyzed key policy and regulatory decisions?

A World Bank funded program ending in the late 1990s established 123 community-based fisheries management committees (CBFMCs). These committees applied a co-management approach in which fisheries sector representatives were appointed to the committees. Today, most of the committees are no longer active. Although the reasons for this are not clear, observers of the effort suggest two factors: 1) the committees lacked sufficient regulatory authority and 2) the committees failed to include semi-industrial and industrial fleets in a meaningful manner.

This body of experience must be carefully analyzed and used to inform ICFG Program strategies and actions. To promote this analysis, the ICFG Program team will work with government agencies including: the Ministry of Environment, Science and Technology; the Fisheries Directorate of the Ministry of Food and Agriculture; the National Fisheries Commission; the Ministry of Lands and Natural Resources; and the Western Region Local Government Units (Coastal Districts) to conduct a thorough governance assessment in the first year of the program.

#### **The Long Term Goals and Key Result Areas of the ICFG Program**

The Request for a Detailed Application and Budget for this Program issued by USAID Ghana on June 12, 2009 makes the point that "while sustainable reform will take many years (a timeframe of 20-30 years is not unrealistic), what happens in the next four years is crucial to the trajectory that the sub-region will take towards achieving the necessary consensus, political will, stakeholder understanding and voice, and action strategy towards meaningful fisheries and coastal resources management reform". Indeed, worldwide experience is demonstrating repeatedly that several decades of sustained effort are required to halt and reverse well established trends in natural resource degradation and loss and the associated impacts on the livelihoods and quality of life of the associated human population. The USAID document goes on to say that "this [ICFG program] is intended to create the framework for a larger follow-on activity in subsequent years."

With the above in mind, the ICFG Program can still expect to make significant contributions to USAID long term development goals. These define the 3<sup>rd</sup> Order outcomes that could be realized through a decade or more of sustained efforts to apply the ecosystem approach to Ghana's coast and fisheries:

- Strengthen regional security in all its dimensions, including poverty reduction, food and economic security, conflict mitigation, transparent governance, and the sustainable use and conservation of natural resources.
- For Ghana's marine capture fisheries the three interdependent goals are: 1) to ensure that domestic needs for high quality protein are met, 2) by a sustainably managed fisheries that distributes the socioeconomic benefits of fishing in a just and equitable manner, while (3) enabling Ghana to compete successfully in global seafood markets.
- At the regional scale, the objective is to develop and field-test a new model for community-based sustainable fisheries that, if successful and if replicated, will offer the sub-region the opportunity to achieve sustainable management of its artisanal/traditional fisheries.

A proposed long-term vision for the governance of Ghana's coasts and fisheries is:

***Ghana's coastal and marine ecosystems are being developed and conserved in a sustainable manner—the goods and services produced by coastal ecosystems and fisheries are generating a diversity of long-term socio-economic benefits for coastal communities while sustaining biodiversity.***

The ICFG Program will work over an initial four year period to set the stage for achieving this vision by focusing upon the assembly of the 1<sup>st</sup> Order enabling conditions and generating an initial set of tangible 2<sup>nd</sup> Order outcomes. The Program will operate principally in the Western Region, but will be designed from the outset to establish strong linkages to governmental coordinating bodies and policy makers at the national level and to the region-wide Guinea Current LME.

**The Key Results**, and the associated intermediate results, to which this initial four-year ICFG Program will contribute are organized by the Orders of Outcomes framework.

For the 1<sup>st</sup> Order:

**Result 1: The 1st Order enabling conditions for a fresh and integrating approach to coastal and fisheries governance in the Western Province and at the national and regional scale are assembled.**

- *Institutional capacity to develop and implement the policies and actions developed by the ICFG Program is strengthened both in the Western Region and at the higher (provincial, national and regional) levels of the governance system.*

- *Informed and supportive constituencies* are present in the Western Region composed of stakeholders in civil society, the business community and government agencies.
- *Governmental commitment* in support of the policies and actions of the ICFG Program is present in both in the Western Region and at the national level.
- *Unambiguous goals* have been negotiated that define the social and environmental outcomes that the Program will strive to achieve over the long term.

Specific results are likely to include:

- Leveraged private sector resources are contributing to partnerships
- Over 1000 persons are participating in local resource management initiatives and over 500 are trained (approximately 50% women)—including representatives of the CBFMCs
- Over 40 workshops and outreach events held on issues pertaining to policy reform
- A minimum of 3 district scale plans/strategies—1 regional strategy and 3 national policies and multiple CBFMC bylaws are adopted by government with timebound quantitative environmental and socio-economic targets
- An increasing amount of government agency resources are allocated and targeted at implementation of ICM; and fisheries management plans; and
- Government agencies are making improvements on a governance scorecard that assesses progress towards goals, building constituencies, and commitment and capacity dimensions

For the 2<sup>nd</sup> Order

**Result 2:** Changes in behavior at the local and national level are supporting enhanced social and economic benefits to resource users.

- There is evidence of economically-viable community-based ventures in diversified livelihoods.

Specific results are likely to include:

- Over 200 small enterprises are receiving assistance packages (assets, grants, training)
- Over 1,000 persons have improved access to loan capital (e.g. benefiting from microfinance schemes)—these are a more qualitative measure of economic benefits since business income/revenue is too difficult and costly to measure accurately. Targeted groups will primarily be artisanal fisheries enterprises (fishers, processors, fish marketing, boat builders, etc.)

**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 resources use.**

- There are examples of voluntary compliance with good practices in the use of coastal resources and reformed fishing practices.
- There is monitoring of selected indicators for the condition of environmental assets and biodiversity with results feeding into ongoing strategic planning and policy-making.
- Institutions with responsibilities for coastal and fisheries management are actively collaborating to design and implement community-based practices.
- Traditional "command-and-control" in fisheries management is being replaced with community co-management.
- Enforcement regulations are improved and leading to a reduction in illegal and destructive fishing practices.
- ICM best practices are being adopted by resource users and stakeholders.
- The ICFG Program is contributing to harmonized policies and management plans designed to conserve and responsibly utilize the resources generated by the large marine ecosystems formed by the Guinea and Canary Currents.

Specific results are likely to include:

- At least 10 tourism businesses adopt best practices for coastal development and siting
- An increasing number of local fishing vessels are registered/licensed
- An increasing percentage of illegal fishers are arrested and successfully prosecuted by DoF and local institutions
- Fisheries management plans are adopted and are implementing actions that demonstrate the ecosystem-based approach
- Fishing units are adopting technological innovations that reduce destructive fishing and overfishing)

For the 3<sup>rd</sup> Order

Some examples of 3<sup>rd</sup> Order improvements in the quality of life and the condition of the environment may be achieved in this initial four-year Program, but these cannot be more than illustrative of the ultimate benefits of a sustained program. Third order outcomes are essentially captured by the long-term goal statement articulated above. Such social and environmental outcomes may be seen as:

- Evidence that there is increased social and economic well being in coastal communities generated by different approaches to fishing and diversified sources of livelihood through ecotourism and other community-based ventures
- Evidence that there are improved environmental conditions resulting from the restoration of degraded environmental assets (e.g., improved local water quality or replanted mangrove wetlands). While it is highly unlikely that fishery populations become more abundant due to the efforts of the four-year ICFG Program, the Program will collect and track the evidence necessary to determine whether positive movement is being made in the direction of specific biological reference points for selected fisheries.

Specific results are likely to include:

- Thousands of hectares of biologically significant areas are under effective fisheries management as evidenced by progress towards Biological Reference Points (BRPs) established for selected fisheries targeted by the Program—e.g., a reduction in bycatch towards targeted BRP, or increasing abundance of fishes inside no-take marine reserves
- Thousands of hectares of biologically significant areas are under effective ICM management as evidenced by improved water quality in targeted estuary or hectares replanted with mangroves (specific evidence is linked to the issues selected and implementation actions chosen; these are undetermined until stakeholder processes are conducted)
- Thousands of hectares in areas of biological significance are under improved management including areas of MPAs and fisheries no-take reserves established (TBD); areas of restored coastline habitat (e.g. mangroves, seagrass, shoreline vegetation) (TBD); and areas where district coastal and fisheries management plans/regulations have been adopted by district councils
- Hundreds of beneficiary households have an increased diversity of income sources and increased number of households with increased food security

**ICFG Program Implementation Phases and Principles**

The activities undertaken by this initial four-year Program are designed to create the framework for a broader follow-on Program. A major focus will, therefore, be upon tangible progress in establishing the 1<sup>st</sup> Order enabling conditions. In large measure, this will be accomplished by activities designed to demonstrate how changes in behavior of resource users and institutions, including government institutions and agencies (classified as 2<sup>nd</sup> Order results), produce benefits that signal a fresh approach to the issues posed by coastal change in the Western Region. Strategic investments in capacity

building will be essential. Program activities will be organized in a learning-by-doing mode that works to make tangible progress simultaneous with achieving both 1<sup>st</sup> and 2<sup>nd</sup> Order outcomes, and to some extent, on some socio-economic and environmental 3<sup>rd</sup> order outcomes in targeted communities in the Western Region.

The program will be separated into three programmatic phases.

**Phase 1** (completed in months 6-8). While considerable information exists on both ICM and the fisheries of Ghana, it is not at all clear at the start of the ICFG Program what the defining feature and dynamics of the issues are in the Western Region, what strengths can be built upon and what gaps in knowledge and capacity require priority attention if a sound foundation for fresh approaches and tangible progress are to be achieved. Phase 1 is, therefore, designed as an analysis of ICM and fisheries issues, the identification of capacity building priorities and the definition of initial roles for in-country partners. This will require broad ranging consultation both in the Western Region and at the national level in Accra, a review of potential field sites in the Region, and strategies at initial consultations with the LME program at the regional scale. A first round of training/participatory assessment and planning events, and the selection of sites and activities for tangible field actions will be other elements of Phase 1. A more detailed description of the activities to be undertaken in Phase 1 is provided in the Program Activities section. Phase 1 culminates in a detailed design of Phase 2 and the completion of a number of products (documentation of baseline conditions, biodiversity threats assessment, and capacity building needs assessment) that will be integrated into a State of the Coast document design for wide distribution in the early stages of Phase 2.

**Phase 2** (completed by the end of Year 2). Here, the major emphasis continues to be on the assembly of 1<sup>st</sup> Order preconditions for effective practice of ICM and decentralized fisheries management at specific sites and in selected fisheries in the Western Region. However, the emphasis in Phase 2 shifts from information integration and analysis to activities in the Region designed to build constituencies and capacity for an issue-driven approach to ICM and decentralized fisheries management. This will be structured as learning-by-doing with an emphasis upon activities designed to test the viability and relative effectiveness of a diversity of tools and approaches. Such activities will be focused upon specific communities and coastal districts in the Western Region, where an integrated approach will address the suite of priority issues identified with the populace. The result will be a tangible expression of the progress towards the ICM and fisheries goals of the ICFG Program.

**Phase 3** (completed in month 46). Here, learning-by doing and capacity building in the Western Region continues and achievements and lessons-learned are documented and disseminated. However, in Phase 3 there

will be a greater emphasis on policy reform at the regional and national levels. This will build upon the active involvement of key institutions and individuals that is required at the national levels in Phases 1 and 2. Phase 3 will be organized to put in place the foundation for a long-term program that addresses the root causes of the coastal and fisheries issues identified by the ICFG Program and will build upon the strategies and actions that have proved to be most effective in an initial four-year period.

### **Principles and Good Practices for Achieving More Sustainable Coasts and Fisheries**

The following will be applied in the design and implementation of the ICFG Program.

**Apply an ecosystems-based approach.** Recognize the linkages between coastal uses and livelihoods, biodiversity conservation, and fisheries. The central idea is to recognize that management and governance must focus on human behavior and to understanding that loss of environmental goods and services reduces the long-term prospects for human quality of life. This requires broadly addressing community needs including issues such as public health (e.g. water and sanitation, HIV/AIDS, family planning) livelihood development (e.g. improved economic resilience, diversification of income sources, improved existing enterprises within the value chain), as well as biodiversity conservation.

**Promote adaptive management.** The ICFG Program will be structured to allow for monitoring progress and analyzing results. This process provides management with timely information on needed program adaptations. Also, by disseminating lessons learned broadly—i.e., beyond the Program site(s), team members, and partners—it is possible to help other programs replicate successes and avoid repeating failures.

**Strengthen in-country capacity** at both the human and institutional levels (nongovernmental organizations and government agencies). For government, this means helping to redefine their role in sector reform and management—moving from a "command and control" to an "enabling" role.

**Commit to sector reform as a long-term process.** It is essential to focus on instituting reform measures today that improve the enabling environment for concrete results in the medium to long-term. This requires building in-country capacity at all levels. Equally important, it requires identifying continued financing for the agencies responsible for policy, planning, and enforcement of the reform measures; and funding to continue activities that reflect such reform. Only by taking such a long-term view is it possible to sustain the progress achieved during the ICFG and similar Programs.



**Promote the evolution of fisheries management from open access and regulated access to managed access.** The Program will promote movement from open access to managed access and secure tenure of the fisheries. This means a "rights-based system" in which individuals or groups entitled to access the fishery are said to have use rights. Rights in a fishery define the particular actions a fisher is allowed to take and the claim the fisher has to a benefit stream. Rights provide fishers with an incentive to behave in a way that helps ensure long term sustainability and greater stewardship of the fisheries resource, rather than engage in a race to catch the last fish.

**Incorporate climate change adaptation strategies.** Climate change impacts present other challenges—to the ecosystem, coastal communities and fisheries infrastructure. Maintaining the resilience of coastal ecosystems is important to both people and to sustaining the goods and services that ecosystems produce.

**Promote broad participation, social responsibility and equity.** The ICFG will promote stakeholder participation—including women, youth, and the disabled—in management planning, decision-making, and implementation. This includes considering gender equity in terms of: 1) how decisions are made about marine resource use, and 2) who benefits economically from exploitation of those resources. Analysis of gendered roles in the value chain will help identify opportunities both for men in terms of the harvest end of the business and for women in terms of the processing and marketing ends of the business. Because it is often assumed women's primary role is in the processing and marketing aspects of the fisheries sector, their role in the harvesting end of the business is poorly documented and recognized.

### **Program Management**

#### **Strategic Partners and Clients**

Since this Program is an Associate Award under the LWA Cooperative Agreement for Sustainable Coastal Communities and Ecosystems (SUCCESS), the Coastal Resources Center (CRC) at the University of Rhode Island (URI) is the lead institution responsible for overall Program management and implementation including Program and financial reporting to USAID/Ghana. Several other international, national and local organizations will play critical partnership roles with implementation. The program will interact locally with the three primary governance groups: government agencies, the private sector and civil society (See Figure 1). The primary clients to benefit from the Program within Ghana include several national government agencies and their respective field offices in the Western Region. This includes:

- Ministry of Environment, Science and Technology
- Fisheries Directorate of the Ministry of Food and Agriculture
- National Fisheries Commission

- Ministry of Lands and Natural Resources
- Western Region Local Government Units (Coastal Districts)
- University of Ghana Department of Oceanography and Fisheries
- University of Cape Coast

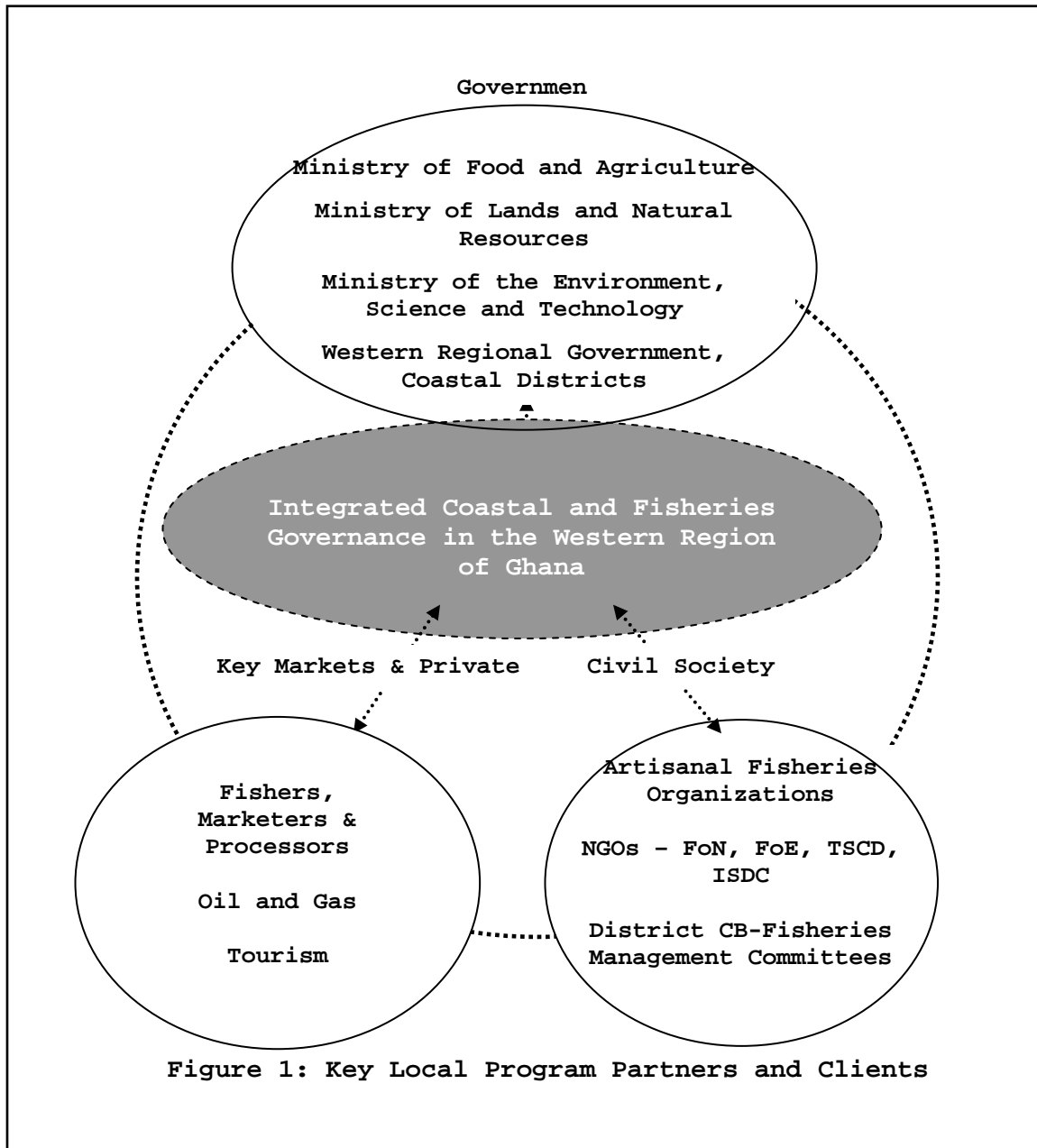
The ICFG Program considers these government institutions as the key clients for one primary reason. If there is to be long term success and sustainability of fisheries reform in Ghana, its national lead agencies and local counterparts must have the capacity for and commitment to providing on-going support (policy, technical, and financial) to implement reform long after externally-funded projects and programs are completed. The ICFG Program can help make significant contributions toward this goal—by strengthening these agencies' technical understanding of the policy reform measures that are needed; increasing their understanding of integrated and ecosystem-based approaches and through other actions outlined in more detail in the Program Activities section of this document

The ICFG Program will also work with the civil society sector in Ghana, which includes national and local nongovernmental organizations (NGOs), especially those with on-going programs on environmental and community-based resources management in coastal areas of the Western Region. This includes:

- **Community-Based Fisheries Management Committees (CBFMCs)**—is established to help decentralize fisheries management at the local level—with its membership including fisheries stakeholders and government representatives.
- **Friends of the Nation/FoN** (main office in Takoradi)—works in natural resource management (NRM) community development, and enterprise development. The NRM focus is on oil and gas and fisheries; while the community development work focuses on decentralization and co-management, with strong efforts to strengthen the CBFMCs.
- **Other NGOs** are also involved. The *Resource and Environment Development Organization (REDO)* has experience in biodiversity conservation and coastal management issues in the Western Region of Ghana. The *Technical Services for Community and Development (TSCD)*—a small marine fishery NGO in Accra conducts activities on fisheries research, policy and awareness raising. The *Integrated Social Development Center (ISDC)*, a long established NGO, is assisting with formation of a multi-stakeholder coalition to address oil and gas development. *Friends of the Environment*, a national NGO, implements varied activities to promote environmental protection and socially equitable sustainable development.
- **The University of Ghana-Legon, Department of Oceanography and Fisheries** offers graduate level training in environmental sciences and coastal management with opportunities for local

graduate students to conduct management-relevant research; and can serve as a venue for national professional training on ICM and sustainable fisheries.

- **Fishermen Associations** (numerous) including the National Association of Fishermen and other user group associations for canoe fishers, trawlers, hook and line fishers, etc.



Private sector partners will include the semi-industrial and industrial fisheries sector, especially concerning conflicts with the artisanal sector, the oil and gas industry, fish marketing and

processing enterprises (mainly small scale domestically oriented supply chains), and the tourism sector.

At the international level, CRC/URI will work with the WorldFish Center's West Africa regional team. This group has extensive experience in West Africa and Ghana, especially on fisheries co-management, governance, market analysis and livelihoods, and will provide additional technical support services to the ICFG Program. The specific scope of work for the WorldFish Center will be detailed on an annual basis as part of the overall workplanning process in which the WorldFish Center will participate, working closely with the Program Director. However, the anticipated type of services that the WorldFish Center will provide to the Program may include but not be limited to:

- Design and implement fisheries sector reviews, co-management governance reviews, gender and socioeconomic assessments as needed
- Assess the role of traditional management institutions and provide recommendations for how they can be better mainstreamed into co-management strategies
- Design and implement value chain assessments
- Assess opportunities for building the capabilities of producer organizations for selected fishery products targeted for incorporation into livelihood and wealth development, and community resilience initiatives
- Assist in developing gender empowerment, enterprise development and producer organizational development strategies
- Undertake in-country capacity building initiatives including in-country training courses and supervision of research conducted by local graduate students from the University of Ghana or University of Cape Coast
- Participate in dialogues with the Offshore Oil and Gas sector in resolving use conflicts with artisanal fishers, drawing on the WFC experiences in Egypt and other relevant experience in West Africa

This Program will also work with Friends of the Nation (FoN), a local socio-environmental NGO that has on-going activities to address the crises in Ghana's fisheries sector, especially in the Western Region. FoN has worked with fishery communities for over 12 years to achieve "Good Governance" by advocating for institutional reforms in the fisheries sector for more effective regulation and management. FoN applies a right-based advocacy strategy that aims at citizens' empowerment, community participation, building communal networks and providing district and regional platforms for national level advocacy in the fishery sector. Key areas of FoN participation in the ICFG Program will likely fall within the following objectives and activities:

1. Strengthen the capacity of fisherfolk at the community, district, regional and national levels to participate in sustainable ICM through effective co-management. The specific activities under this would be to:
  - Form fisherfolk groups/ management committees at the community, district, regional and national levels for co-management of the fishery resources.
  - Advocate for the institutionalization of the fisherfolk management committee structures.
  - Build the capacity of fisherfolk management committees for effective co-management.
  - Educate on and raise awareness of sustainable fishing and fisheries laws.
  - Strengthen the national civil society alliance for marine resources conservation.
  
2. Address the depletion of fisheries resources and over-fishing problem by:
  - Organizing workshops and training on sustainable fishing methods for fishers.
  - Organizing media programs to raise awareness of sustainable fishing issues.
  - Engaging policy makers and duty bearers for the development of a pro-poor community-led Legislative Instrument for the sector as well as enforcement of fisheries laws.
  
3. Advocate for services that will increase social and economic benefits to selected artisanal fishing communities by:
  - Facilitating the formation and strengthening of small scale fishery co-operative enterprises, and for developing alternative livelihoods such as tourism
  - Advocating for environmental services to address sanitation problems in fishing communities
  - Building fisherfolk capacity in standardization and post harvest technologies

Other partners with substantive roles include the USAID/West Africa Regional Office and its programs addressing regional fisheries management issues and seafood trade (e.g. WATH). ICFG will also coordinate with other U.S. government-funded initiatives in the region as appropriate. This includes the Department of Defense/Office of Naval Research, which is assisting Ghana with maritime security, monitoring control and surveillance within the EEZ, and with coastline mapping. Partners in the ICFG will contribute resources to

implementing the Program's unified vision—respective with each organization's mission, mandates, priorities and resource capabilities.

### **Operational Staffing and Lines of Authority**

The Program will be implemented by a core of highly capable in-country staff, under the leadership of a Program Director. The In-country Program Management Unit (PMU) will be a legal entity of URI, which provides its in-country offices with highly decentralized authority for financial management including all local purchasing and contracting—with the exception of international- and US-based sub-recipients and personnel. Programmatic authorities are also decentralized. The PMU, through its Director, will be responsible for implementation of approved annual workplans and achievement of performance targets. CRC-URI does hold legal fiduciary responsibility for fiscal reporting on and meeting the results outlined in the USAID Cooperative Agreement. As such, it provides technical and administrative backstopping and oversight to the in-country team as needed. Again, however, the day-to-day implementation of activities will be led by the in-country Program Director and his management team (Figure 2 below). The Director will have authority to delegate selected authorities and responsibility to task managers for managing respective activity budgets and delivery of associated results. Task managers will supervise junior technical staff and are responsible for overseeing implementation of activities and subcontracts within her/his areas of expertise. The goal of this model of staffing is to empower local staff in order to build local technical and managerial capacity that will continue to reside in and benefit Ghana long after the Program has ended.

The Program will hold annual workplanning workshops with partners to discuss key accomplishments, implementation challenges, lessons learned and to plan the next year's activities; while quarterly partner meetings will help efficiently coordinate field activities. All partners will be trained in performance monitoring and reporting, *TraiNet* reporting, and USAID branding and marking policies as well as environmental compliance procedures. CRC-URI uses a system of simple forms accompanied by supporting documentation for reporting actual results against targets. The PMU, with CRC oversight, will provide Program reports to USAID Ghana. Official financial reporting to USAID will be carried out by URI, although the Program team can provide periodic unofficial expenditure estimates and pipeline analysis as requested by USAID.

CRC will establish a Program management office in the Western Region of Ghana, where the Program Director will be located. This office will be co-located in the Takoradi-based office of FoN—a key partner for on-the-ground activities in this region. A small office will be set up in Accra where the National Policy Coordinator will reside. The

Program Director will have overall authority and responsibility for Program management and implementation and serve as the main point of contact for USAID. He/she also will also be responsible for preparing annual workplans, progress reports, developing detailed terms of reference for local consultants and partners, and the supervision and management of local personnel. CRC will contract additional full time local staff for the Program office, including a Deputy Program Director, extension and technical support staff, and an administrative and fiscal support group. Figure 2 depicts the internal operational structure of the Program. The Deputy will be responsible for implementation of day-to-day field operations and overseeing community extension personnel. The Program prefers and will make every effort to: 1) hire extension staff from the fishing communities where Program activities are focused and 2) strive for gender balance. Extension staff will be the lead organizers, facilitators and liaisons with community-level government, and local civil society organizations. The Program Director and Deputy will be the main liaisons with strategic partners, especially with the Department of Fisheries, the Western District Regional Government, Coastal Districts, and key private sector stakeholder groups.

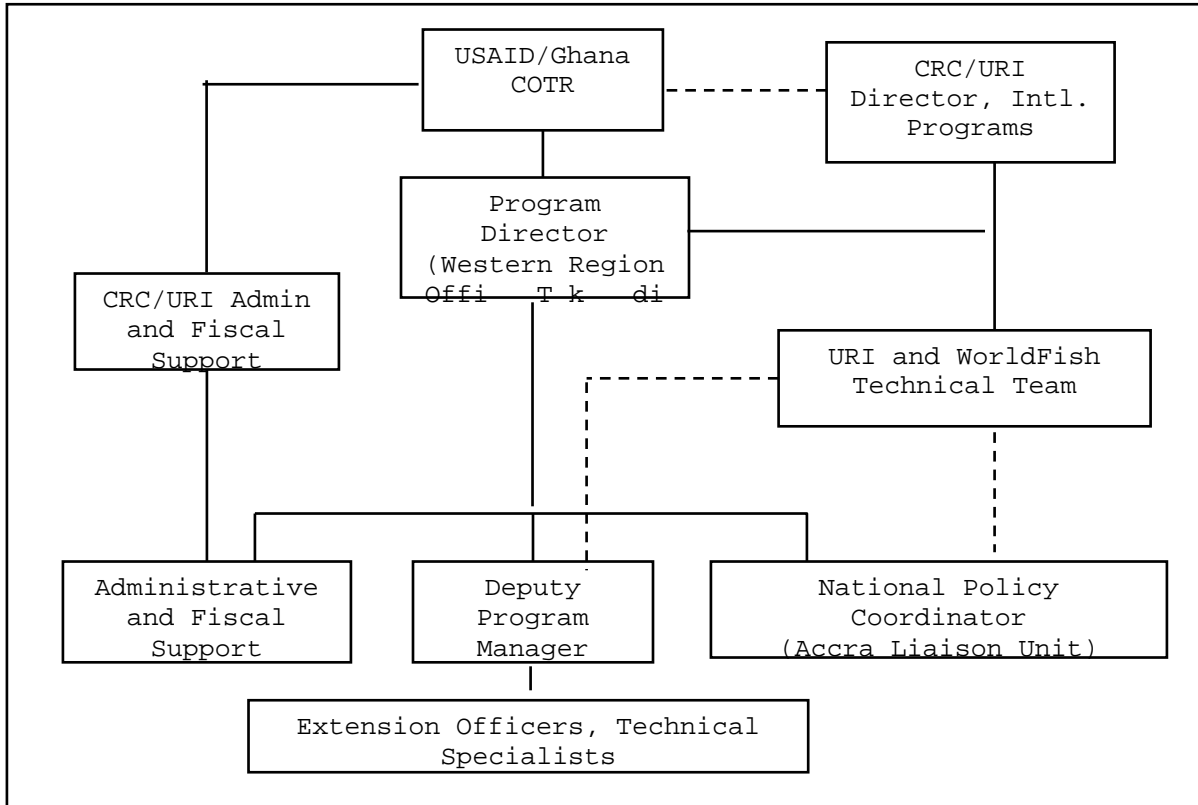
In the Accra office, The national policy coordinator will be responsible for guiding all of the national level work to be undertaken by the Program, including but not limited to working with local consultants to undertake national policy and governance reviews; developing policy recommendations; managing the development and implementation of public awareness campaigns; assisting in the development and implementation of public-private sector partnerships with the oil and gas companies, the industrial fishing sector, and tourism; and liaising with other national/regional projects related to the ICFG Program funding not only by USAID but other donors as well.

A CRC management and technical team led by Brian Crawford, CRC Director of International Programs, will provide selected Program oversight and support to include but not be limited to:

- Management oversight of in-country operations carried out by the local Program team—primarily, but not exclusively, working through the in-country Program Director
- Technical assistance on national policy, community-based management strategies, fisheries management and extension

Stephen Olsen, CRC Director, will serve as a senior policy advisor. His more than 20 years of international experience will be especially important in the early phase of the program—in governance assessments and in development of a more detailed life-of-Program strategy. The CRC/URI foreign technical specialists will report to Crawford, who will develop their terms of reference in close consultation with the Program Director. However, during in-country assignments, these foreign technical specialists will work under the day-to-day direction of the Program Director. Other URI personnel contracted to provide in-

country technical support will follow the same arrangement.. The WorldFish Center will partner with URI to provide specialized technical support services as well, with their terms of reference developed and agreed with both Crawford and the Program Director. This sub-agreement will be financially managed from URI (as are all contracts for international organizations and US personnel). From an operational standpoint, however, WorldFish work for the ICFG, will be in close consultation with the Program Director.



**Figure 2. Operational Structure of the In-Country Program Management Unit**

Local administrative and fiscal support staff will be contracted in-country and work from the Western Region Program office. The local administrative team will be trained and backstopped by a CRC/URI administrative team lead by Cindy Moreau, CRC Business Manager, who has 20 years experience in USAID Program administration and financial reporting, including conducting internal audits of sub-recipients. Kim Kaine, CRC International Program Support Coordinator, will ensure Program compliance with the TraiNet tracking system and USAID branding requirements, and ensure submission of relevant Program documents and materials to the USAID Development Experience Clearinghouse.



USAID substantial involvement in this Program will include:

- Approval of annual workplans
- Designation of key positions and approval of key personnel
- Approval of the monitoring and evaluation plan (PMP) and involvement in monitoring progress towards achieving Program objectives

USAID/Ghana will be invited to attend the Program workplanning sessions and provide inputs to the annual plan and the ICFG Program's monitoring and evaluation plan (PMP). The Program Director will submit draft workplans, and the PMP to the Program's Contracting Officer's Technical Representative (COTR) for review, comment, and eventual approval. USAID will be invited to participate in major scheduled events and encouraged to visit the field at any time, with the in-country Program team assisting with logistical arrangements as requested. Key positions have been described above and key personnel listed below. Significant changes in positions or personnel not included in this Program statement will be made in consultation with and approval by the USAID COTR. On a regular basis, the Program Director will brief USAID Ghana on Program progress, challenges and accomplishments.

#### **Coordination with other Donors and Initiatives**

There are several related projects and programs ongoing in Ghana that will be important to coordinate with over the life of the ICFG Program. This will take the form of periodic meetings with these other projects/programs. The purpose of these will be to share each project/program's activities to avoid duplication, and to identify areas where cross-project cooperation could result in synergies, and programmatic efficiencies and added value. In addition, the ICFG Program will take a lead in organizing annual learning symposiums where projects and programs can share experience, analyze strengths, weaknesses, gaps, and lessons learned. Other donors/donor support will be leveraged to provide funds to participate in these annual symposiums.

Major programs that are important to coordinate with will include but are not limited to:

- The Ghana Environmental Resource Management Project—Coastal Wetlands Management
- The Guinea Current Large Marine Ecosystem Project (GCLME) and Guinea Current Commission (being formed for program continuation after the GEF project ends in 2010)
- West African Regional Fisheries Program
- Fisheries Sub-sector Capacity Building Project—a World Bank/GEF project currently under preparation and scheduled for 2009 implementation; the ICFG Program will contribute to the

objectives of the WB/GEF project and, as appropriate, help influence the direction of at least some of the downstream investments of this multi-year program

- Collaborative Action for Sustainable Tourism Project (GEF-funded)

### **Coordination with Key Government Agencies**

An essential element of the ICFG Program strategy is to build the capacity of key government agencies that have or should have an important role in reform of the fisheries sector and in guiding Ghana's sustainable development within the coastal zone. As such, it is essential to involve these agencies from the very start of the Program.

### **Program Activities and Mobilization**

As outlined above, the Program's activities will be organized into three phases designed to achieve a progression from familiarization with the issues, actors and needs of the Western Region in Phase 1, to the implementation of actions designed to promote learning-by-doing at specific sites and in selected fisheries in Phase 2 that culminate in Phase 3 in a concerted effort to achieve necessary policy reforms and long term commitments to ICM and decentralized fisheries. The strategy is to establish a nested governance system that links actions at the community level to supporting policies and actions at the regional and national scales. Experience and achievements of each phase will be the basis for the detailed design of the next phase. The following outlines the scope of the activities to be undertaken in Phase 1.

#### **Phase 1**

##### **Program Mobilization and Administrative Start-up**

Start-up activities will begin within the first 30 days of signing a USAID-URI Cooperative Agreement and are expected to be completed within the first 90 days. One of the first actions will be to put in place the staffing and basic administrative and financial structures, operational procedures, and policies to carry out the Program. This will include:

- Hiring of new staff and finalizing appointment/contracts, with a focus on key staff that will reside in-country—i.e., the Program Director and Deputy, National Policy Coordinator, and other core staff including field extension personnel and the administrative and fiscal support team
- Initiation of procedures to establish local funds transfer and management
- Setting up of local office(s) and purchasing of capital and equipment items

- Training and orienting in-country staff and partners in URI and USAID administrative, fiscal and programmatic reporting procedures and policies including PMP, TrainNet, environmental review policies, branding plan, etc.
- Preparing and signing of sub-agreements with local and international partners to carry out Phase 1 programmatic activities

### **Phase 1 Actions in the Western Region**

**Analysis of Governance Responses to Ecosystem Change.** The issues that need to be addressed in moving towards more sustainable fisheries are complex. Hence, the importance of documenting the governance reference points or "baseline" of how the governance system has and is responding to such issues. The governance analysis not only details the condition of the ecosystem of concern, but more fully examines the manner in which key issues are being addressed by the current governance system, including enabling laws, policies, institutional capacities, and the political commitment and constituencies that enable change. The ICFG team will use the recently distributed handbook by LOICZ ([Olsen et al. 2009](#)) to assess the maturity and capacity of the existing governance systems and to analyze the processes by which the government, civil society and markets influence the specific issues posed by ecosystem change. This analysis of the strengths and weaknesses of the existing governance system will have important implications for what this Program attempts to do and how it does it. Information from this analysis will complement, and be integrated with that produced by the biodiversity threats assessment. The baselines will be prepared in close consultation with governmental officials and other stakeholders both in the Western Region and in Accra. This work will be led by the CRC team and SustainaMetrix, working closely with the in-country team. As part of this process, particular emphasis will be placed on an assessment of the fisheries sector—a review of biological stock status, socioeconomic conditions, gender analysis and value chain assessments for key fisheries considered most at threat but of high socio-economic importance to the Region. The assessment will also review the degree to which the governance framework, co-management and traditional management are working towards ecosystem based management and managed access to address overfishing, and analyze key conflicts within the sub-sectors and with other sectors such as oil and gas. The WorldFish Center will take a leading role in the fisheries sector assessment working with local partners in the Department of Fisheries and relevant research institutions.

**Biodiversity Threats Assessment.** A portion of the ICFG Program's funding is attributed to the biodiversity earmark. As such, it requires conducting a biodiversity threats assessment to document critical biodiversity assets in the Program area and identify priority threats to that biodiversity. This assessment will be based mainly on

secondary information available in Ghana and focus on the Western Region. It will be supplemented by key informant interviews of local experts and by collecting local ecological knowledge of resource users. Assessment results will be used to define issues and targets and ensure that Program activities in phases 2 and 3 address priority biodiversity threats in these areas. This will help determine specific and selected environmental indicators that should be used to monitor and assess the impact of Program activities on the region's biodiversity. This work will be carried out largely by the in-country team, led by the Program Director who has substantial experience in conservation planning and management. The university of Ghana Legon and The Western Cape University are also expected to play an important role in assembling and summarizing existing scientific information and local knowledge.

**Identification of Capacity Building Needs.** Phase 1 will feature the preparation of a capacity building needs assessments based on the baselines, the threats assessment and competencies identified by CRC certification programs for MPA and coastal management professionals. There will be at least one planning workshop in Accra and one in the Western Region that brings together key Program stakeholders and implementers and selected private sector actors, including representatives of fishermen associations to:

- Identify and discuss ICM and fisheries management issues
- Review the Program design and goals
- Solicit inputs to the phase 1 and 2 workplans
- Identify needs for capacity building and strengthening strategies

These and other discussions will be a basis for identifying and prioritizing capacity building needs. This work will be led by the in-country team with technical backstopping from CRC (for MPA management, ICM) and the WorldFish Center (for fisheries co-management).

**Early Actions in the Western Region.** Phase 1 will include a sample of early actions targeted at coastal management and fisheries issues identified through the stakeholder engagement processes. Such early actions will work to test the viability of strategies for diversifying and strengthening the livelihood options within each community. This early action strategy is also designed to build goodwill with stakeholders and the commitment to responsive action by the Program. These will 1) set the stage for longer term actions such as value chain analyses of key fisheries products of most interest to the artisanal fisheries stakeholders, and 2) show the best opportunities for value added wealth creation at the local scale. A product of Phase 1 will be the selection of one or more coastal districts in the Western Region where issue driven, cross-sectoral ICM and fisheries co-management strategies can be developed in Phase 2. Much of this work will be carried out by the in-country team with some technical

backstopping by CRC and WorldFish Center in their respective areas of expertise. In this phase, it is expected there will also be substantial involvement of the targeted government agencies at the district, regional and national level in developing the action strategies. Friends of the Nation will play an active role in facilitating community participation and implementation of community-based actions.

### **Phase 1 Action at the National Level**

**Capacity Building.** Develop and implement an annual national professional training course on ICM and sustainable fisheries in cooperation with the University of Ghana targeted at key government agency partners and civil society institutions. CRC/URI with over two decades of experience in designing and implementing professional ICM training will help design this. Recent developments of the URI-CRC LWA Leader Award in identifying core professional competencies (knowledge, skills, values and ethics) will be adapted to the Ghana context. The fisheries training will be designed with the aid of The WorldFish Center and the URI Fisheries Center, which has specialized expertise on fisheries stock assessment and designing less destructive, more sustainable fishing gear innovations. Phase 1 will focus on the design of core curriculum while training of trainers and annual training workshops will occur in phases 2 and 3.

**Public-Private Partnerships.** Engage in dialogue with commercial scale coastal businesses to identify opportunities for partnerships—e.g., with the tourism sector, and with the oil and gas industry in regards to supporting a community development fund and developing a localized oil spill contingency plan. Both SustainaMetrix, with its substantial staff experience in facilitating public-private partnerships, and the WorldFish Center, with its direct experience in facilitating dialogues between the fisheries with the offshore oil and gas sector, will guide the in-country – especially the Program Director and National Policy Coordinator—in this effort to build public-private partnerships between the two sectors.

The ICFG team is aware that the offshore oil and gas companies of Tullow and Kosmos have expressed interested in participation in the Program. CRC will have specific dialogues with these companies, especially in regards to oil and gas and fisheries conflicts. CRC knows that every effort must be made to bring the actors into the process of issue analysis and discussion of possible courses of action at the earliest stages of framing a response to a problem. The best approach will likely be to work with the parties one-on-one to first understand the concerns and perceptions of each and then bring them together. Building trust between the partners will be crucial to success. A dialogue on the conflict between fisheries and oil/gas is one way to engage the parties. These companies are likely willing to play a strong role in developing detailed oil spill contingency plans

for the Western Region to protect critical coastal biodiversity assets in case of a spill. Experience suggests that they may also be willing to: 1) pre-position disaster/oil spill response equipment, 2) provide material resources to help improve local fisheries enforcement capabilities, or 3) establish a coastal community development fund that can support for instance, development of community-based water and sanitation projects. These options and more will be explored in conversations with the industry.

**Conflict Resolution Dialogues.** Create venues and events that allow various stakeholders to address some of the large scale conflicts occurring in Ghana's marine zone. This includes the multiple conflicts between the artisanal, semi-industrial and industrial fisheries sub-sectors as well as between the oil and gas, and fisheries sectors. These issues may intensify with time and there is no "silver bullet" to solve them. This is an example of a problem that will benefit from experience of other places/projects where the same or similar issues have been addressed. The ICFG Program team will identify that experience which it believes could be transferable to the Ghanaian context. Ghanaian traditional practices and forums for resolving disputes will be applied where practical. For instance, the oil and gas companies have a legitimate security and safety concern and legally mandated exclusion zones are typical. While the oil and gas industry is concerned about safety around their drilling and pumping platforms, fishermen have also complained about gear and vessels being run over, damaged or destroyed by service vessels. The ICFG Program can create a neutral forum where the concerns of both these parties can be heard and solutions negotiated through conflict resolution processes.

The Program also anticipates addressing the conflict over the difficult pair trawling issue. One possible solution could be to develop bycatch reduction devices and change the mesh sizes of the nets so the trawl fishery is less destructive and has reduced bycatch. If a ban is what is wanted, then improved enforcement strategies are needed. The fact that the Fisheries Commission has not yet been formally reconstituted has cast some doubt as to whether the ban is actually legal. This makes enforcement authorities reluctant to arrest individuals for what may not be an illegal activity. The co-management approach the Program intends to promote is designed to build greater legitimacy of regulations through more involvement of fishers in regulatory decision-making. There is anecdotal evidence that the failure to resolve the pair trawling issue has caused attitudes in the fishing community to degrade. For example, artisanal fishermen who see uncontrolled pair trawling may start using illegal techniques such as bomb fishing to supplement reduced catches attributed to pair trawling. Reversing these downward spirals of illegal behavior is difficult, but not impossible. The fishing gear conflicts require careful analysis of the problem; consideration of a range of possible alternatives as mentioned above; and full engagement of pair trawlers,

other gear fishing groups and the Department of Fisheries in dialogue and decision-making.

### **Phase 1 Actions at the Regional Scale**

Consult with the Gulf of Guinea and Canary Current LMEs to assemble lessons learned and emerging good practices on the management of artisanal fisheries and their interactions with industrial and semi-industrial fisheries. Conduct an annual symposium that focuses on good practices emerging at both the local and national scale in Ghana on ICM and fisheries, and include in this symposium as well, a regional component that looks at many of the transboundary issues for fisheries management. This work would be led by the national Program office and the University of Ghana and will result in published proceedings that would be widely disseminated and available via the web.

### **Phase 2 & 3**

The assessments conducted in Phase 1 will set the stage for designing the specific activities to be implemented in the subsequent years of the Program. Following are the types of activities that will likely be implemented, subject to revisions and adjustment based on Phase 1 outcomes.

### **Phase 2 & 3 Activities in the Western Region**

#### **Fisheries Co-management**

- Support fisheries resource management planning and development of community-based MPAs.
- Develop and mainstream CBFMCs into district councils and seek formal adoption of by-laws in District Assembly legal frameworks.
- Strengthen local fisheries surveillance and enforcement groups and provide equipment and training to improve effectiveness.
- Work to legitimize traditional fisheries management carried out through chief fishermen and village elder leaders as part of the CBFMCs.

#### **District ICM Strategy and Action Planning**

- Implement early actions to address priority issues such as sanitation and water supply, shorefront construction practices, over-fishing, degradation of important habitats, sustainable livelihood development.
- Incorporate global climate change adaption strategies into community level and District development plans.

### **Livelihood Development**

- Conduct value chain analysis of the coastal tourism and fisheries sectors.
- Identify and implement economic development and value added opportunities for local residents and women.
- Strengthen and develop community-based eco-tourism activities.

### **Communications and Outreach**

- Conduct public awareness campaigns concerning coastal management and fisheries issues using local radio, theater and environmental action public events (e.g., beach clean-ups; waste management; monitoring and surveillance of marine turtle nesting areas).

### **Phase 2 & 3 Activities at the National Level**

#### **Capacity Building**

- Develop and implement an annual national professional training course on ICM and sustainable fisheries in cooperation with the University of Ghana targeted at key government agency partners and civil society institutions.
- Conduct study tours for staff from the Fisheries Directorate, Fisheries Commission and other key stakeholder representatives to USAID marine fisheries projects in Senegal and The Gambia, and/or to Tanzania (for the Ministry of Environment Science and Technology, District level governmental managers) to learn about ICM district action planning, eco-tourism and fisheries co-management.
- Provide grants for Ghanaian graduate students in ICM and fisheries at the University of Ghana or University of Cape Coast to conduct research on management-relevant issues in the Western Region.
- Provide support for several Government managers to study at URI in applied programs in fisheries smart gear technology and marine affairs with joint advisers from URI and from the University of Ghana

#### **Policy Strengthening and Coordination**

- Produce and distribute widely a State of the Coast report that draws together the information assembled through the Phase 1 baselines, threats assessments and capacity building needs analysis to characterize the condition of the coast and fisheries of the Western Region and the near and long term implications of important issues and trends. Generation of this product will be coordinated with the coastline research being conducted by various government agencies and research institutes as well as the University of Ghana/Department of Oceanography and Fisheries, and the Woods Hole Oceanographic Institute under the support of the U.S. Office of Naval Research.



- Establish a national ICM working group to revisit the national ICM strategy, identify key issues that need to be addressed, and select priorities for early actions to be carried out (e.g. habitat and wetland restoration and protection, control of land-based sources of pollution, and coastal erosion).
- Conduct analysis and build constituencies to set the stage for developing a network of MPAs along the Ghana coast.

#### **Public-Private Partnerships**

- Engage in dialogue with commercial scale coastal businesses to identify opportunities for partnerships—e.g., dialogue with the oil and gas industry about supporting a community development fund, localized oil spill contingency planning, and local fisheries enforcement groups.
- Work with the industrial fishing industry and exporters on seafood certification schemes.
- Work with the semi-industrial and industrial fishing industry to incorporate turtle excluder devices (TEDs) and bycatch reduction devices (BRDs) into trawling gear to reduce sea turtle mortalities and allow incidental bycatch to be released and made available to artisanal fishers

#### **Phase 2 & 3 Activities at the Regional Scale**

- Collaborate with the Gulf of Guinea and Canary Current LMEs to assemble lessons learned and emerging good practices on the management of artisanal fisheries and their interactions with industrial and semi-industrial fisheries.
- Conduct periodic workshops with selected participants in the two LME programs to engage in an ongoing comparative analysis and capacity building effort that focus primarily on the needs and issues of artisanal fisheries.

#### **Phase 3 Close-Out Activities in Year 4**

Sustainability strategies will be built into the Program design from the beginning. As well, in Year 4, the Program will give concentrated attention to advancing toward this goal of sustainability. For example, by the Program's final year, it will have assumed less responsibility for direct implementation of events and activities, while local institutions work more independently. For this to happen, essential services must be institutionalized within these organizations as part of their annual workplans and budgets. In its final year, the Program will increase its efforts in capturing and documenting lessons learned and disseminating these widely within the country. This includes helping local partners map out a forward-looking agenda for sustainability and addressing remaining challenges

to moving more fully toward sustainable coastal resources and nearshore fisheries management within Ghana and the region.

There is a need to celebrate Program accomplishments with local partners and formally acknowledge the contribution of all parties and there are multiple forms such a celebration can take. As the Program approaches its final year, details of what these might be will be decided. Administrative tasks related to Program close-out include those dictated by the USAID award such as but not limited to submission of a close-out plan including disposition of Program equipment and capital items, and submission of a final Program report.

### **Sustainability Strategy**

The Program design and implementation strategy are designed to foster sustainability and the continuation of Program benefits beyond the ICFG's four years. Global experience demonstrates that long-term sustainable impacts are built on strengthening the key enabling conditions for coastal ecosystem governance: supportive constituencies, well defined and agreed upon goals, institutional capacity and formal commitment. Strategies to foster sustainability include:

- Partner with local government, community leaders, user groups as entry for activities.
- Strengthen local institutions, planning and coordination mechanisms, and local initiatives that will continue into the future.
- Establish agreements and plans formally adopted and funded at the appropriate level, building on existing plans (e.g. District environmental profiles/DEPs, local environmental action plans/LEAPs, district development plans).
- Build local capacity for long-term resource management by mentoring and empowering local leaders in communities, district government offices, regional offices of national agencies and national agencies—including using, where possible, local NGOs, scientists and other civil society organizations for implementation of Program activities in a learning-by-doing and mentoring approach.
- Build on existing local committees, associations and institutional structures, including the traditional chieftaincy, with the motivation and self interest to work together to solve local problems.
- Develop a phase-out strategy that seeks long term sustainability of critical coastal ecosystems and habitats.

The Program will collaborate with local authorities by implementing its activities within existing frameworks. The Program will also build

the capacity of local authorities through training programs and mentoring. Local government counterparts are important participants in the Program and the expectation is they will be represented during self assessments, workplanning, and quarterly meetings. This will help create local ownership and ensure that Program activities are mainstreamed into and help support regular local government and protected area planning.

### **Gender Strategy**

Understanding and addressing societal structures and patterns that perpetuate inequities is a critical part of ecosystem-based management. The Program will consider gender in all aspects of its work, with the goal of helping women and men learn to participate as equals in the Program. That said, in reality women are often disempowered—with little access to economic opportunities (with the notable exception of fish marketing, where women play an important role in Ghana) and a minimal role in village governance—and the Program will consider these constraints in its implementation. It will seek to involve women in managing fisheries; target women for microcredit; and provide leadership training to both men and women villagers with the goal of transforming women's role in decision-making. The Program will also collect data on measurable gender-related targets; involve women in natural-resource management decisions; and encourage female scientists to participate in ICFG Program work. Leveraged funding from the USAID/Washington funded BALANCED (Building Actors and Leaders in Community Excellence in Development) Program will also help empower women, by integrating messages on the links between family planning and sustainable resource use and economic benefits. CRC leads the BALANCED Program in partnership with Conservation International and Path Foundation Philippines.

In identifying, strengthening and developing alternative sources of livelihood, and in conducting value chain analyses, women's roles will be carefully considered. This will include consideration of, for example, the gendered division of labor, how decisions on investment and expenditures are taken, gendered access to inputs including micro-finance, information and other services, opportunities and capacities for collection action, and marketing institutions and the extent to which those institutions are differentially accessible to women and men.

The benefits of mainstreaming gender far outweigh the costs. At best, the latter are relatively small—requiring a shift in *how* things are done vs. *what* is done. Drawing upon the strengths, networks, and abilities of both men and women optimizes Program planning and implementation.

## **Contributions to USAID Earmarks Biodiversity**

The ICFG Program has clear objectives directed at marine and coastal biodiversity conservation. The Program's proposed long-term vision for the governance of Ghana's coasts and fisheries is:

"Ghana's coastal and marine ecosystems are being developed and conserved in a sustainable manner—the goods and services produced by coastal ecosystems and fisheries are generating a diversity of long-term socio-economic benefits for coastal communities while sustaining biodiversity." The biodiversity objectives are further exhibited in **Key Result 2:** "A diversity of on-the-ground activities that bring social and economic benefits are producing the changes in the behavior of fishers, other resource users and coastal developers that contribute to more sustainable forms of coastal resource use and biodiversity protection."

A biodiversity threats assessment will be undertaken in Phase 1 that will help further refine the Program team's understanding of the marine and coastal assets and associated threats briefly described in the introductory text. This will then set the stage for determining priority actions to address key threats in biodiverse marine areas, particularly in the Western Region. However, there is already evidence of the need for Program actions to address threats to biodiversity. For instance, threats to protected and endangered marine turtles, both from shorefront development on or near nesting beaches, as well as from mortalities associated with fishing gear can be addressed in part through local ICM and fisheries management strategies. At present, Ghana has no system of MPAs of any kind in contrast to its well developed system of terrestrial and wetland protected areas. This is an alarming oversight that leaves marine biodiversity highly vulnerable and exacerbated by destructive fishing practices and overfishing. However, one marine zone in the Western District has been proposed as an MPA. The Program can help assess this proposal more fully and help move towards a formal designation of the MPA. In addition, the Program will undertake a broader review and assessment of Ghana's needs for a network of MPAs to fully protect its marine biodiversity. The use of permanent no-take zones (a form of MPA) should also be considered more broadly in Ghana as a fishery management tool as it can be beneficial to both fisheries sustainability and marine conservation. An ecosystem based approach to fisheries—one that helps protect critical habitat (e.g. mangroves that are important fish nursery grounds) and prevents overfishing—is by definition a conservation initiative that helps preserve overall ecosystem integrity and functions.

Biodiversity indicators are included in the Results Framework (Appendix A). These include standard USAID measures such as "Hectares under Effective Management" (this indicator requires biological

monitoring, which is another requirement of the biodiversity earmark). Criteria for effective management in fisheries will be evidence of progress towards Biological Reference Points (BRPs) established for selected fisheries targeted for more effective management. Examples may include:

- Reduction in bycatch towards targeted BRP
- Carapace length or total length of selected targeted species increase towards BRPs
- Increasing abundance of fishes inside no-take marine reserves

Evidence of ICM effectiveness could include indicators of biodiversity protection as well: improved water quality in targeted estuaries or hectares replanted with mangroves. It depends on the issues selected and implementation actions chosen—which are as yet undetermined until stakeholder processes are conducted.

The biodiversity earmark is also captured under the indicator, "Hectares in areas of biological significance under improved management" and would include:

- Area of MPAs and fisheries no-take reserves established
- Area of coastline habitat (e.g. mangroves, seagrass, shoreline vegetation) restored
- Area of District coastal and fisheries management plans/regulations adopted by district councils

### **Food Security**

This Program is clearly linked to USAID food security goals as one of the key issues to be addressed is sustaining food protein supply from marine capture fisheries. Ghana's fisheries provides high value food protein to the majority of its citizens who have one of the highest per capita consumption rates of fish in Africa and more than double the world average. The Program is designed to help put in place the enabling conditions and behaviors that can prevent overfishing and thereby avoid potential collapse and decline of some of the major fisheries in the country. The Program is *not* designed to increase capture fisheries production—a popular development approach in fisheries from the 1960s-80s that dramatically increased fishing effort and fishing subsidies, and is largely now responsible for much of the overfishing problem. Most of Ghana's fisheries (except the tuna export industry), and especially the artisanal canoe fishery, are considered overfished. This means that increased production above current effort levels is not possible in the short term. While a better managed fishery over time and with less effort may actually produce more fish, a more realistic goal would be to avoid major declines. Therefore, the Program is meant to help put in place the conditions and governance capacity needed to sustain production and avoid additional declines in overall production in the years ahead.

As Ghana's population increases, so too will the pressures and demands on the marine resources (including pressures from overfishing). Putting sound management policies and structures in place can help reduce the risk of collapse of this important protein supply for the country. The Program will address several dimensions of food security including:

- *Food availability* through value chain analysis that identifies ways to avoid/reduce seafood spoilage and improve distribution chains, thereby increasing availability of this critical food supply
- *Food access* by working to diversify and increase incomes of coastal communities by improving and growing fisheries enterprises, or diversifying sources of income via eco-tourism, for example
- *Food utilization* improvements through improved water and sanitation in coastal communities, and improved seafood processing and handling practices

An indicator of food security is proposed in the PMP (Appendix A) although additional work will be required to define the best measures (qualitative and quantitative) to use that can be easily attributable to Program activities.

### **Water and Health**

The "classic" ICM issues are water and sanitation, inappropriate placement of infrastructure (roads, shoreline "protection" structures) and dwellings, degradation and destruction of important habitats, overfishing, unresponsive governmental units, absence of effective planning, and weak capacity to respond to multiple interconnected issues. These must be analyzed (causes, consequences, long-term implications) and prioritized with the people of the place (both government and civil society). This becomes the foundation of a plan of action. The sites selected will be representative of common issues and have characteristics that allow them to serve as models for taking a fresh and effective approach to ICM. It is interesting to note that the 1996 Coastal Zone Management Strategy for Ghana identified domestic sanitation and pollution as priority issues. Although prioritized over a decade ago, it is possible (likely) these remain key issues and may be identified as such by many of the communities where the ICFG Program will work. In many CRC projects—including in Ecuador, Mexico, Indonesia, Thailand)—community early actions have often focused on addressing water and sanitation issues. This is an excellent way to build trust and community support for conservation and sustainable fisheries. For example, the CRC project in Tanzania is funded by Biodiversity, PEPFAR and Water earmarks. The water earmark funds have been used to construct rainwater collection tanks, build latrines for schools, address pollution sources upstream of drinking

water supply points through improved industrial environmental management systems, and to address larger policy issues on water allocation and management within targeted watersheds. Again, early actions must be driven by community needs but likely will include water and sanitation activities. These activities can be reported using USAID water earmark indicators. If there are large scale needs identified—i.e., needs that go well beyond the scope of this Program and which cannot be addressed through a few "early actions"—the team would welcome the opportunity to tap into additional water earmark funds, if available, and expand the scope of these ICFG activities. This approach would be similar to what CRC has done in Tanzania.

Problems of overfishing and fish food security are in part linked to rapidly expanding coastal populations which create increasing demand on a limited supply of fish food protein. In addition, Ghanaian fishermen tend to migrate seasonally throughout the West African region, which places them at increasing risk for contracting infectious diseases such as HIV/AIDS. Acknowledging the linkages of ICM and sustainable fisheries to these health issues means that such programs may also choose to integrate family planning and HIV/AIDS prevention strategies in targeted coastal communities and integrate population, health and environment (PHE) messages. CRC/URI is currently implementing the BALANCED Program, funded by USAID/Washington, which is promoting such integrated programs—programs that have demonstrated value added benefits from such integration. CRC will leverage these resources to integrate such messages in the Ghana ICFG Program, and where additional USAID mission resources can be tapped for on-the-ground implementation of family planning or HIV/AIDS prevention activities, appropriate indicators and earmark reporting will be provided to USAID. It should be noted here that Friends of the Nation—identified as a key implementing partner at the community scale—in addition to its fisheries activities, also has experience with HIV/AIDS prevention and condom distribution in the Western Region.

#### **Institutional Experience and Capabilities of Program Partners The Coastal Resources Center at the University of Rhode Island**

The Coastal Resources Center (CRC) at the University of Rhode (URI) is a non-profit institution with a mission to promote coastal stewardship worldwide. As part of a Land-Grant/Sea Grant university, CRC has 35 years experience successfully implementing coastal management programs and initiatives totaling over US\$100 million in grants and contracts. This includes more than two decades as a USAID partner in a series of global initiatives in coastal resources management that have advanced the principles and practice of ICM—including in The Gambia Tanzania, Kenya, Ecuador, Thailand, Sri Lanka, Mexico, Nicaragua and Indonesia. In addition to over US\$50 million in USAID support, CRC international work has received funding from development banks, government agencies, and private foundations.

CRC staff provide decades of collective skills and international experience in a wide array of coastal and fisheries management and conservation efforts. This includes but is not limited to policy development; applied research and extension; technical skills in fisheries, mariculture and marine protected areas; design and implementation of micro-enterprise and livelihood development initiatives; socio-economic analysis; program design, implementation, and evaluation; gender mainstreaming; training and outreach; strategic planning; grants management, and knowledge management. CRC is also known for its effective multi-track approach that integrates across local, municipal, national, and regional scales. Examples of how this approach has been applied successfully around the world are provided in Table 1 (see page 8). For instance, in Tanzania, CRC facilitated the development of a National Coastal Environmental Strategy and is currently working closely with national and selected district governments on developing operational procedures and strategies for implementing coastal district action plans to help close the critical implementation gap. Given the similarity of Tanzania and Ghana's governance structures, the Tanzania experience will be of particular relevance to Ghana. Along the Tanzania mainland and in Zanzibar, CRC has developed effective co-management approaches to artisanal fisheries. This includes establishment of small scale community-managed marine protected areas (MPAs) and improved enforcement strategies to reduce destructive fishing in areas where the project is operating. In both Latin America and the Western Indian Ocean Region, CRC developed and is implementing professional certification programs for marine conservation practitioners and municipal environmental and natural resource planners that define essential core competencies required to successfully and effectively carry out the responsibilities of those professional positions. The programs use methods that benchmark individuals against these core competencies, and tailor professional development strategies to address the individuals' specific skills gaps and weaknesses.

Another important feature of CRC programs and experience is its capability to integrate across sectors and programs. For instance, in many CRC projects—including Ecuador, Mexico, Indonesia, Thailand—community early actions have focused on addressing water and sanitation issues. This is an excellent way to build trust and community support for conservation and sustainable fisheries. In another example, the CRC project in Tanzania integrates activities and funding from the Biodiversity, PEPFAR and Water earmarks. The water earmark funds have been used to construct rainwater collection tanks, build latrines for schools, address pollution sources upstream of drinking water supply points through improved industrial environmental management systems, and to address larger policy issues on water allocation and management within targeted watersheds. PEPFAR funds are being used to reduce HIV/AIDS prevalence in communities surrounding a coastal national park and address specific fisheries-related issues



such as women being forced to provide sex for the right to buy and sell fish.

Particularly relevant to this Program, CRC has significant expertise in fisheries management. This has included:

- Mentoring the development and implementation of fisheries co-management plans, including a district-scale plan in Tanzania and community-based management of women-dominated cockle fisheries in Zanzibar and Nicaragua
- Leading field teams in establishing over a dozen community-based no-take marine sanctuaries in North Sulawesi Indonesia, and building community capacity for enforcement and monitoring
- Rebuilding fisheries livelihoods in Ranong Province of Thailand following the 2004 Asia tsunami, including establishing village banking and microcredit schemes for diversification of livelihoods
- Preparing a Global Fisheries Opportunities Assessment report for USAID/EGAT and a Sustainable Fisheries and Aquaculture Guide for USAID staff and partners (in final preparations)

URI is also recognized internationally as a leader in rights-based fisheries and the options for addressing over-capacity and destructive fishing in a wide diversity of contexts. The URI fisheries extension program is a national leader in integrating the knowledge and values of fishers with the academic knowledge engaged in re-thinking how fisheries should be managed in order to avoid the chronic over-exploitation that has marked capture fisheries worldwide in recent decades. In 2007, URI and a group of local fishermen won the [WWF international competition for smart gear design](#) for the "eliminator" trawl net. This new design, suggested by fishermen and collaboratively tested with URI Sea Grant fisheries extension program scientists, significantly reduces bycatch—producing a cost effective solution that benefits fishermen and achieves conservation goals. Versions of this gear design are now being adopted in other regions of the world. The Department of Fisheries in Ghana has already inquired about the possibility of applying bycatch reduction devices on the semi-industrial trawl fisheries operating in Ghana—a possible alternative solution to the difficult-to-enforce ban on pair trawling.

Key features of CRC international management experience and capabilities are provided below:

***Efficiency in Program Start-up.*** CRC and its partners have a repertoire of time-proven operating frameworks, policies, systems and procedures that can be put into place quickly and efficiently to reduce the time required for Program start-up. The Center and its team have many and mature relationships with local partners, knowledge of the local culture and business procedures from over 20 years experience

implementing coastal field projects internationally, including in Africa, and can smoothly add projects or transition from one project to another over time. The team's many years' experience with USAID provides a thorough understanding of USAID reporting requirements, policies and procedures and also allows for quick response to additional requests and needs. CRC is experienced in *TrainNet* reporting, branding, and 508 compliance.

***Service to USAID and its Clients.*** CRC and its partners provide high quality service to the people of the place and to donors—routinely meeting and exceeding stated project/program goals and targets. Part of this owes to an adaptive management approach that identifies when a strategy or action is not working. When adaptations and changes are necessary, the team works effectively with donors and in-country partners to ensure adjustments that minimize disruption while continuing to make progress toward overarching goals. The Center's organizational mission focuses on servicing local institutions and the people living in the coastal areas of the world—by improving governance that protects environmental conditions while allowing local people to obtain a high quality of life.

***Sound Fiscal Management of Donor Funds.*** External audits of CRC's home and field office fiscal and management policies, procedures, and systems acknowledge sound financial and administrative management. This ensures efficient cost control, accurate cash flow projections, and accurate and timely financial reporting. CRC is backstopped by its university systems and policies. The UR resident federal auditing agency is the Department of Health and Human Services. In-country accounts are internally audited annually by visits of the CRC business manager. Administrative and fiscal policies and procedures are also reviewed annually and updated as needed to provide sound controls and efficient administration. In addition to the annual external URI audit, URI periodically undertakes project-specific audits of in-country operations using local audit firms familiar with international and American audit standards.

***Managing a Diverse and Dispersed Team.*** CRC has been successful in defining early on the roles and responsibilities of its partners and the overarching principles that will guide collaborative action. Also, with local partners, CRC works to ensure a transition over time, playing a more reduced role as local staff and partners gain technical and management skills and experience and become more capable and confident in playing a greater role in the technical and process aspects of ICM. When problems do arise with partners at any level, CRC uses a transparent process of dialogue between the parties to identify the root cause of the problem and together agree on changes that can be made to improve the situation. With the advent of technology including Skype and Mobile Minutes calling, communications can occur in real-time and can network multiple individuals and groups using these highly cost effective technologies.

Programs of the size envisioned for the ICFG Program (over \$2 million/yr) are not unusual for CRC. Past and on-going USAID supported in-country CRC programs in Indonesia, Tanzania, Thailand and Sri Lanka were of similar size in terms of annual budget (~\$1-2million/yr). Each of these projects had in-country project management offices established, often with full time expatriate as well as local staff. The Indonesia program, for instance, had two expatriate staff in-country full time and over 50 local staff, with a central office in Jakarta, three provincial field offices and sub-contracts with numerous local and international partners. Many of CRC's smaller in-country projects (The Gambia, Nicaragua, Mexico, Ecuador) had/have full time local staff and often operated entirely through local partner offices. CRC adjusts the in-country implementation model based on scale, scope, in-country capacity and permanent CRC team technical capacity fit. In the case of the ICFG Program, CRC core staff will be supplemented with additional full-time staffing. This includes the proposed Program Director (expatriate) and two full time senior Ghanaian positions. The budget also includes monies for additional in-country local hires. This in-country team is backstopped by a deep stable of CRC/URI and other partner short term personnel. CRC supplements its internal full time staffing by drawing on specialized expertise within the larger university, such as at the URI Fisheries Center. The URI capabilities and experience is also supplemented by other key external partner capabilities and experience. Several of these partners and their roles in the Program are described in more detail below.

#### **Friends of the Nation**

Friends of the Nation (FoN) will play a substantive role in on-the ground activities in the Western Region. In particular, they will be contracted to implement a substantial amount of the community-based activities implemented with fishing communities. This includes the strengthening of community-based fisheries committees and fishermen organizations; coastal community livelihoods activities; and a community information, communications and education campaign.

Established in 1993, FoN is a registered service delivery, nonprofit-making, NGO based in Takoradi in the Western Region of Ghana. FoN has over two-dozen core staff and a number of field and volunteer staff. FoN envisages a world where communities manage their environment in a sustainable and healthy manner and where equal opportunities exist for all people in the use of natural resources. By sustainable manner is meant "in a manner that gives future generations the opportunity to enjoy an equal measure of utilization of environmental functions whilst contributing to global environmental sustainability".

FoN's organizational objectives include:

- Contribute to poverty reduction through strengthening the capacity of coastal-, wetland- and forest-dependent communities.
- Educate and create awareness about health, environment, and natural resources.
- Contribute to behavioral change and empower communities to assert their basic rights.
- Advocate for the rights of the voiceless communities on NRM and sustainable development.

FoN's work philosophy is guided by a rights-based approach to sustainable development and by the principles of the Technology of Participation (ToP), which involves mobilization and participatory strategic planning with its beneficiary communities. FoN has implemented numerous successful projects funded by bilateral donors and gained reputable experience in group-building, formation of community management committees, and change processes in advocacy and good governance programs.

#### **WorldFish Center**

The WorldFish Center brings substantial expertise in fisheries management to this Program. For example, they bring current experience in facilitating dialogue between oil companies and fishermen in Egypt, a context quite similar to those conflicts emerging between fishermen and the oil and gas industry in the Western District of Ghana. Working closely with Ghanaian partners and, where appropriate, local consultants as well as ICFG project staff, the WorldFish Center will provide important technical services related to fisheries co-management, governance and socio-economic analysis.. The following are the types of activities and responsibilities the World Fish Center will lead and/or provide assistance to:

- Leading reviews of the country's fisheries and its co-management governance system and, where appropriate, facilitating the development of alternative systems based on local needs and context
- Assessing the role of traditional management institutions and providing recommendations for how they can be better mainstreamed into co-management strategies
- Designing and implementing value chain assessments
- Conducting gender analyses and other socioeconomic assessments as needed
- Conducting assessments for building the capabilities of producer organizations and community resilience initiatives

- Assisting in development of gender empowerment, enterprise development and producer organizational development strategies
- Contributing to in-country capacity building initiatives including in-country training courses and possible supervision of research conducted by local graduate students from the University of Ghana or University of Cape Coast
- Participating in dialogues with the offshore oil and gas sector in resolving use conflicts with artisanal fishers—drawing on the WorldFish Center's experiences in Egypt and other relevant experience in West Africa

The WorldFish Center is an international institute that conducts research for development on small scale fisheries and aquaculture ([www.worldfishcenter.org](http://www.worldfishcenter.org)). Its work in West and Central Africa includes projects in Senegal, Mali, Nigeria, Cameroon, DRC and Ghana, where it has had a presence for the last two decades. WorldFish works with its national and regional partners to create opportunities for economic growth and deliver sustainable solutions to poverty and malnutrition. Its greatest strength lies in applying state-of-the-art technical expertise in aquaculture, genetics, natural resource management and socio-economics appropriate to the local institutional context. Central themes are resilience, adaptive management and livelihoods, for women and men.

In USAID-funded work in the Congo Basin, with its rich capture fisheries, WorldFish is applying these approaches to build capacities to conserve the rainforest and its biodiversity. In order to strengthen fishing livelihoods, whilst reducing pressure on the forest itself, WorldFish has been building capacity for collective action, to monitor and manage fisheries resources and to improve market access and livelihoods. This exemplifies a body of recent work which has seen these approaches being developed and tested in Senegal, Ghana, Mali, Nigeria, Cameroon and Republic of Congo. Collective action is an important element here—both for community-based management approaches and to improve market access where value chain analysis has identified bottlenecks that can be resolved through collective action (e.g., in relation to input access, transport, micro-finance and market information). The Center is also applying these adaptive management approaches to its work on climate change and fisheries—Ghana is one of a group of countries in Africa whose economies are most vulnerable to climate impacts on fisheries.

The strong emphasis on resilience and adaptive management is matched with work on trade and markets. This helps ensure the analysis is grounded in an understanding of the market forces that drive fishers' behavior and that what appear to be solutions to resource degradation problems will truly deliver the livelihood benefits needed to ensure sustainability. Ghana's marine fisheries serve three types of markets,

all with strong demand and rising real prices: high volume local markets for fresh and processed fish, international markets and important traditional markets in neighboring countries.

At present, WorldFish Center is working with Ghanaian and international partners on projects that address governance in small-scale fisheries, biodiversity and conservation of indigenous tilapia species, and aquaculture development (the latter focusing on technical and enterprise development aspects). Its national partners include the Ministry of Fisheries, the Water Research Institute and other member institutes of the Council for Scientific and Industrial Research, the University of Legon and the University of Science and Technology in Kumasi. Partners also include NGOs active in fisheries and rural development (both national and international) as well as community radio, and international and regional organizations present in Ghana such as FAO, the Forum for Agricultural Research in Africa, and the International Water Management Institute.

WorldFish brings a strong multi-disciplinary team to the URI partnership, combining skills in fisheries with the expertise and experience in the socio-economics and local context needed to solidly ground and assure the sustainability of activities to maintain and strengthen the region's biodiversity.

### **SustainaMetrix**

SustainaMetrix will work with CRC to conduct an analysis of governance response to ecosystem change in the region in order to assemble a baseline. SustainaMetrix will also build the local capacity for the use of the Orders of Outcome framework as a simple and systematic approach for thinking strategically and encouraging learning and adaptation when applying the ecosystem approach to integrated coastal management in coastal and marine regions. As a result of the baseline process, the SustainaMetrix team will also develop a strategy and plan for the development of public-private partnerships through a process that will identify conceptual objectives, prioritize policy issues where collaboration is viable, and identify appropriate constituencies.

SustainaMetrix is a "Guide Service" institution for communities and organizations that seek to create a desirable future. It builds the capacity needed for a more sustainable path of development. It does this by working with clients to help build/transfer the skills, knowledge and attitudes that are necessary to understand the complex terrain of adaptive ecosystem-based management and to chart a course that is rooted in a deep understanding of the place. The methods that SustainaMetrix uses in this process are based on the principles and practice of stewardship. They are easy to use and help those who use them continually refine how they perceive, think about and act in an increasingly complex world. SustainaMetrix comprises a diverse group

of leaders, practitioners, stewards, scholars, artists and entrepreneurs who share a common goal, ability, and commitment to work with clients and partners to create profound social and ecosystem change.

SustainaMetrix' approach is rooted in a deep understanding of the art and practice of stewardship. If sustainability is the goal, stewardship is the practice to think and act in an increasingly complex world. SustainaMetrix takes a holistic perspective and using an ecosystem approach to its work that acknowledges the need for:

- A thorough understanding of the interconnections among land use, freshwater and watersheds, the atmosphere, biodiversity, and the oceans
- Recognition of linkages among ecosystems, vs. considering single issues or sectors in isolation
- Differentiation of roles and power relationships of the market, government, and civil society.

SustainaMetrix believes processes and outcomes reflect the quality of collaboration and as such it takes great care in identifying and including stakeholders in every step of the process and empowering them to cultivate high quality dialogue, decision-making, action and evaluation toward shared goals. It also works to build stakeholder linkages within existing authorities and governance hierarchies of markets, civil society and government

**ATTACHMENT C**

**Branding Strategy and Marking Plan**



**BRANDING STRATEGY AND MARKING PLAN**  
***Integrated Coastal and Fisheries Governance (ICFG) Program***  
***for the Western Region of Ghana***

**I. BRANDING STRATEGY**

**Background:** The four-year *Integrated Coastal and Fisheries Governance (ICFG) Program* is a Leader with Associates (LWA) Associate Award designed specifically to contribute to the catalytic transformation of how coastal resources and fisheries are governed in Ghana. The overarching purpose is to contribute to the long-term vision for the governance of Ghana's coasts and fisheries, that is:

*"Ghana's coastal and marine ecosystems are being developed and conserved in a sustainable manner—the goods and services produced by coastal ecosystems and fisheries are generating a diversity of long-term socio-economic benefits for coastal communities while sustaining biodiversity."*

The key result areas for achieving this goal are:

**Result 1:** The enabling conditions for a fresh and integrating approach to coastal and fisheries governance in the Western Province are assembled.

**Result 2:** A diversity of on-the-ground activities that bring social and economic benefits are producing the changes in the behavior of fishers, other resource users and coastal developers that contribute to more sustainable forms of coastal resource use.

**Result 3:** Changes in governmental institutions at the community, regional and national levels are supporting the ecosystem approach to coastal and fisheries planning and decision-making.

**Result 4:** Integration of experience, policies and practices in the conduct and conservation of fisheries at the regional scale is being achieved through collaborative actions with the Guinea Current LME.

**1. Positioning**

The proposed Program is named the *Integrated Coastal and Fisheries Governance (ICFG) Program for the Western Region of Ghana* and as such does not include the names of either the donor (the United States Agency for International Development/USAID), or the lead implementing agency (the Coastal Resources Center/CRC at the University of Rhode Island /URI). While there will be no ICFG Program-specific logo, the logos of both USAID and URI-CRC will be included at all times in the core string of logos included on the front cover, title pages (as appropriate), and/or back covers of Program-funded publications and

outreach and training materials. Logos of other contributing partners will also be included on a case-by-case basis. The inside cover of publications will also use the wording "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging the agency's contribution, instead of the phrase "funded by." As also noted below: Acknowledgements/Other Agency, Institution, or Program logos, the USAID identify will be of a size equal to or greater than other logos that are included and will be located in the position of greatest prominence

## **2. Program Communications and Publicity**

While the primary implementing partners are CRC, the World Fish Center, SustainaMetrix, and Friends of the Nation, the primary and secondary audiences for the ICFG Program are as follows.

### **Primary Audiences**

#### Local and national government officials

The primary clients to benefit from the Program within Ghana include several national government agencies and their respective field offices in the Western Region. This includes:

- Fisheries Directorate of the Ministry of Food and Agriculture
- National Fisheries Commission
- Western Region Local Government Units (Coastal Districts)

The ICFG Program considers these government institutions as the key clients for one primary reason. If there is to be long term success and sustainability of fisheries reform in Ghana, its national lead agencies and local counterparts must have the capacity for and commitment to providing on-going support

#### Civil society sector:

The ICFG Program will focus in this sector on national and local non-governmental organizations (NGOs), especially those with on-going programs on environmental and community-based resources management in coastal areas of the Western Region. This includes:

- **Community-Based Fisheries Management Committees** (CBFMCs)—established to help decentralize fisheries management at the local level—with its membership including fisheries stakeholders and government representatives.
- **Fishermen Associations and their members**, including the National Association of Fishermen and other user group associations for canoe fishers, trawlers, hook and line fishers, etc.

## **Secondary Audiences**

### Government

- Ministry of Environment, Science and Technology
- Ministry of Lands and Natural Resources

### Nongovernmental Organizations (NGOs)

- **Other NGOs** including the *Resource and Environment Development Organization* (REDO) with experience in biodiversity conservation and coastal management issues; the *Technical Services for Community and Development* (TSCD)—a small marine fishery NGO in Accra involved in fisheries research, and policy and awareness raising; the *Integrated Social Development Center* (ISDC) assisting with formation of a multi-stakeholder coalition to address oil and gas development; *Friends of the Environment*, a national NGO, working to promote environmental protection and socially equitable sustainable development.

### Universities

- **The University of Ghana-Legon, Department of Oceanography and Fisheries faculty and students**, which offers graduate level training in environmental sciences and coastal management with opportunities for local graduate students to conduct management-relevant research; and can serve as a venue for national professional training on ICM and sustainable fisheries.
- **University of Cape Coast**, located in the Central Region, that will provide selected local technical and training support.

### Other Donors/Donor-funded Programs

The ICFG Program will work closely in finding leverage points and synergistic activities with the work being undertaken by other USAID-funded or other donor-funded activities and programs. These include but are not limited to:

- The Ghana Environmental Resource Management Project—Coastal Wetlands Management funded through the GEF
- The Guinea Current Large Marine Ecosystem Project (GCLME) and Guinea Current Commission (being formed for program continuation after the GEF project ends in 2010)
- West African Regional Fisheries Program funded by the World Bank
- Fisheries Sub-sector Capacity Building Project—a World Bank/GEF project currently under preparation and scheduled for 2009 implementation; the ICFG Program will contribute to the objectives of the WB/GEF project and, as appropriate, help influence the direction of at least some of the downstream investments of this multi-year program

- Collaborative Action for Sustainable Tourism Project (GEF-funded)

### **Marketing and Communications of the ICFG Program**

An array of communications media will be used to promote awareness of and build constituency support for the ICFG Program. This includes but is not limited to the use of:

- Web sites. The Program will be described at the CRC website <[www.crc.uri.edu/projects.php](http://www.crc.uri.edu/projects.php)> using its identifying name of the *Integrated Coastal and Fisheries Governance (ICFG) Program for the Western Region of Ghana* and will recognize that the Program is a partnership between USAID and CRC, and other key implementing partners (World Fish Center, SustainaMetrix, Friends of the Nation) and strategic partners (Fisheries Directorate of the Ministry of Food and Agriculture). A separate ICFG Program website will be constructed and will also include the USAID identity along with the logos of CRC and the other key implementing partners.
- Work plans, quarterly reports, semi-annual and annual reports are co-branded with the USAID identity and the CRC and key implementing partner logos.
- Program fact sheets, case studies, pamphlets, brochures, workshop proceedings etc. are co-branded with the USAID identity.
- PowerPoint (PPT) presentations are co-branded with the USAID identity and with implementing partner logos as appropriate on a case-by-case basis.
- Technical reports that are made available for external communication and outreach are co-branded with the USAID identity and the CRC logo and as appropriate those of key implementing and other partners.
- For training, workshops and special events, where possible there will be a prominent banner at/in the training venue with the USAID identity and the CRC logo and in some cases co-branded with the implementing partners' identity as well.
- Visible infrastructure and other items physical in nature that are contributed by the Program are marked either with a plaque or decal with the USAID identity or the name "USAID" on the surface.
- Notebooks, binders, caps or other items purchased by the ICFG Program for training events or for outreach in the Program sites, local government or villages are marked with the USAID identity.

### **Key ICFG Program Message(s)**

The main message of the ICFG Program is: "Ghana's fisheries sector needs significant reform if it is to become more sustainable—i.e., to

continue to produce a secure food supply, provide employment, and generate income for local citizens into the future. Achieving such a goal requires several things—the use of an ecosystem based approach to management; greater involvement of fisheries stakeholders in management decision-making, and reductions in the level of current fishing effort."

The USAID primary message is: "the aid provided through the ICFG Program to the beneficiaries is 'from the American people' and this message will be included in all Program materials. In longer publications it is most often included in the preface or introductory text, whereas in shorter publications such as fact sheets and/or short success stories this notation/text is usually referenced in the body of the text.

### **Press and Promotional Activities**

The ICFG Program will seek press opportunities and conduct other promotional activities. Initially this will take the form of a public launching event /ceremony that announces the start of the ICFG Program, promotes its main objectives, and acknowledges key beneficiaries. The intent is to include both print and television coverage of this event. A similar event to celebrate the results of the Program is planned at the end of the five years. As well, additional periodic press and promotional events will be planned when key milestones are reached or achievements made during the course of the ICFG Life-of-Program.

Case studies, success stories, press releases, etc., help to inform external audiences about the Program in a readable and enjoyable way and will be written and posted on the Program and partner websites. These will follow the template formats provided in Section 5 of the Branding Guidelines located at [http://www.usaid.gov/branding/USAID\\_Graphic\\_Standards\\_Manual.pdf](http://www.usaid.gov/branding/USAID_Graphic_Standards_Manual.pdf).

The Program will produce and place posters in villages where field activities occur, in site offices and other venues where Program staff may be working in order to explain the Program to the community and to visitors to the site, and to share what the Program is accomplishing with the support of USAID. These posters will include the USAID identity in the position of greatest prominence.

The ICFG Program may give intermittent public service announcements (PSAs) and in these recognize USAID and the American people for the generous support to the Program. When radio/PSAs are planned, the ICFG Program's Contracting Officer's Technical Representative (COTR) receives an advance copy of the text for review and a proposed date for the planned airing.

Whether communicating through written publications, visuals, or the spoken word, the Program is diligent in stating that "This Program/publication/report/training/outreach event/etc. was made possible by the generous support of the American people through the United States Agency for International Development (USAID)".

### **Additional Promotion of the ICFG Program**

Based on on-the-ground activities, the Program Management team will submit "success stories", case studies, first person stories, etc. to USAID as outlined at the USAID site:

<http://www.usaid.gov/stories/submit.html>. It will also submit human interest stories to the USAID Frontlines magazine. For those articles/stories that are "accepted" and published, copies will be made and disseminated to Program beneficiaries and excerpts will be used in other marketing and promotional activities/events. This helps ensure that not only in-country beneficiaries and other Ghana citizens learn how USAID aid is supporting efforts in their country, but also shares this same information with US citizenry, which pays for this aid through its tax dollars.

Where possible, the Program will also seek coverage in U.S. newspapers and other print (e.g., on U.S airline carrier magazines). This too helps ensure not only Ghanaian citizens, but US citizens as well, are aware of the support being provided by US development aid.

### **3. Acknowledgements**

#### **Direct Involvement of Host-country Government Ministries**

The Program will work with multiple host-country government agencies. Therefore, no one agency will be identified as *the* co-sponsor of the Program. However, where activities are conducted in partnership with a respective government agency, that agency—upon their concurrence—will be fully acknowledged as a co-sponsor of those respective activities or components of the Program. In particular, Ghana's Fisheries Directorate of the Ministry of Food and Agriculture and the Western Region Local Government Units (Coastal Districts) are expected to be the primary government co-sponsors for most activities. In such cases, promotional materials, press releases, reports, etc will be co-branded with the agencies concerned.

#### **Other Agency, Institution, or Program Logos**

While the USAID identity and CRC logo will appear as standard on all materials and communications, the logos of other partner organizations will be added as appropriate, especially those organizations that provide match contributions—e.g., the World Fish Center, SustainaMetrix, and Friends of the Nation. Respective government logos or the logos of other local organizations may also appear if

they are involved with the implementation of the respective activity or preparation of a document. In all cases, the USAID identity will be equal to or greater in size than other logos used.

## II. MARKING PLAN

### 1. Communications, Commodities, and Program Materials to be Marked

Program offices will display a sign with the name of the project but will not be marked with the USAID identity. The purpose of this is to assist visitors in easily locating the project offices. Visible infrastructure and other items physical in nature and to which the Program has contributed will be marked either with a plaque or decal with the USAID identity, or the name "USAID" on the surface, such as but not limited to; public latrines, rain water collection tanks, small scale public fish landing centers or processing facilities.

As noted in the previous section on the Branding Strategy, the following are marked:

- Web sites. The Program will be described at the CRC website <[www.crc.uri.edu/projects.php](http://www.crc.uri.edu/projects.php)> using its identifying name of the *Integrated Coastal and Fisheries Governance (ICFG) Program for the Western Region of Ghana* and will recognize that the Program is a partnership between USAID and CRC, and other key implementing partners (World Fish Center, SustainaMetrix, Friends of the Nation) and strategic partners (Fisheries Directorate of the Ministry of Food and Agriculture). A separate ICFG Program website will be constructed and will also include the USAID identity along with the logos of CRC and the other key implementing partners.
- Work plans, quarterly reports, semi-annual and annual reports are co-branded with the USAID identity and the CRC and key implementing partner logos.
- Program fact sheets, case studies, pamphlets, brochures, workshop proceedings etc. are co-branded with the USAID identity
- PowerPoint (PPT) presentations are co-branded with the USAID identity and with implementing partner logos as appropriate on a case-by-case basis.
- Technical reports that are made available for external communication and outreach are co-branded with the USAID identity and the CRC logo and as appropriate those of key implementing and other partners.
- For training, workshops and special events, where possible there will be a prominent banner at/in the training venue with the USAID identity and the CRC logo and in some cases co-branded with the implementing partners' identity as well.

- Visible infrastructure and other items physical in nature that are contributed by the Program are marked either with a plaque or decal with the USAID identity or the name "USAID" on the surface.
- Notebooks, binders, caps or other items purchased by the ICFG Program for training events or for outreach in the Program sites, local government or villages are marked with the USAID identity
- Any physical equipment or gear provided by the Program, for instance, community fisheries enforcement/patrolling equipment such as a motor, boat or other accessories will be marked with the USAID identity.

## **2. Additional Conditions**

To ensure that the marking requirements "flow down" to sub-recipients of the cooperative agreement, sub-agreements processed by URI will include the following condition/language:

*"As a condition of receipt of this sub-award, marking with the USAID Identity of size and prominence equivalent to or greater than the recipient's, sub-recipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the sub-recipient, USAID may, at its discretion, require marking by the sub-recipient with the USAID Identity."*

Any 'public communications', as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, will contain the following disclaimer:

*"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government."*

The ICFG Program will also provide the CTOR or other USAID personnel designated in the cooperative agreement with two copies of all Program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to the USAID Development Experience Clearinghouse.



**Table 1: Program items that will be marked with the USAID identity**

Item	Type of USAID Marking	Type of Materials	When and Where Items will be Marked
Materials to announce new Project	USAID identity (cobranded where/as appropriate)	Printed press materials to announce new Project (e.g., press release, brochure, etc.)	At the time they are produced, bottom left on first page
Project Offices in Ghana	Project name only w/ no USAID identity	Plaque indicating the Project name	Immediately following leasing of offices. Exterior doors
Presentations at meetings, conferences, outreach sessions and other fora	USAID identity (cobranded where/as appropriate)	PowerPoint presentations	At the time they are produced, first and last slides
Publications, including pamphlets, brochures, policy briefs, guides, teaching case studies, training manuals, and PowerPoint presentations.	USAID identity (cobranded where/as appropriate)	Ghana as focus; other regional and international distribution as appropriate	At the time they are produced, on publication cover and title page
Project events such as an annual partners' meeting, training workshops, exchanges, study tours, conferences and network meetings.	USAID identity (cobranded where/as appropriate)	Ghana as focus; other regional and international distribution as appropriate	On any banners displayed for the event and on the first page of agenda provided
Physical equipment or gear or physical infrastructure to which the program has contributed.	USAID identity (cobranded where/as appropriate)	Stickers or plaques	At time gear or equipment is purchased/delivered or infrastructure construction completed

**Table 2: Program items that will NOT be marked with the USAID identity**

Item: Description	Explanation:
Project vehicles and non-deliverable items such as computers and office furnishings for recipient's and sub-recipient's internal use in administration of the USAID funded cooperative agreement	Standard exclusions under USAID marking policies

**Table 3. Presumptive Exceptions**

<i>Presumptive Exclusion (ii)</i>		<i>Guidelines for addressing exclusion:</i>
AAPD 05-11 Attachment 2, (a)(ii): USAID marking requirements may not apply if they would diminish the credibility of audits, reports, analyses, studies or policy recommendations whose data or findings must be seen as independent (22 CFR 226 91(h) ((2).)		AAPD 05-11 Attachment 2, (d)(2)(ii): For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.
<i>Country(ies):</i>	<i>Item: Description</i>	<i>Explanation:</i>
Ghana, Worldwide	Articles in peer-reviewed scientific journals	Not allowed by journal policies but USAID will be credited for supporting the research/activities on which the articles are based in acknowledgements for the paper.

<b>Presumptive Exclusion (iii)</b>		<b>Guidelines for addressing exclusion:</b>
AAPD 05-11 Attachment 2, (a)(iii): USAID marking requirements may not apply if they would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official(22 CRF 226 91(h) (3).)		AAPD 05-11 Attachment 2, (d)(2)(iii): For Presumptive Exception (iii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.
<b>Country(ies):</b>	<b>Item: Description</b>	<b>Explanation:</b>
Ghana	Documents that will become government "owned" documents such as a management plan, policies, regulations	It is inappropriate for what will become official documents of Ghana to include any identification or affiliation with an entity other than the national government agencies that have contributed to the development of these plans/policies/ regulations and/or that will be responsible for their implementation or enforcement. However, in the preface or other appropriate text location, mention of <i>is made possible by the generous support of the American people through the U.S. Agency for International Development (USAID)</i> will be made with concurrence of the government agency concerned.

#### **4. USAID Branding and Marking Costs**

For most of the USAID branding and marking there are no additional direct costs anticipated as it requires the insertion of the electronic image of the USAID identity into documents that are posted electronically or printed.

In the case of banners for trainings and workshops, no additional direct costs are expected for inserting the USAID identity along with other information about the training or workshop usually included on the banner.

Some items that cannot be marked electronically, and will incur additional costs include:

- Marking any donated equipment or physical structures. Cost of the purchase of USAID stickers of various sizes for packages of 50 stickers range from \$150-\$190 if purchased on-line, with total costs over life of the project estimated not to exceed \$500.
- There will be two project offices to which a sign will be affixed with the project name only (No USAID identity used). The signs are expected to cost approximately \$100 each based on previous experience.
- All costs associated with the Branding Strategy and marking are already included in the personnel and operational lines of the budget submitted with our proposal. cost of \$100 based on previous experience. The costs will be allocated to Objective #2 (Wat/San).
- There are expected to be 96 containers of water purification chemicals, to which a small label will be affixed. Each label is expected to cost 50¢ based on supplier quotes, and the costs will be allocated to Objective #2 (Wat/San).
- 1 sign will be erected at the borehole site at an estimated cost of \$100 based on previous experience. The costs will be allocated to Objective #2 (Wat/San).

**[END OF BRANDING STRATEGY AND MARKING PLAN]**

**[END OF AGREEMENT]**