CRFM OPERATIONS MANUAL

Volume 3
Planning and Programming

Table of Contents

Section 3.1   Strategic Plan

Strategic Plan

The CRFM Secretariat produces a Strategic Plan that spans a horizon of usually six years. The Strategic Plan of the CRFM Secretariat is prepared to address agreed Priority Areas identified by the Member States, and approved by the Ministerial Council. It will be operationalised through Medium Term Plans. The Medium Term Plan a period of three years. The Medium Term Plan is prepared in a way that facilitates the utilization of resources for implementation of activities through Annual Work Plans.

The CRFM will conduct periodic performance and capacity assessments in an effort to review systems, structures, processes and service delivery, to facilitate effective strategic planning and management. Recommendations emanating from such assessments, will be considered by the Caribbean Fisheries Forum prior to implementation.

Section 3.2　　Medium Term Plan

Summary

The Caribbean Regional Fisheries Mechanism (CRFM) Second Medium-Term Plan (MTP), 2008 - 2011 defines the course of action to be followed by CRFM during the years 2008 to 2011. This Plan is based on the elements contained in the Strategic Plan 2002, the First Medium Term Plan 2004 - 2007 and the Draft Operations Manual, 2008.

The methodological approach used in the preparation of the CRFM Second MTP comprised the following steps:

(i)　a comprehensive review and interpretation of the specific terms of reference identified for the preparation of the Second MTP, based on discussions with the management of CRFM.

(ii)　a joint meeting between CRFM management and the Caribbean Centre for Development Administration (CARICAD) staff, which discussed the linkages between CRFM's Medium Term Plan and its proposed Operations Manual, which is being prepared by CARICAD.

(iii)　an analysis of the international, regional and national contextual situation with respect to the fisheries.

(iv)　surveys / interviews with Chief Fisheries Officers (CFOs) in the majority of CRFM Member States: St. Lucia, Dominica, Guyana, St. Kitts and Nevis, Anguilla, The Bahamas, Turks and Caicos Islands, Belize, Montserrat, Trinidad &Tobago and Suriname to determine thematic areas under each programme.

(v)　analysis and synthesis of survey data on CRFM performance and the First Medium Term Plan projects.

(vi)　review of the First Medium Term Plan.

(vii)　review of CRFM's Strategic Plan.

(viii)　formulation of draft Second MTP.

(ix)　review of draft document by CRFM's Management Team and Executive Committee of the Forum.

The Second MTP centres its activities around the **nine programme areas** outlined in the Strategic Plan as follows:

(i)   Research and Data Analysis for Policy Formulation and Decision Making

(ii)   Preparation for Global Competitiveness

(iii)   Resource Assessment and Management

(iv)   Human Resource Development and Institutional Strengthening

(v)   Strengthening of Fishers' Organizations and Improved Community Participation

(vi)   Promotion of the Expansion and Utilization of Unutilized and Underutilized Aquatic Resources

(vii)   Development and Promotion of Aquaculture

(viii) Development and Promotion of Risk Reduction Programmes for Fishers

(ix)   Development and Promotion of Mechanisms for Prevention and Resolution of Conflicts

Since the preparation of CRFM's First Medium Term Plan 2004 / 2007, there have been a number of fundamental changes in the international, regional and national situations as these impact CRFM Member States. Available data indicate that in terms of fisheries output in the region, there will be a serious domestic supply deficit necessitating policies targeting increases in output to meet the supply shortfall. Therefore, policies related to increased output, especially targeting aquaculture should form critical elements for any strategy to deal with the food deficit currently impacting the region.

Organization and Structure of the Second Medium Term Plan

The Second Medium Term Plan is presented in six (6) Chapters and three (3) Annexes.

Chapter 1 presents the methodological approach taken in the development of the Second Medium Term Plan (MTP), the organization and structure of the document and the global context in which it was developed.

Chapter 2 locates the Second MTP in the international, regional and national contexts.

Chapter 3 outlines the strategic framework in which CRFM operates and from which the Medium Term Plan is derived.

Chapter 4 details the main elements of the Second Medium Term Plan and corresponding projects associated with each programme area.

Chapter 5 outlines the mechanisms through which the Plan will be implemented through CRFM's operational framework.

Chapter 6 details the financing requirements for the Second Medium Term Plan.

Appendix I outlines the project profiles supporting each programme area.

Appendix II describes the primary beneficiaries of the Second Medium Term Plan.

Appendix III shows the performance indicators relating to the Programme and respective "Areas".

Section 3.3   Annual Work Plan

Annual Work Plan (AWP) and Budget

3.3.1   Description

The AWP and Budget is an important yearly approval document within the CRFM Secretariat and, after approval, becomes a key management tool and reference document during the year.

The AWP and Budget is the document under which the programmes / projects and staff activities are planned, implemented, monitored and assessed. The AWP and Budget flows directly from the Medium Term Plan and its format and content supply an important part of the CRFM Secretariat's periodic progress and financial reporting requirements.

All requests for funds, from Member States or Donors, disbursements, and spending are reflected in the approved AWP and Budget. However, the approved Annual Work Plan and Budget is a guide to action, not authority to act; authorities and procedures for action are discussed elsewhere in this Manual.

3.3.2   Cycle

AWPs and Budgets are developed, prior to the commencement of each programme year, by the CRFM Secretariat.

Meetings of Technical Staff are held to develop the Annual Work Plan and Budget for the next programme year. This Annual Work Plan and Budget is developed in collaboration with the Executive Committee of the Forum, and through consultations with CRFM Member States. The Executive Committee presents the AWP and Budget to the Forum which recommends same for approval by the Ministerial Council.

Individual country work plans may be developed as appendices to the CRFM Secretariat's Annual Work Plan and Budget and presented to the Executive Committee and Forum. Individual country work plans prepared with inputs from Directors of Fisheries, will give Member States greater comfort in approving the CRFM Secretariat's Annual Work Plan and Budget.

3.3.3   Table of Contents

CRFM Secretariat's AWP and Budget clearly indicates the details of each first, second and third level WBS activity according to a consistent format which includes: a descriptive title; the output or product expected; the proposed timeframe; the persons or positions involved in the work; an estimate of the staff resources required; and other resources required. A *pro forma* Table of Contents follows:

Table of Contents Cover and Title Page Letter of Transmittal List of Acronyms Executive Summary 1. Review of XX / XX Programme Year 2. Programme Activities 100 - Management and Support (Corporate Services) 200 - Advocacy, Policy and Planning 300 - Statistics and Information 400 - Fisheries Research and Resource Assessment 500 - Fisheries Resource Management and Development 600 – Communication and Documentation* Appendices: A – Summary of CRFM Secretariat Work Plan Activities and Related Costs B - Activity Sheets	(2 - 4 pages, highlighting only the most important parts)

* Note that this is not a programme.

3.3.4 Format / Contents

3.3.4.1 Review of XX/XX Programme Year

To put planning activities of the AWP and Budget in a suitable programme context, there should be a 2 page summary of the highlights of the current year to date.

3.3.4.2 Activities

Work Plan, projects and activities are elaborated within one of the Appendices of the AWP and Budget. The format of presenting activities is presented below: For ease of presentation and readability, each activity should have a Summary Table.

CARIBBEAN REGIONAL FISHERIES MECHANISM SECRETARIAT			
Activity Number	**Activity Title:**		
Scope of Work			Programme Year
Result/Output			
RESOURCE BREAKDOWN			
Description of Components	**# of Units**	**Cost/Units**	**Total Estimate**
		TOTAL	$

3.3.4.3   Activity Sheets

Activity sheets are completed for each second level (summary) and third level activity mentioned in the AWP.

"Scope of work" is often best thought of as "steps in the process." The "Result / Output" line should read "Output" only and is the final activity Output, not necessarily what can be achieved during the "planning" year. (There are inconsistencies in the application of this term for third level activities.)

The "planning" year budgetary information shown on the summary level (tens) activity sheets is identical to the entries in the Summary of CRFM Secretariat Work Plan Activities and related Costs.

There is an explanation of "levels" of activity. Levels one and two are summary levels. Level three activities are "manageable" steps resulting in specific products or outputs. Each one is the subject of an activity sheet which allows for the management (and monitoring) of the activity. Third level activities roll up to a second level activity which has a defined output or result and a summary budget from the level three activities. Second level activities lead to a first level activity which indicates a "major output" leading to the successful achievement of the project purpose.

Resource Allocations

To ensure efficient, mutually acceptable and appropriate distribution of resources amongst participating countries, the following guidelines apply:

Definition of Resources

- funds to support implementation of in-country activities, e.g. financial support for staff working within each member state, training, etc.

- staff to work with Fisheries Departments in Member States on budgeted or other activities (e.g. data collectors);

- academic scholarships, short term attachments and; and

- technical assistance to Fisheries Departments from technical staff, e.g. stock assessment activities.

Principles

- the allocation is mutually acceptable to all participating countries;

- there is sufficient flexibility to accommodate the concerns and particular characteristics of each country;

- the utilization of resources of the CRFM Secretariat as well as those of the Member States is efficient;

- the decision-making system for allocating the resources is objective and structured; and

- the system is simple and easily understood.

Criteria for Allocating Funds

Following are indicative criteria to be employed for allocating resources:

1. (a) capability of the country to manage and utilize resources,
   (b) priority of the government regarding fisheries management
   (c) the potential for countries to develop their fishery resources

2. (a) size and nature of the fisheries (# of boats, fishermen, size of stocks, landings etc.)
   (b) importance of the fishery to the local and/or regional economy

3. (a) potential for further development of the fisheries recognizing the current status of each fishery
   (b) funds will not be used where it will result in a duplication of activity supported by an alternative donor/source of funding

The allocation of resources will consist of a consultative process between the CRFM Secretariat and participating countries. Final decisions regarding the allocation of resources within programmes, projects and activities can only be effected after approval by the Forum.

Section 3.4   Planning and Management

Planning and Management

The CRFM Secretariat's work is organized through:

- Annual Work Plans

- Programmes

The Work Breakdown Structure (WBS) (which is outlined in *Section 2*, *sub-section 2.1.3*) defines the CRFM Secretariat's programme structure. It consists of five major programmes. The CRFM Secretariat is accountable for achieving results on these programmes, i.e., WBS activity blocks 100 (Field Management and Support), 200 (Advocacy and Planning), 300 (Fisheries Statistics and Information, 400 (Fisheries Research and Resource Assessment), and 500 (Fisheries Resource Management and Development). There is also a minor component 600 (Communication and Documentation) which is cross cutting.

In order to translate these programmes into projects and activities, the CRFM Secretariat organizes consultations and workshops, every three to five years to provide a general direction in that area. The outputs of the consultations and workshops, after approval by the Forum, become, in effect, CRFM Secretariat's Medium Term Plan and become the agreed and acceptable outline of the work programme focus to be addressed within a specific time frame. This time frame varies between three and six years. The output has characteristics of a Medium Term Plan (MTP) and should be seen as such.

In the execution or implementation of that Medium Term Plan, CRFM Secretariat's system acknowledges an annual consultative process with Member States, inclusive of Meetings of the Executive Committee of the Forum, and of the Forum itself which recommends the output which is the Draft Annual Work Plan and Budget to the Ministerial Council (COTED) for approval. The Medium Term Plan is implemented through Annual Work Plans (AWPs) and Budgets. The AWP and Budget is a phased set of activities which specify, schedule and cost the activities outlined in the MTP, on an annual basis.

Section 3.5   Monitoring and Evaluation

CRFM's Monitoring and Evaluation Policy

Monitoring and Evaluation of CRFM's work areas is undertaken for the purpose of improving the organization's performance through feedback of experience from ongoing and completed activities.

Monitoring and Evaluation at the CRFM will provide an objective assessment of contributions to development results, through assessing its programmes and operations. Evaluation will address what works and why as well as what does not work and unintended outcomes. This will support accountability, inform decision-making and allow CRFM to better achieve stated results.

This policy establishes the guiding principles and norms; explains key concepts; outlines roles and responsibilities and defines the types of evaluation covered.

3.5.1   Guiding Principles of CRFM's Monitoring and Evaluation

• *Country level ownership*

Evaluation should be guided by national priorities and concerns. It should be inclusive and take into account diverse interests and values. Evaluation should seek to strengthen partnerships with national fisheries organizations and key stakeholders. It should build the capacity of national fisheries organizations to implement, monitor and evaluate.

• *Managing for results*

Evaluation supports CRFM to manage for results by assessing the extent to which CRFM's processes, products and services contribute effectively to affecting people's lives. Through this, evaluation highlights the need for quality in the design of programmes so that results are clear, measurable and can be monitored and evaluated. Through the generation of evidence, evaluation enables more informed management and decision-making for planning and programming.

3.5.2   Norms

Transparency

Meaningful consultation with stakeholders is essential for the credibility and utility of the evaluation. Full information on evaluation design and methodology should be shared throughout the process to build confidence in the findings and understanding of their limitations in decision-making.

Intent

The rationale for an evaluation and the decisions to be based on it should be clear from the outset. The scope, design and plan of the evaluation should generate relevant, timely products that meet the needs of intended users.

Independence

The evaluation function should be structurally independent from the operational management and decision-making functions in the organization so that it is free from undue influence, more objective, and has full authority to submit reports directly to appropriate levels of decision-making. Management must not impose restrictions on the scope, content, comments and recommendations of evaluation reports. To avoid conflict of interests, evaluators must not be directly involved in policy-setting, design, implementation or management of the subject of the evaluation.

Quality

All evaluations should meet minimum quality standards defined by the evaluating body. The key questions and areas for investigation should be clear, coherent and realistic. The plan for evaluation should be practical and cost effective. To ensure that the information generated is accurate and reliable, evaluation design, data collection and analysis should reflect professional standards, with due regard for special circumstances or limitations reflecting the context of the evaluation. Evaluation findings and recommendations should be presented in a manner that will be readily understood by target audiences.

Timeliness

Evaluations must be designed and completed in a timely fashion so as to address the specific purpose and objectives for which they were commissioned and ensure the usefulness of the findings and recommendations. Balancing technical and time requirements with practical realities while providing valid, reliable information is central to ensuring that the evaluation function supports management for results.

Utility

Evaluation is a management discipline that seeks to provide information to be used for evidence-based decision-making. To enhance the usefulness of the findings and recommendations, key stakeholders should be engaged in various ways in the conduct of the evaluation. The scope, design and plan of the evaluation should generate relevant, timely products that meet the needs of intended users.

3.5.3. Key Concepts

Evaluation

Evaluation is judgment made of the relevance, appropriateness, effectiveness, efficiency, impact and sustainability of development efforts, based on agreed criteria and benchmarks among key partners and stakeholders. It involves a rigorous systematic and objective process in the design, analysis and interpretation of information to answer specific questions. It provides assessments of what works and why, highlights intended and unintended results, and provides strategic lessons to guide decision-makers and inform stakeholders.

Types of Evaluations[i]

Formative evaluations are evaluations intended to improve performance, [and] are most often conducted during the implementation phase of projects or programs. Formative evaluations may also be conducted for other reasons such as compliance, legal requirements or as part of a larger evaluation initiative. [By contrast,] Summative evaluations are studies conducted at the end of an intervention (or a phase of that intervention) to determine the extent to which anticipated outcomes were produced. Summative evaluation is intended to provide information about the worth of a program.

A **formative evaluation** is an evaluation that looks into the ways in which the program, policy or project is implemented, whether or not the assumed 'operational logic' corresponds with the actual operations and what (immediate) results the implementation (stages) produce. This type of evaluation is usually conducted during the implementation phase of projects or programs but can also be done ex post. A part of what is known as "monitoring and evaluation" can also be seen as process (oriented) studies. Formative evaluations may include rapid appraisals, mid-term evaluations, and evaluations of implementation processes. Evaluations during the implementation phase (process evaluations) provide feedback so that the implementation can be improved and barriers to improved performance can be identified and removed. Mid-point evaluations can begin to focus on lessons learned, as well as relevance, effectiveness and efficiency. When the intervention has matured, relevance, effectiveness, efficiency, early signs of impact, sustainability and external utility can be assessed. Lessons learned are also important in guiding future interventions.

Summative evaluation *(outcome / impact evaluation)* is a study conducted at the end of an intervention (or a phase of that intervention) to determine the extent to which anticipated outcomes were produced and an impact was realized. Summative evaluation is intended to provide information about the worth and the impact of the program. Summative evaluations may include: impact assessments, cost-effectiveness investigations, quasi-experiments and randomized experiments. However, as randomized and quasi-experiments *compare* the ´results´ of the intervention before and after it has been implemented and therefore always use the counterfactual, this approach could also be brought under the concept of formative evaluations.

Ex-post (outcome / impact) evaluations are generally conducted after the interventions were completed. They are used to answer questions of relevance, performance, impacts, sustainability, external utility and lessons learned.

Stated differently:

- Formative evaluations focus on project/program/policy improvement

- Summative evaluations focus on consequences or results — enabling persons to make assessments, with respect to the creation, continuation or enlargement of a given project / program / policy

In many cases a balance between the two kinds of evaluation is employed.

Monitoring

Monitoring is distinct from evaluation. It is a continuous function providing managers and key stakeholders with regular feedback on the consistency or discrepancy between planned and actual activities and programme performance and on the internal and external factors affecting results. Monitoring provides an early indication of the likelihood that expected results will or will not be attained. It provides an opportunity to validate the programme theory and logic and to make necessary changes in programme activities and approaches. Information from systematic monitoring serves as a critical input to evaluation.

Outputs

The services or products produced. This is a quantifiable statement of the activities. For example, the numbers of people served or hours or units of service.

Outcomes

This refers to the effect, or result of the activities and outputs. It is the condition that gets changed because of the program. The contribution of several partners is usually required to achieve an outcome. For example, the improvement in the judicial process as evidenced by a reduction in the backlog of cases.

Impacts

This is the longer term consequence of the program. Typically, impacts refer to goal attainment or actual / intended changes. For example, the outcome of producing more crops is to increase income. As a result of increased income, poverty is decreased. There often is a chain of outcomes, more immediate ones ultimately leading to more distant impacts. While it is harder to demonstrate a linkage between the programs to build 50 drainage ditches and the reduction of poverty, it is likely that the long-term goal of the program is to reduce poverty.

3.5.4   Roles and Responsibilities

The custodian of the CRFM Evaluation Policy is the Caribbean Fisheries Forum. The Forum:

- Approves the evaluation policy;

- Ensures the independence of the evaluation function;

- Approves the annual work programme for the evaluation function;

- Uses evaluation and reports on compliance with evaluation policy for accountability;

- Draws on the findings and recommendations of evaluation for oversight and approval of corporate policy, strategy and programmes

The CRFM Secretariat is the custodian of the evaluation function and will hold responsibility for:

- Ensuring that the evaluation policy is updated as necessary;

- Submitting its annual evaluation report to the Forum;

- Reporting to the Forum on the function, findings and recommendations of evaluations, on compliance, quality assurance and follow-up to evaluations conducted by CRFM and its constituents;

- Maintaining a system to record management responses to all evaluations;

- Conducting evaluations;

- Setting evaluation standards (see Appendix 3.1);

- Building knowledge of good practice standards and approaches for evaluation management;

- Strengthening programme country evaluation capacity and involvement in evaluations;

- Maintaining a publicly accessible repository of evaluations;

- Distilling evaluation findings and lessons for dissemination in appropriate formats for targeted audiences.

The Executive Director of the CRFM is accountable to the Caribbean Fisheries Forum and the Council of Ministers for CRFM results and therefore should:

- Ensure that senior management responds to and utilizes evaluation in their operational, strategic and oversight functions and that appropriate follow-up to the findings and recommendations of evaluation is taken by the relevant units.

3.5.5 Types of Evaluation conducted by the CRFM

The responsible unit within the CRFM secretariat is mandated to conduct evaluations for corporate accountability, strategic planning and the development of information for global knowledge use.

Strategic Evaluations

Assess CRFM performance in areas that are critical to ensuring sustained contribution to development results in the context of emerging issues and changing priorities at the regional and local levels. To this end, strategic evaluations may cover CRFM policies, practice areas, partnerships, programmatic approaches and cooperation modalities.

Programmatic Evaluations

Regional and local programme evaluations assess the performance and intended and achieved results of those programmes. They are intended to reinforce the substantive accountability of CRFM to the Council of Ministers. They should be timed to contribute to the preparation and approval of the next programme.

Assessment of Results

Assess the attainment of intended and achieved results as well as CRFM contributions to development results in the fisheries sector at the local level.

Outcome Evaluations

Address the short-term, medium-term and long-term results of a programme or cluster of related CRFM projects. They include an assessment of the effectiveness, efficiency, sustainability and relevance of the programmes against their own objectives, their combined contribution and the contribution of external actors. Outcome evaluations also examine non-intended effects of the programme or projects. Rather than being ad hoc, the selection of the programme or project cluster to be evaluated should be guided by the evaluation plan.

3.5.6. Evaluation Criteria

When planning an evaluation and drafting the terms of reference, the following aspects of the development intervention to be evaluated and its results should always be taken into consideration. If a criterion is not relevant or appropriate to consider, this should be explicitly stated in the terms of reference or in the evaluation report.

Evaluation Criteria

- Relevance
- Effectiveness
- Impact
- Efficiency
- Sustainability
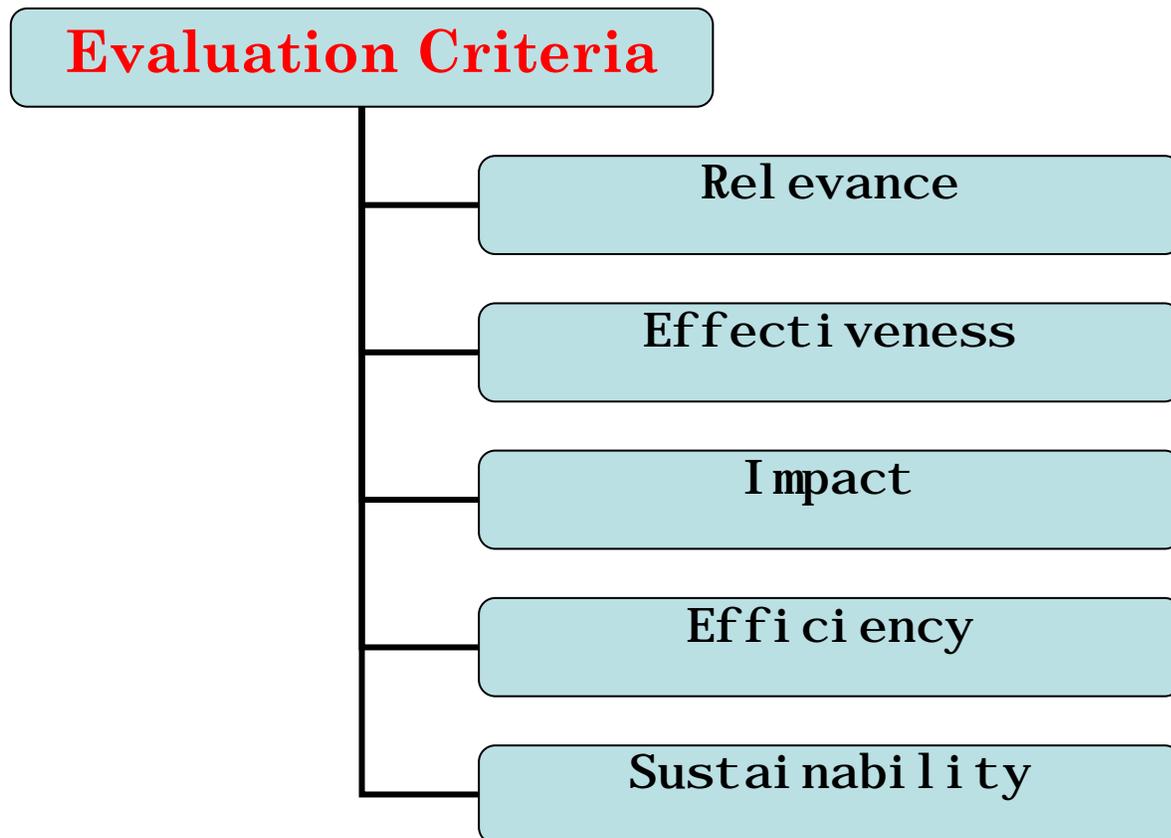
- Relevance – Is the intervention relevant in relation to the goals and policies of CRFM and to the needs of the target groups?

- Effectiveness – Have outputs been produced as planned? Have project programme objectives been fulfilled?

- Impact – What are the intended and unintended effects of the activities, including effects on the intended beneficiaries and on others? What are their positive and negative effects in the short and long term?

- Efficiency – are there more cost-effective methods of achieving the same results? Could the same outputs have been produced with a smaller amount of inputs/resources or could the same inputs/resources have produced a larger output?

- Sustainability – Will the activities/organization supported through the intervention deliver benefits to an acceptable extent for an extended period of time after the withdrawal of the assistance?

Basic questions to be answered by the evaluation include:

- **Has the organization succeeded in building stronger fisheries management capacity in the CARICOM region and are fisheries being managed more effectively?**

- **Has the organization succeeded in providing necessary fisheries management information which is being used in management/decision makers?**

- **Has an effective regional fisheries management mechanisms been established?**

- **What impact(s) has the CRFM Secretariat had on fisheries in the region?**

- **What lessons have been learned for future development activities?**

3.5.7   The Use of Evaluation Findings and Recommendations

Units responsible for functions or programmes that have been evaluated should systematically implement evaluation recommendations when these have been agreed to by management. All evaluations will have a management response. The Evaluation unit will maintain a system to track management responses to evaluations. The responsible Unit will periodically update the status of follow-up actions to recommendations made by evaluations. The Evaluation unit will periodically brief those with oversight function on the status of follow-up to evaluation recommendations and implementation of management responses and alert senior management to any areas of concern.

The Head of the Evaluation Unit is responsible for authorizing the dissemination of evaluation reports and related material.

3.5.8. Internal Quality Assurance and Monitoring

Several levels of quality assurance and considerable monitoring are in place to ensure the quality of CRFM Secretariat's delivery:

- **the annual work planning cycle** which includes such milestones as the Mid-Year Review;

- **action based on approved quarterly work plans and budgets.** (While the approved Annual Work Plan and Budget is the basis of all actions, and notwithstanding its approval by the Forum and Ministerial Council (COTED), the acquisition of goods and services is not automatic. Programme Managers must submit their three monthly work plans and budgets to the Executive Director for approval. All requests for capital assets and services (consultancies) must be recorded in the quarterly plan;

- the roles of the Senior Managers Committee, the Technical (Review and Planning) Team, and the Business Team;

- the roles of the Executive Committee of the Forum, the Caribbean Fisheries Forum, and of the Executive Director and Deputy Executive Director; and the Chairperson of the Caribbean Fisheries Forum;

- formalized, transparent financial, human resource management, and general administrative management procedures.

3.5.9. Reporting

The CRFM Secretariat produces four regular mandatory reports:

- The Annual Work Plan and Budget;

- The Quarterly Technical Progress and Financial Reports;

- The Annual Technical Progress and Financial Report; and

- The Annual Report of the CRFM Secretariat.

3.5.10. Annual Work Plan and Budget

The Annual Work Plan and Budget is described in Section 3.3, above.

3.5.11. Quarterly Technical Progress and Financial Reports

The quarterly technical progress and financial reports are derived from implementation of the Annual Work Plans and lead directly to the Annual Technical Progress and Financial Report when another programme year begins.

Work progress and financial information are reported together as there must be an acceptable correlation between progress towards the outputs, outcomes, and objectives of the project and the rate of expenditure of Member States contributions and/or Donor funds.

3.5.12. Basic Principles

Progress and financial reports must be as short as possible while giving a fair and honest view of activities.

The fundamental reporting items of a periodic progress and financial report are time, money, and progress towards a defined output / outcome. The periodic reports clearly and concisely indicate delays and problems encountered, reasons for these problems, implications for the budget and schedule (i.e., whether the activity will still be completed within budget and on time), and corrective action proposed or taken. (Reports which raise problems/delays should be accompanied by suggested solutions. Staff and Managers should be assessed, not by the problems encountered, but by the "management" and resolution of these problems).

Each report represents the professional opinion of staff, and especially the Executive Director, on the state of activities. **The report must follow the same basic format as that contained in the Annual Work Plan and Budget.**

Although on occasion there may be a requirement for a short introductory comment, there should be a minimum of "history" about an activity as the report must focus on the progress of work during the reporting period.

It is believed that with the nature of reporting indicated below, the reports due at the end of June and December could be limited to 30 pages including annexes. The Semi-Annual Report due at the end of September is an expanded version of up to 50 pages including annexes. The year end reports are described below.

3.5.12.1.   Table of Contents

Cover and Title Page on CRFM Secretariat stationery

Letter of Transmittal from the Executive Director to the Chairperson and Members of the Caribbean Fisheries Forum

List of Acronyms

Table of Contents

Executive Summary

1.   Programme Activities

        100 - Management and Support

        200 – Advocacy and Planning

        300 - Fisheries Statistics and Information

        400 - Fisheries Research and Resource Assessments

        500 - Fisheries Resource Management and Development

        600 – Communication and Documentation

Annex A – CRFM Secretariat Staff

Annex B – Reporting Usage of Advances Received

Annex C – Procurement Table

3.5.12.2.   Format / Content

Executive Summary - The Executive Summary will be 2 to 4 pages, will follow the sequence of the chapters of the report, and will highlight only the most important points during the reporting period. A narrative style without sub-headings is recommended.

1.   Programme Activities

This section must follow the format of the WBS in the AWP and Budget and report on summary activities at the "tens" level. As indicated in the section above dealing with the format of the report, activity levels 100, 200, 300, 400, 500 and, 600 are covered by these progress reports.

(a) **Summary Table:** For ease of presentation and readability, each activity at the "tens" level will have a Summary Table as follows:

Activity X00 Title	
Activity XX0 Title	
Output: (As defined, redefined)	
Activity Start: dd/mm/yy	Activity End: dd/mm/yy
Activity Progress Report Summary:	
Total Activity Budget $_____	Spent to Date: $_____ _____%
Planned for Period: $_____	Spent during Period: $_____ _____%
Will this Activity be completed within the Total Activity Budget?	Yes _____ No _____
Completion of Annual Workplan Activity:	❏ Ahead ❏ Behind ❏ On Schedule
Estimated Percentage of Total Output Achieved to Date:	_____%
	❏ Ahead ❏ Behind ❏ On Schedule
Completion of Total Activity:	

(b) **Narrative:**

➣ **Quarterly Progress Reports:** For the reports due at the end of June, September and December, the narrative section is <u>strictly</u> "reporting by exception" so that only problems or delays are mentioned along with the implications (budget and schedule) and the corrective action being taken. The narratives should avoid general statements that convey little or no meaning such as ..."*slow, steady progress has been demonstrated in the ability to collect these types of data."*

Content should be augmented by the provision of additional critical detail that helps the reader understand as precisely as possible the status of an activity or why an activity is delayed or behind schedule. Avoid statements such as ... *"difficulties have also been experienced in obtaining completed government disbursement and technical reports"* ... unless they also include explanations of the difficulty. In addition, references to workshops held would benefit from an additional sentence or two offering the highlight of each workshop and stating how the holding of the workshop has contributed to the achievement of the stated objectives.

Where the progress of an activity over the reporting period yields the achievement of an output or outcome, that should definitely be mentioned in a report.

These required changes must be summarized at the end of the year in the Annual Technical Progress and Financial Report.

➤ **The Semi-Annual Report** due at the end of September should provide more information on activities at the "tens" level along the following themes: introductory comments (if necessary), highlights, outputs, problems. Thus, the report would mention significant accomplishments and the achievement of final and intermediate outputs during the first six months of the year, major steps started or completed, etc. If there are problems or delays, these must be clearly, but briefly, indicated along with the implications (budget and schedule) and the corrective action being taken.

There would be a short list of <u>key</u> events, activities or steps to be started or completed during the next three-monthly reporting period.

The Program Evaluation Standards

Utility Standards

The utility standards are intended to ensure that an evaluation will serve the information needs of intended users.

U1:   Stakeholder Identification--Persons involved in or affected by the evaluation should be identified, so that their needs can be addressed.

U2:   Evaluator Credibility--The persons conducting the evaluation should be both trustworthy and competent to perform the evaluation, so that the evaluation findings achieve maximum credibility and acceptance.

U3:   Information Scope and Selection--Information collected should be broadly selected to address pertinent questions about the program and be responsive to the needs and interests of clients and other specified stakeholders.

U4:   Values Identification--The perspectives, procedures, and rationale used to interpret the findings should be carefully described, so that the bases for value judgments are clear.

U5:   Report Clarity--Evaluation reports should clearly describe the program being evaluated, including its context, and the purposes, procedures, and findings of the evaluation, so that essential information is provided and easily understood.

U6:   Report Timeliness and Dissemination--Significant interim findings and evaluation reports should be disseminated to intended users, so that they can be used in a timely fashion.

U7:   Evaluation Impact--Evaluations should be planned, conducted, and reported in ways that encourage follow-through by stakeholders, so that the likelihood that the evaluation will be used is increased.

Feasibility Standards

The feasibility standards are intended to ensure that an evaluation will be realistic, prudent, diplomatic, and frugal.

F1:   Practical Procedures--The evaluation procedures should be practical, to keep disruption to a minimum while needed information is obtained.

F2:   Political Viability--The evaluation should be planned and conducted with anticipation of the different positions of various interest groups, so that their cooperation may be obtained, and so that possible attempts by any of these groups to curtail evaluation operations or to bias or misapply the results can be averted or counteracted.

F3:   Cost Effectiveness--The evaluation should be efficient and produce information of sufficient value, so that the resources expended can be justified.

Propriety Standards

The propriety standards are intended to ensure that an evaluation will be conducted legally, ethically, and with due regard for the welfare of those involved in the evaluation, as well as those affected by its results.

P1:   Service Orientation--Evaluations should be designed to assist organizations to address and effectively serve the needs of the full range of targeted participants.

P2:   Formal Agreements--Obligations of the formal parties to an evaluation (what is to be done, how, by whom, when) should be agreed to in writing, so that these parties are obligated to adhere to all conditions of the agreement or formally to renegotiate it.

P3:   Rights of Human Subjects--Evaluations should be designed and conducted to respect and protect the rights and welfare of human subjects.

P4:   Human Interactions--Evaluators should respect human dignity and worth in their interactions with other persons associated with an evaluation, so that participants are not threatened or harmed.

P5:   Complete and Fair Assessment--The evaluation should be complete and fair in its examination and recording of strengths and weaknesses of the program being evaluated, so that strengths can be built upon and problem areas addressed.

P6:   Disclosure of Findings--The formal parties to an evaluation should ensure that the full set of evaluation findings along with pertinent limitations are made accessible to the persons affected by the evaluation, and any others with expressed legal rights to receive the results.

P7:   Conflict of Interest--Conflict of interest should be dealt with openly and honestly, so that it does not compromise the evaluation processes and results.

P8:   Fiscal Responsibility--The evaluator's allocation and expenditure of resources should reflect sound accountability procedures and otherwise be prudent and ethically responsible, so that expenditures are accounted for and appropriate.

Accuracy Standards

The accuracy standards are intended to ensure that an evaluation will reveal and convey technically adequate information about the features that determine worth or merit of the program being evaluated.

A1:   Program Documentation--The program being evaluated should be described and documented clearly and accurately, so that the program is clearly identified.

A2:   Context Analysis--The context in which the program exists should be examined in enough detail, so that its likely influences on the program can be identified.

A3:   Described Purposes and Procedures--The purposes and procedures of the evaluation should be monitored and described in enough detail, so that they can be identified and assessed.

A4:   Defensible Information Sources--The sources of information used in a program evaluation should be described in enough detail, so that the adequacy of the information can be assessed.

A5:   Valid Information--The information gathering procedures should be chosen or developed and then implemented so that they will assure that the interpretation arrived at is valid for the intended use.

A6:   Reliable Information--The information gathering procedures should be chosen or developed and then implemented so that they will assure that the information obtained is sufficiently reliable for the intended use.

A7:   Systematic Information--The information collected, processed, and reported in an evaluation should be systematically reviewed and any errors found should be corrected.

A8:   Analysis of Quantitative Information--Quantitative information in an evaluation should be appropriately and systematically analyzed so that evaluation questions are effectively answered.

A9:   Analysis of Qualitative Information--Qualitative information in an evaluation should be appropriately and systematically analyzed so that evaluation questions are effectively answered.

A10:   Justified Conclusions--The conclusions reached in an evaluation should be explicitly justified, so that stakeholders can assess them.

A11:   Impartial Reporting--Reporting procedures should guard against distortion caused by personal feelings and biases of any party to the evaluation, so that evaluation reports fairly reflect the evaluation findings.

A12: Metaevaluation--The evaluation itself should be formatively and summatively evaluated against these and other pertinent standards, so that its conduct is appropriately guided and, on completion, stakeholders can closely examine its strengths and weaknesses.

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Appendix 3.2   Monitoring and Evaluation Policy

MONITORING AND EVALUATION POLICY OF THE CRFM

THE PROGRAM OUTCOME MODEL

One of the most common models used by evaluators is the program outcome model. The **program outcome model** is portrayed in terms of inputs, activities, outputs, outcomes, and impacts.

Inputs: The resources put into a program: money, staff, facilities, equipment, and technical expertise.

Activities: What the program does. For example, the program builds drainage ditches.

Outputs: The services or products produced. Numbers of people served. Hours or units of service. This is a quantifiable statement of the activities.
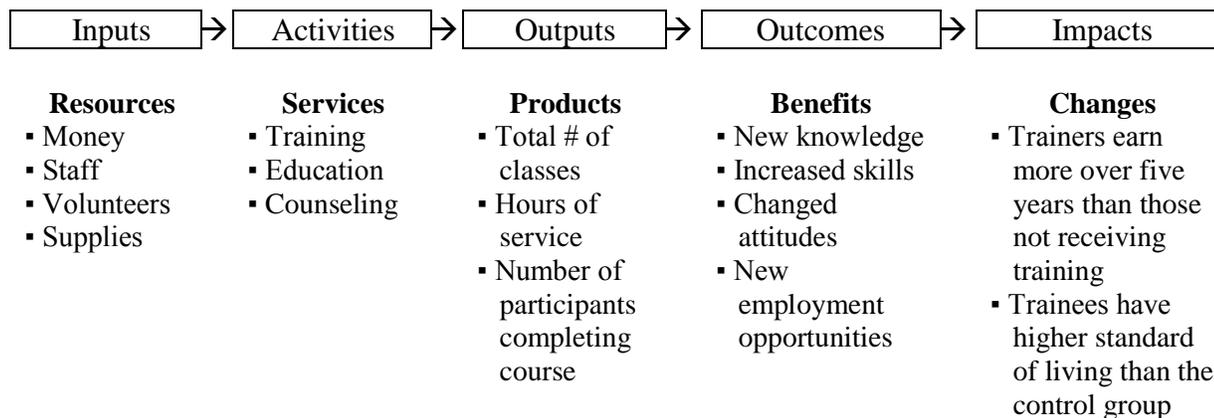
Outcomes: The effect, or result of the activities and outputs. It is the thing that gets changed because of the program.

Impacts: The longer term consequence of the program. Typically, impacts refer to goal attainment. For example, the outcome of producing more crops is to increase income. As a result of increased income, poverty is decreased. There often is a chain of outcomes, more immediate ones ultimately leading to more distant impacts. While it is harder to demonstrate a linkage between the programs to build 50 drainage ditches and the reduction of poverty, it is likely that the long-term goal of the program is to reduce poverty.

Fig. 3.5.a Elements of a Program Outcome Model.

The logic works this way: resources are invested in a program or project in order for it to carry out its activities. At least some of the activities should result in the production and delivery of services or products, called **outputs**. These outputs should cause something to change. Changes, in the short term, are referred to as **outcomes**. The longer-term changes caused by the program are referred to as **impacts.**

Figure 3.5.b shows an example of a program outcome model for a training program.

Inputs	→	Activities	→	Outputs	→	Outcomes	→	Impacts
Resources		**Services**		**Products**		**Benefits**		**Changes**
▪ Money		▪ Training		▪ Total # of		▪ New knowledge		▪ Trainers earn
▪ Staff		▪ Education		classes		▪ Increased skills		more over five
▪ Volunteers		▪ Counseling		▪ Hours of		▪ Changed		years than those
▪ Supplies				service		attitudes		not receiving
				▪ Number of		▪ New		training
				participants		employment		▪ Trainees have
				completing		opportunities		higher standard
				course				of living than the
								control group

Fig. 3.5.b: Program Outcome Model for a Training Program

A logic model can help uncover stakeholders' assumptions about how and why a program, policy, or project is expected to work. If an evaluation finds that a program is not achieving its expected outcomes, program theory can help disentangle where the breakdown is occurring. For example, is the financial management advice and support not working to increase people's business skills, or are these skills being acquired but are not helping people achieve success in their small businesses?

 "A logic model starts with the long-term vision of how program participants will be better off (changed) because of the program [policy / project]… this requires specification of: [target population], [problem statement], inputs…activities…outputs…and immediate, intermediate, long-term, and ultimate outcomes…"[1]

In the context under discussion here, logic models can be used to explain *how* projects, programs, and policies are expected to lead to the attainment of socio-economic goals for a given target population. They provide a clear and logical argument demonstrating how project, program, and / or policy activities will produce the intended outcomes, noting important causal mechanisms.

Logic models should be able to answer the following questions: Is the model an accurate depiction of the program?

•   Are all elements well defined?

•   Are there any gaps in the logical chain of events?

•   Are elements necessary *and* sufficient?

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1 Fitzpatrick, Sanders, Worthen (2004). *Program evaluation: Alternative approaches and practical guidelines.* New York: Pearson Education. p. 79.

- Are relationships plausible and consistent?

- Is it realistic to assume that the program will result in the attainment of stated goals in a meaningful manner?

Measurable indicators will be needed for each element of the logic model for which managers are to be held accountable.

Articulating the logic model for a policy program offers several benefits:

- It helps identify elements of programs that are critical to success.

- It helps build a common understanding of the program and expectations among stakeholders based on a common language.

- It provides a foundation for evaluations.

- Poorly specified models limit the ability to identify and subsequently measure intervening variables on which outcomes depend.

LOGICAL FRAMEWORK (LOGFRAME)

A related model that can be used as a management tool is the **logical framework**, or **logframe**. A logical framework links up the activities, results, purpose, and objectives of a program, policy, or project in a hierarchy. For each of the components, the evaluator identifies the indicators that are needed, the sources, and the assumptions.

The logframe is a specific type of logic model or approach. It helps to clarify the objectives of a given project, program, or policy, and to identify the causal links between inputs, processes, outputs, outcomes, and impact. Performance indicators are drawn up for each stage of the intervention. Key assumptions are articulated, and the manner in which evaluation and supervision will be undertaken is explained.

The logframe is essentially a 4x4 matrix containing a summary of the critical elements of a project / program / policy. The approach addresses key questions for a project / program / policy in a methodical manner according to causal logic. Figure 3.5.c: contains one example of the way in which a logical framework can be used for a program goal.

Narrative Summary	Performance Indicators	M&E / Supervision / Verification	Key Assumptions
Program Goal:			
Project development objective:			
Outputs:			
Components:			

Fig. 3.5.c: Example of Logframe for a Program Goal

The history of the logframe model dates back over forty years. Originally developed by the American Defense Department, it was later used by the US Agency for International Development. Other donors, such as Canada, the EU, and Germany have since followed suit, utilizing and modifying the logframe.

The logframe can be used for a variety of purposes:

- Improving quality of project…, program [and / or policy] design – by requiring the specification of clear objectives, the use of performance indicators, and assessment of risks.

- Summarizing design of complex activities.

- Assisting the preparation of detailed operational plans.

- Providing objective basis for activity review, monitoring and evaluation (which is also true of other logic models)

The logframe has a variety of advantages and disadvantages that should be considered in advance of any planned project, program, or policy intervention. With respect to advantages, the logframe:

- ensures that decision-makers ask fundamental questions and analyze assumptions and risks

- engages stakeholders in the planning and monitoring process

- when used dynamically, is an effective management tool to guide implementation, monitoring and evaluation.

Limitations of the logframe model include the following:

- the focus on achievement of intended effects by intended routes makes logframes a very limiting tool [rigidity problem] in evaluation

- an assumption of consensual project objectives often becomes problematic in public and inter-organizational projects [programs/policies]

- the automatic choice of an audit form of accountability as the priority in evaluations can [come]… at the expense of evaluation as learning."2

It is important to stress that logic models are extremely useful in showing how a program is supposed to work and achieve its intended outcomes and impacts. They are also useful in identifying through assumptions the treats to the program working as it supposed to and achieving the desired outcomes and impacts. But when conducting an evaluation based on logic models, the evaluator must also look for unintended outcomes and impacts, both positive and negative.

A related difficulty always encountered with LFA has been how to distinguish, and hence apply, the terms it uses for different levels in the hierarchy of objectives. This raises the danger of attempting to `jam' too much into a four-level diagram. Two inter-level links in a project are supposed to take us already to sustainable benefits. Yet the logframe contains no clear time dimension. '*Jamming*' can cause illogic and is part of a problem of oversimplification.

Additionally, the LF is frequently too simple, even for simple project designs. Not everything important can be captured in a one to three pages, four or five level diagram.

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i Taken from the glossary of the OECD

2 Gasper, D. (2000). "Evaluating the 'logical framework approach' – towards learning-oriented development evaluation," in *Public Administration Development, 20:1*. pp. 17-28.