



RLEP
Rural Livelihoods Evaluation Partnership

Community Based Fisheries Management Project 2 (CBFM-2)

**Second Output To Purpose Review Report
4th – 17th October 2003**

Rural Livelihoods Evaluation Partnership,
c/o BETS,
House 10, Road 135
Gulshan 1, Dhaka.
Tel: 9861531-2

B Blake
J Barr
C Peris

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CBFM-2 Project address:

The World Fish Centre, H – 22/B, R-7,
Block-F, Banani, Dhaka.
Tel: 8813250, 8814624 Fax: 8811151
e-mail: worldfish-bangladesh@cgiar.org

RLEP has been established by the Department For International Development (DFID) to: i) manage the project review process for all its rural livelihood projects in Bangladesh, ii) develop a RLEP communications strategy, to identify and facilitate the improvement of systems for lesson-learning and provision of information to decision-makers, iii) facilitate improvements in project monitoring with particular focus on developing project teams' capacity in livelihood outcome monitoring and evaluation and, iv) build up national consultancy capacity.

The Rural Livelihoods Evaluation Partnership is represented by a consortium of three international and two national companies led by the UK based ITAD (Information Training and Development):-



EXECUTIVE SUMMARY

Preamble

- (i) CBFM 2 is an action research project founded upon CBFM 1. Both projects were designed to test and assess various models of community based resource management, with the objective of improving benefits for the poor.
- (ii) The core requirements of an OPR are covered in this **summary, Table 1, Table 3** and **Annex 4. Table 1** (immediately behind this summary) collates all recommendations by paragraph number against the logical framework. The TORs for the review mission also sought comment on wider issues of relevance to the project, and these are addressed in the text. In particular the OPR was asked to look at the project in the context of the DFID CAP, and the wider policy environment in which this must operate.
- (iii) CBFM 2 differs from the first phase in seeking to scale up community models for management of large water bodies, and in attempting to specifically influence policy formulation.

Overall findings

- (iv) The project is required to execute research that produces accurate and well-documented evidence in support of pro-poor policy formulation. This inevitably means that there is a time lag between project inception and the delivery of hard data. It is not possible to assess impact on the basis of 24 months in the field, and this was a factor in the scores allocated and the conclusions reached in this OPR.
- (v) **Output 1** – design and testing of models for management has progressed well, and there is little doubt that the first element of the Output will be fully achieved. There is, however, still some room for doubt about whether the second element – the assessment of impact, sustainability and potential for expansion – will be met in full. The score allocated was 1 / 2 as opposed to 1 in OPR1, reflecting this concern. Suggestions are made in this report for expediting the collection of some evidence of impact.
- (vi) **Output 2** – there has been good progress in the formation of inter-CBO coordination mechanisms, and the OPR was particularly impressed with efforts to establish an inter-project CBO network. There is little doubt that this element of the Output will be addressed in full. As with Output 1, there is also a requirement that these mechanisms are assessed as well as designed and tested. This is particularly important given the multi-tiered approaches proposed at some sites. The score allocated was 2, as in the last OPR.
- (vii) **Output 3** - the project is beginning to move away from the media driven approach criticised in OPR 1, towards designing a communications strategy. However, the communications consultancy occurred immediately before OPR 2 and there has

been little time to take action. Given the clear intention to move in this direction, greater emphasis on networking and an apparent improvement in the external environment, a score of 3 was given as in OPR 1.

- (viii) **Purpose** – the Purpose score was up-graded to 3 from X/4. This reflects progress made under Output 3, plus a contribution towards direct influence on policy (eg leasing,) and the recognition that the wording of the Purpose is no longer entirely appropriate in the context of current programmatic approaches to development in Bangladesh.

Specific issues

- (ix) The previous OPR commented that the project was not well geared up to measure impact in general, and particularly to disaggregate the impact on vulnerable groups. The monitoring survey data tend to be collected at the household level since under CBFM 1 there was no emphasis on, for example, gender sensitive data collection. A clear strategy for measuring attitudinal change is also needed. This is a critical factor for Output 3 and the Purpose. This situation needs further attention, and suggestions have been made in this report.
- (x) A large volume of fisheries catch/effort data have been collected, and a report on trends has been drafted. Although there is much of value, this has not yet been teased out in the context of the core objectives of the project. There is a tendency towards two separate sub-projects: fisheries science, and social science. It is important that a coherent research plan is drawn up which better integrates these project components.
- (xi) After 7 years of data collection for CBFM 1 sites and 2 years for CBFM 2, it is time that results and actions are fed back into the participating communities. It is proposed that at a site where over-fishing appears to be an issue, and access control may be required, the project explores just how it may help communities to solve practical issues
- (xii) There is also a need for some early understanding of the benefits derived by women and the poor. A series of case studies are proposed to assess progress in these areas. It is suggested that this case study approach should replace the proposed month 24 impact assessment survey. The OPR team holds the view that this would be too close to the baseline survey, and too time consuming to be justified at this stage. It is also proposed that the final impact assessment survey be moved forward to month 48 to allow better use of the products
- (xiii) The issue of publication of results is a major concern to the OPR team. The risk is that much of the key data analysis and report writing will occur too close to the end of the project to inform the project process. Worse, since CBFM 1 publications are only now appearing, it is likely that much valuable material will not be

published after end of project. A solution to the publications overhang must be found.

- (xiv) This issue is directly related to the role of the Project Leader. OPR 1 reported an inappropriate administrative load, and the situation has not changed. The PL must be freed of petty administration if the publications are to be delivered in time to be useful. The project is, in fact, sorely lacking in depth of competent research staff, and greater professional back-stopping inputs from WorldFish Center could, if well focused, be beneficial.
- (xv) The staff situation is exacerbated by the loss of Dr Parvin Sultana as a full time staff member. She now acts only as a consultant, and her inputs are no longer guaranteed. WorldFish Center has been asked to address this serious threat to realisation of project outputs.
- (xvi) The project has made progress on the approach to influencing policy process, but there is a long way to go in operationalising the communications strategy. It is essential that the project takes full advantage of the policy window that appears to be opening at present through the PRSP and the Fisheries Sector Review study. It is suggested that, in addition to the champion already identified, the project should attempt to involve key policy-focused institutions such as CPD and BIDs in developing and implementing their operational plan for influencing policy.

Overall

- (xvii) In general the OPR team found that significant progress had been made since OPR 1, and that the project continues to demonstrate its value in understanding the opportunities that CBFM offers to poor and vulnerable people. On present course the project is likely to offer a depth of insight into CBFM which is rare in global terms. The key question remains – does it really work? If this can be answered, then CBFM 2 will have fully justified its funding.

TABLE 1 SUMMARY OF OPR 2 RECOMMENDATIONS AGAINST LOGICAL FRAMEWORK

LOG FRAME	ISSUES	RECOMMENDATIONS	Text ref.
<p>Purpose</p> <p>A process for policy formulation for pro-poor sustainable fisheries management agreed and operational</p>	<p>The Purpose requires the project to influence policy stakeholders and policy processes; this cannot be achieved in isolation from the wider policy environment and is not solely a CBFM 2 target . It would be better worded to reflect that CBFM 2 should substantially contribute to the agreement and operationalisation of a pro-poor policy formulation process for sustainable fisheries management</p>	<ul style="list-style-type: none"> the third OPR should review the wording of the Purpose in the light of developments both within the sector and within the wider external policy environment, notably the move to a programmatic approach 	8.2.4
<p>Output 1</p> <p>Community based fisheries management approaches developed, tested, and their impacts, sustainability and potential for expansion assessed</p>	<p>Fisheries research and social development components are not interacting to serve CBO needs</p>	<ul style="list-style-type: none"> produce an integrated summary of the 6 year catch data by the end of 2003 assemble a joint team to facilitate resolution of real fisheries related problems at Ashurar Beel revise the overall project research plan to ensure better integration of effort and output 	3.1.9 3.1.9 3.1.10
	<p>Interpretation of fisheries trends will be limited in the absence of contemporary environmental data</p>	<p>Ensure collection of data on key environmental parameters and collaborate with both MRAG and FFP</p>	3.1.11
	<p>There is no strategic framework for development of AIGAs as a tool for poverty reduction and reduced fishery dependence</p>	<p>It is recommended that the project commission a study of the development, effectiveness and future for AIGAs in fisheries communities</p>	3.6.6
	<p>The necessary transfer of skills for management to CBOs does not appear to be adequate</p>	<p>WorldFish to commission a TNA for CBO management resulting in an outline for the required training.</p>	3.3.5
	<p>The quality and appropriateness of the training by PNGOs remains patchy</p>	<p>WorldFish should consider engaging someone with responsibility for training oversight and QA. This person would also be able to give training advice to the partners</p>	3.3.7

	The returns on loans is very variable, making it hard for PNGOs to plan and understand the implications of their lending approaches	WorldFish should prioritise an assessment on the use and impact of micro-credit, and undertake it at the earliest opportunity	3.3.14
	there will be a publication overhang at EOP – delay in access to results for CBOs/GoB/donors	WFC should develop a publication plan, and DFID and WFC HQ should consider how best to deal with overhang	3.7.8
	The female staff recruited by DoF are not sufficiently senior to take sole responsibility for oversight of gender issues	<ul style="list-style-type: none"> WorldFish should appoint a gender focal point for the project DoF should appoint their own WID focal and should work with the project to develop a programme for mainstreaming gender into this area of its work. 	3.4.17
	The Gender Strategy confirms that project data remain at the HH level, and disaggregation is not possible on the present basis	The recommendation from OPR1 “that the project’s monitoring instruments are reviewed to ensure the necessary separation of gender benefit will be possible in reporting the impact of CBFM on women, so that OVI 1.5 is attainable” therefore remains valid and is of high priority.	3.4.21
	The baseline survey was derived from the CBFM approach and was not specifically designed to facilitate gender disaggregation	<ul style="list-style-type: none"> A separate mid-term gender impact study, which should link to the credit study is now recommended 	3.4.23
		<ul style="list-style-type: none"> The DFIDB Social Development Team should also be made aware of the study in order that they may provide advice and guidance. 	3.4.24
		<ul style="list-style-type: none"> In addressing this aspect, a linkage should be made with the on-going DFID Nutrition Scoping Study (led by Dilruba Haider). 	3.4.25
	The general training for PNGO staff is not sufficiently specific, no post focuses on gender	The partner NGOs should each establish a gender focal point, or preferably link the project into their mainstream gender programmes,	3.4.25
	Demonstrating that the poor are not disadvantaged is a high priority at an early stage	a participatory poverty assessment to be carried out in a sample of waterbodies in 2004, along side the other recommended case studies.	3.5.3
	The proposed Mid-Term impact study will tie up substantial project resources and may not provide the answers needed to very specific question	WorldFish should reconsider the mid-term impact survey, with consideration given to undertaking a number of more targeted case studies instead	4.4.4

Output 2 Coordination and administration mechanisms for linking local community management arrangements with larger fishery and wetland systems tested and assessed, and constraints identified	the complexity of some of the proposed models gives concern about practicability and process documentation is currently limited	PNGOs should be asked to establish a portfolio of significant events, and WFC should collate a database as part of the communications strategy	3.2.17
	the hierarchies involved may provide an entry point for elites which could be good or bad	a study of the participation of elites in other (fish and non-fish) projects may provide an idea of pros and cons	3.2.9
Output 3 To inform and influence all fisheries policy stakeholders of improved management approaches	There is an increasingly urgent need to convince GOB that CBFM can deliver	The recommendation that a study be commissioned on macro-economic trade-offs and social implications in CBFM remains a high priority. WorldFish should consider using their in-house expertise to complement project efforts in this area	3.1.13
	the communications strategy is not yet operationalised	<ul style="list-style-type: none"> • the project should clearly define the major policy themes and externalities likely to constrain CBFM, as a first stage and then develop an action plan in consultation with FSRFDS Steering Committee and DoF • the project should appoint a full time Communications Officer. A part time appointee would be better than none • It is recommended that each partner appoints a communications focal points to oversee internal and external communications about CBFM, and co-ordinate with the WorldFish communications officer. This should be integrated with the existing media machines of the major PNGOs 	5.2.9 5.1.5 5.1.10
	the ability to influence across a wide sectoral and cross-sectoral basis is difficult for one champion	The project should attempt to engage strategic non-sectoral institutions as advisers in support of a champion (eg CPD and BIDS). This would be a natural progression from the existing Media Advisory Committee	5.2.10

Other	The field visit approach to the OPR is not an effective way of collecting information, and is demanding on the time of communities	RLEP should consider recruitment of local consultants immediately before the OPR to carry out field investigation of issues identified by the OPR team (based on report)	1.4..2
	The issue of administrative burden on the Project Leader remains. This will have a negative effect on the publications overhang issue	WFC to find a solution. Meantime, focus on recruitment of a top quality office manager	10.2
	the other main researcher contributor, Dr Parvin Sultana, is no longer on project staff. She inputs only as a consultant on an ad hoc basis	WFC and DFID to find a mechanism for engaging Dr Parvin on a full time basis as a matter of priority before her services are lost elsewhere	10.3
	The project logical framework has been revised to the satisfaction of the OPR 2 team, but its status is not clear	the revised version of the logical framework should be used as the working document of the project, but formal adoption should be delayed until OPR 3 has undertaken the proposed revision of the Purpose	8.3.1
	The project currently proposes the main impact assessment work for month 54. This will not allow sufficient time for analysis and may constrain the value of the information.	<ul style="list-style-type: none"> the final impact survey should be moved from month 54 to month 48. It is recognised that delay until month 54 would yield a full 4 year data set, but at this time, the recommendation for a change to month 48 is considered the better option for yielding timely outputs 	4.4.4

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As in OPR 1, we sincerely thank the men and women of the communities participating in CBFM 2 for giving their time to help inform our review process.

GLOSSARY

ADC	Assistant Deputy Commissioner
AIGA	Alternative Income Generating Activity
BIM	Beneficiary Impact Monitoring
BMC	Beel Management Committee
CAP	Country Assistance Plan (DFID)
CBMF	Community Based Fisheries Management
CBO	Community Based Organisation
CPUE	Catch Per Unit Effort
DC	Deputy Commissioner
DFO	District Fisheries Officer
DG	Director General (DoF)
DLS	Department of Livestock Services
DoF	Department of Fisheries
FAO	Food and Agricultural Organisation of the United Nations
FFP	Fourth Fisheries Project
FMC	Fisheries Management Committee
FSRFDS	Fisheries Sector Review and Future Development Study
FTEP 2	Fisheries Training and Extension Project
GoB	Government of Bangladesh
HRD	Human Resource Development
HRM	Human Resource Management
IUCN	International Union for the Conservation of Nature
LCD	Local Coordinating Group
LGRD	Ministry of Local Government, Rural Development and Cooperatives
MACH	Management of Aquatic Ecosystems through Community Husbandry
MDG	Millenium Development Goal
MOFL	Ministry of Fisheries and Livestock
NCFP	National Committee for Fish and Prawn
NFP	National Fisheries Policy

NCU	National Coordinating Unit
NWMP	National Water Management Plan
NFMP	New Fisheries Management Policy
OPR	Output to Purpose Review
PNGO	Partner NGO
PRSP	Poverty Reduction Strategy Paper
PSM	Policy Stakeholder Matrix
OPR	Output to Purpose Review
QA	Quality Assurance
RLF	Revolving Loan Fund
RMC	River Management Committee
RMO	Resource Management Organisation
TA	Technical Assistance
UFO	Upazilla Fisheries Officer
UNO	Upazilla Nirbahi Officer
VDC	Village Development Committee

CONTENTS

SECTION TITLES	PAGE
EXECUTIVE SUMMARY	2
ACKNOWLEDGEMENTS	9
GLOSSARY	9
1. INTRODUCTION	
1.1 Background	13
1.2 Comments on Terms of Reference	13
1.3 Approach to OPR	14
1.4 Comments on approach to fieldwork	14
2. THE OVER-ARCHING POLICY AND INSTITUTIONAL ENVIRONMENT	
2.1 Introduction	14
2.2 The GoB Interim Poverty Reduction Strategy Paper	15
2.3 DFID Country Assistance Plan 2003 – 2006	16
- the CAP and gender	
2.4 GoB sectoral policy and processes	
- fisheries	17
- leasing	20
- lessons from livestock	21
2.5 Concluding comments	21
3. ISSUES IN COMMUNITY BASED FISHERIES MANAGEMENT	
3.1 Are the benefits visible ?	21
3.2 Progress on institutional arrangements for CBFM	24
- the role of local administrations	27
- registration and legitimacy	29
3.3 Training and credit provision by NGOs	
- training	29
- credit, grants and AIGA	31
- the role of PNGOs	33
3.4 CBFM and gender – women and girls first?	
- progress on gender issues	34
- understanding gender issues; a theory of change for gender	35
- beneficiary groups and gender in CBFM 2	36
- gender strategy	37
- summary	40
3.5 Exclusion of the poor under CBFM ?	40
3.6 Alternative income generating activities	41
3.7 The post-project sustainability of CBOs and project exit strategies	
- strategy for project write-up and exit	43
- PNGO strategies	44
- the issue of new PNGOs	45
4. PROGRESS ON M & e SYSTEMS DEVELOPMENT	
4.1 Introduction	45
4.2 M & E systems design and operation	45
4.3 Providing data for research outputs	49
4.4 Mid term impact assessment	49
5. INFLUENCING POLICY – THE COMMUNICATIONS STRATEGY AND THE STAKEHOLDER MATRIX	
5.1 The communications strategy	50
5.1 The realities of influencing policy	52
5.2 Implications for the project Purpose	54
6. NETWORKING AND LINKAGES	56
7. PROGRESS AGAINST RECOMMENDATIONS OF OPR 1	57
8. PROGRESS TOWARDS DELIVERABLES	

8,1 Key points on Outputs	57
8.2 Purpose	58
9. SUMMARY OF RECOMMENDATIONS FOR OPR 2	59
10. WorldFish Centre staffing issues	60
TABLE 1 Summary of main findings and core recommendations OPR 2	5
TABLE 2 The M&E system and MOVs	61
TABLE 3 Progress against OPR 1 recommendations	64
ANNEX 1 Itinerary	66
ANNEX 2 List of contacts	67
ANNEX 3 Terms of Reference	68
ANNEX 4 DFID Progress Report OPR Office Instructions format	77

1. INTRODUCTION

1.1 Background

1.1.1 The Community Based Fisheries Management Project (CBFM 1) began operations in 1995. The project established partnerships between government, NGOs and communities with the objective of testing and assessing alternative models of collaboration for participatory management. The fundamental aim of the project was to address problems associated with sustainable use of inland fisheries and to work towards improving benefits for the poor through their involvement in management.

1.1.2 CBFM 2 began in September 2001 (18 months after end of CBFM 1). This project continues the work of CBFM 1 by testing approaches and models for CBFM (Output 1), but also seeks to identify and test mechanisms for linking local CBFM arrangements to better manage larger fisheries systems (Output 2). CBFM 2 also seeks to inform and influence diverse fisheries policy stakeholders (Output 3) with the Purpose of agreeing a process for pro-poor policy formulation.

1.2 Comments on the Terms of Reference (detailed in Annex 3)

1.2.1 The first Output to Purpose Review (OPR 1, October 2002) was carried out one year after operations commenced and many of the activities were thus in the very early stages of development. The present OPR covered two full years of implementation, allowing comment on all aspects of the project.

1.2.2 The TORs relate primarily to CBFM 2, but the review process was designed as part of a cluster of three simultaneous OPRs. The objective was to allow the sharing of lessons learned between projects, and the identification of cross-cutting themes to inform the implementation of the DFID Country Assistance Programme (CAP, June 2003). Some of the likely cross-cutting themes were pre-identified, and special responsibilities were allocated accordingly. The initial themes were:

- gender
- institutional and policy issues
- human resource development

1.2.3 Although the purpose of the review was to assess progress against CBFM 2 goal, purpose and outputs, the TORs require comment on wider areas of strategic importance such as the policy environment, lease fee arrangements and the appropriateness of the approaches to CBFM. These aspects benefited from collaboration between the three OPR teams of Cluster 1 addressing:

- CBFM 2
- ASIRP (Agricultural Services Innovation and Reform Project)
- FFP (Fourth Fisheries Project)

1.3 Approach to the OPR (itinerary Annex 1)

- Briefing by DFID
- Field visits to selected project sites
- Briefing by CBFM 2 partner institutions (WorldFish Centre, Partner NGOs and DoF)
- OPR Cluster 1, cross-cutting theme meetings
- Interviews with other projects and institutions directly involved in CBFM
- Interviews with key macro level stakeholder institutions
- De-briefing on OPR findings for DFID World Fish Centre and NGO partners
- Report completion and submission of draft
- Report to DFID and other stakeholder institutions on the cross-cutting theme conclusions (Team Leaders only)

1.3.1 The recommendations of the review are summarised in Table 1 (page 5) by paragraph number and against logical framework components.

1.4 Comments on the approach to field work

1.4.1 The OPR team benefited from a significant degree of experience on this type of review in Bangladesh. The field missions were standard rapid entries and exits to project communities that were expecting the team and had laid on a formal meeting. Although this is an essential element of the review process and something is always picked up, it is not an efficient approach to collecting information from communities.

1.4.2 **It is recommended that RLEP consider recruiting local consultants for perhaps two weeks before the OPR., to carry out field investigation of very specific issues.** Given the experience and planned continuity of the OPR process, the international consultants (or indeed RLEP itself) could provide TORs for short, targeted field investigations. This would have the advantage of in depth information gathering without foreigners, and without a smash and grab approach. The spin off would be a refinement of focus for the OPR team and possibly a reduction in the time needed for international consultants.

2. THE OVER-ARCHING POLICY AND INSTITUTIONAL ENVIRONMENT

2.1 Introduction

2.1.1 The project Purpose is to stimulate the development and implementation of a policy formulation process for pro-poor fisheries management. This objective is obviously highly sensitive to the overall policy environment and to shifts in the attitudes, roles and responsibilities of the key institutions at all levels of the stakeholder matrix. Since OPR 1 there have been several relevant developments.

2.2 The Government of Bangladesh Interim Poverty Reduction Strategy Paper (iPRSP)

2.2.1 The interim PRSP, although to some extent donor driven, nevertheless has the stamp of the Ministry of Finance, and must be considered as a key over-arching national policy document. The implications of the Strategy for the fisheries sector were reviewed by Richard Gillett¹, on behalf of the Local Coordinating Group, Fisheries Sub-group. It was noted that the PRSP contained little discussion of the role that fisheries plays in poverty reduction, not does it provide guidance on how government owned natural resources should be managed to deliver poverty alleviation objectives. The opportunity to address the lack of coherence between, for example, jalmohal leasing policy and pro-poor development policy is missed.

2.2.2 The PRSP nevertheless has specific objectives for fisheries outlined in one paragraph of Annex 4 "Agriculture and Rural Development". This annex also provides an insight into policy process, since there has been a subtle evolution of the language between the early (April 2002) and current (March 2003) drafts. Both focus on:

- increased production from marine fisheries from more advanced practices
- increased production from inland waters through better management and improved aquaculture technology
- increased shrimp production and exports by better regulation of the industry at all levels
- mitigation of the negative impacts of water management structures through community collaboration
- scaling up of community based floodplain fisheries management to all floodplains

2.2.3 But whereas the April 2002 version states:

- the capacity of the Department of Fisheries will be strengthened in order to bring a fundamental shift in its role from regulation and control to participation and cooperation with local communities and the private sector

2.2.4 The March 2003 version is:

- the capacity of the Department of Fisheries will be strengthened so that it can play an effective role in participation and cooperation with local communities and the private sector

2.2.5 The first version appears to imply a major change in sectoral policy in a direction long advocated by fisheries observers in many countries undergoing decentralisation. The current version is less fundamental, and the process by which this evolved is perhaps relevant to the CBFM 2 Purpose.

¹ Gillett R, 2003. LCG Fisheries Sub Group, iPRSP implications for the Fisheries Sector

2.2.6 The implied dependence on a partnership between DoF and communities to manage floodplain fisheries has potentially significant positive implications for the sustainability of CBFM 2 and similar projects.

2.3 DFID Country Assistance Plan 2003 –2006, Women and Girls First

2.3.1 The CAP is closely modelled on the PRSP, implying a close synergy between the GoB and DFID approaches to poverty reduction. The CAP has three pillars under which all DFID Rural Livelihoods Programme projects are anchored:

- Pro-poor economic growth for ensuring income and employment of the poor
- Human development of the poor for raising their capabilities through education, health, nutrition and social interventions
- Participatory governance, enhanced voice of the poor and improved non-material dimensions of well being, including security, power and social inclusion

2.3.2 CBFM 2 is under the umbrella of the participatory governance objective. Under this objective, DFID has prioritised two areas, and indicative projects from these areas are:

Priority Area 6: Support more effective demands by pro-poor groups for resources, services and realisation of rights.

SAMATA	Landless men and women in Samata's programme area improve their livelihoods become socially and politically empowered and able to effectively pressurise government, political and other elites to address the rights of poor men and women.
Nijera Kori	Nijera Kori members and their allies increase the pressure on government, political and other elites to provide better access to decision-making processes resources and services for poor men and women.
Manusher Jonno	To enhance the capacity of and opportunities for poor men women and children to demand improved governance and recognition of their rights.
BLAST	Legal services and advocacy for access to justice
CLP (Chars)	Improved livelihoods security for poor and vulnerable women, men and children living within the riverine areas of 5 districts of the northern Jamuna.

Priority Area 7: Support action to make the public sector more accountable and responsive to the interests of poor people:

CBFM 2

Improved inland fisheries management policy of GOB resulting in more sustainable, equitable and participatory management of resources.

2.3.3 This shows that CBFM-2 now shares space with a cluster of DFID's social mobilisation projects. Samata, through a somewhat different approach, is concerned with giving the poor access to land. One aspect, upsetting the status quo of elite capture of resources, is particularly relevant to CBFM-2. The experiences and processes of Nijera Khori and Samata, and of Manusher Jonno, though newer, may all be relevant to the empowering the poor aspects of CBFM-2. In particular their experience of forming coalitions of the poor, especially heterogeneous groups, for collective action, may be informative. It is understood that DFID projects in other sectors, eg TMSS in health, also have interesting group approaches, in this case to improve their ability to draw down services.

The CAP & Gender

2.3.4 The CAP states that..... *“Gender inequalities constrain poverty elimination and progress in achieving all the MDGs in Bangladesh. Women are underrepresented in decision-making bodies at all levels. DFID has concluded that in light of the broadly experienced failure of poor women and girls to benefit fully from development in the past, all future programmes should focus on this issue in support of the I-PRS objective to advance the position of women. The voice of poor women needs amplification across all of our programmes.”*

2.3.5 The OPR looks in some detail at the implications for CBFM 2 of the CAP position on gender, and seeks to ensure that the project does allow full assessment of the benefits arising from CBFM for women and other vulnerable groups (section 3.5).

2.4 Government of Bangladesh Sectoral Policies and Processes

Fisheries

2.4.1 Shamsul Huda² comprehensively reviewed the fisheries policy process for inland fisheries in Bangladesh. He concluded that:

..... radical policy changes have been the result, not of any rational analysis, but of close proximity of the advocates to the centres of power. This is not a sustainable system and must be replaced by some kind of rational organisation.....

2.4.2 This endorses the views expressed consistently during the various reviews of the Fourth Fisheries Project (FFP) and the Fisheries Training and Extension Project (FTEP 2) and summarised in the Fisheries Sector Review/Futures study³. Basically, although there is a National Fisheries

² Shamsul Huda ATM, 2003. Fishing in muddy waters: policy process for inland fisheries in Bangladesh

³ The Future for Fisheries, 2003. Findings of the Fisheries Sector Review and Future Development.

Policy (1998) it has no coherent, prioritised, time bound plan for implementation.

2.4.3 However, there has been an advance in policy that embraces fisheries, although the ownership of this process is not clear. Under rural development, the PRSP proposes a two-pronged approach focusing on intensified and modernised agriculture leading to rapid increase in production, and on support to rural non-farm development, notably in the peri-urban areas. The proposed support in these two areas does not specifically mention fisheries as a target for improved production, and the focus on HYV suggests that the sub-sector is not at the forefront of plans for agricultural development.

2.4.4 The PRSP has nevertheless had an impact on fisheries planning, and by implication on under-lying policy. The current GoB three year Rolling Plan focuses on 4 programme areas:

- pro-poor Policy Development according to the Poverty Reduction Strategy Paper
- production enhancing interventions
- sustainable use of resources – conservation of inland and marine fisheries resources
- development and implementation of an effective, needs based research plan and a human resource development and management programme

2.4.5 The influence of DFID initiatives is clearly visible in this programme. The Operational Plan for the first area (pro-poor) is not defined, but is stated to depend to a large extent on the results of the Fisheries Sector Review and Future Development Study (a multi-donor initiative). Inclusion of the fourth area focusing on HRD and HRM is likely to be a direct result of the progress made under the DFID Fisheries Training and Extension Project which laid the foundation for DoF to develop a HRD strategy

2.4.6 The message is clear – concerted donor influence through the LCG and through projects with carefully considered strategic aims, can, over time, influence the policy process. This was emphasised by the Deputy Chief for fisheries in the Planning Commission who anticipated that reforms and plans in the fisheries sector would now be derived with reference to the FSRFDS.

2.4.7 The next step is influencing policy interpretation and implementation. This may be less than straight forward, but the recent formation of a Parliamentary Standing Committee (PSC) for fisheries, and searching questions from the Prime Minister, are contributing to opening a window for policy change which the donor community should be able to utilise via the FSRFDS. The PSC has already demanded an issues paper on fisheries, providing another opportunity to push the policy message home.

2.4.8 In terms of current realities, the degree to which DoF was consulted in the preparation of the PRSP document, was not ascertained, but the MOFL has, to an extent, recognised the deficiencies in fisheries policy

implementation and has set in train a sort of process to operationalise the National Fisheries Policy (NFP). To date the Department of Fisheries (DoF) with the support of the FFP and FTEP 2, has developed an Aquaculture Extension Strategy and has held the first meeting aimed at the evolution of an open water fisheries management strategy. This latter initiative is crucial to the sustainability of the various CBFM initiatives in Bangladesh. Other than the statement of intent in the early iPRSP version there has, however, been no suggestion of the institutional reform within DoF required to drive forward broader, pro-poor rural development policy.

2.4.9 The closest thing to institutional reform is that achieved under FTEP 2, where a Training Wing was initiated with the mandate to develop and implement a Human Resource Development strategy that cuts across project boxes within DoF. The EoP review of this project (June 2003) noted the strategic importance of this change, but questioned the sustainability of the new arrangements. The attitudinal change necessary to support such reform is, as yet, limited at the Headquarters level, but this is not necessarily the case outside Dhaka.

2.4.10 In 2001, the FFP review team had the opportunity to interview a group of more than a dozen District Fisheries Officers en masse at the Savar Fisheries Training Academy. The interviewees were almost unanimous in their scepticism about the ability of communities to deliver sustainable fisheries management. During the present mission the OPR team heard a DFO and two Deputy Director level staff telling UFOs and NGO staff in very clear terms that it was their duty to ensure that CBFM (In this case CBFM 2) worked. It appears that there is some attitudinal change, and that it is reaching from the Upazilla level (where inter-sectoral collaboration and community support was frequently recorded under FFP and FTEP 2) up to the District, at least in some areas. Institutional change at the centre, remains a distant vision in light of the entrenchment of the Civil Service in general, and the DoF in particular. It appears that only some large force applied from above can achieve this, although the livestock sector appears to be moving without such a force.

2.4.11 Attitudinal change in DoF is not, in itself, sufficient to bring about sustainable, pro-poor CBFM. There remain some critical issues that are to a large extent outside the capacity and influence of DoF. The most important of these are inter-connected: leasing arrangements and the capacity of the DoF to enforce the law. The most frequent complaint recorded by CBFM 2 CBOs during their networking workshops was lack of support from local administrations and interference from powerful outside forces. This was strongly emphasised by field visits to Titas Ka, Shakla Beel and Fatki River where support from DoF in enforcing the Fish Act provisions was a common demand

Leasing arrangements

2.4.12 The Ministry of Land remains the single most important formal institution for CBFM. The issues have been described in many papers (eg the

Fisheries Sector Review, and Huda, 2003) and only progress is detailed here. In 2002 the DoF put the case to MOFL that jalmohals were often over-valued, and that the existing system of rent hikes (25% on first purchase + 10% per annum) made profitability impossible for some CBFM water bodies. Added to this was the burden of VAT plus income tax (3%). The Ministry of Land (MOL) was approached and an agreement was reached to waive the 10% annual increase for a trial period of five years. This did not address the major issue of lease values that exceeded the mid-term production capacity of a jalmohal.

2.4.13 After OPR 1 CBFM 2 put forward a proposal to DoF for rationalising the lease value according to a simple formula related to water body type and current maximum and minimum value levels (CBFM 2 Annual Report⁴). This was submitted to MOFL and from there passed to MOL. No response has, as yet, been received from MOL. Anecdotal information from an NGO member suggests that the Minister of Finance has no interest in the relatively minor revenue from jalmohal leasing and would have no objection to reduction of this revenue. The bottle-neck to rational policy on this issue must be sought elsewhere.

2.4.14 Whilst the GoB may not (allegedly) place much value on jalmohal lease revenue, this is certainly not the case at the sub-ministry levels. The Deputy Commissioner (DC) is in effect king in his area and acts as the fully empowered agent of the Ministry of Land with respect to the leasing of jalmohals. Although determination of policy occurs at a higher level, implementation is very much in the hands of the DC. Passing control of jalmohals to DoF and on to communities plus reducing lease values, is very likely to be seen as a threat to the power base of the DC (albeit in only one area of influence). On-going project attempts at influencing DoF have undoubtedly borne some fruit, but the reality in terms of leasing is that the DC and ADC have the power, and must also be won over.

2.4.15 This is also pertinent to the enforcement of the Fish Act in support of CBFM communities. The DoF is the mandated institution, but in practice relies on the DC for the necessary authority. If discussion fails, DoF cannot enforce without police support, and this in turn requires the stamp of the DC and the necessary finances to activate police involvement. DoF field staff may find both difficult to access, and thus seem powerless in the eyes of the communities they serve. The DFO is also vulnerable to the influence of the DC since he/she is personally responsible for the lease value of project jalmohals. If project communities fail to meet their commitment (as has happened in the FFP site at Kendua beel) the DFO will have to find the funds, and the beel may be taken back from MOFL and re-auctioned by the DC. In the Kendua case, the DC was of the view that the failure was due to poor community organisation – only very strong CBOs can succeed in leasing and managing beels (this view was gained from a fortuitous airport meeting).

2.4.16 There is clearly a long way to go in ensuring an appropriate policy and legislative environment for CBFM in leased jalmohals, and this is interlinked

⁴ CBFM 2, 2003. Annual Report, September 2001 – December 2002

with the need for implementation of an integrated National Policy for Rural Development and a reappraisal of the roles, responsibilities and policies of the key formal institutions, notably the MOFL/DoF.

Lessons from the livestock sub sector

2.4.17 Major progress has been made in the direction of reform by the MOFL in the context of livestock. DANIDA has supported an Institutional Analysis and Future Development initiative for the Department of Livestock Services that rethinks the role of this line agency. The initiative has been adopted by GoB and a loan of US \$ 9 million has been secured for implementation (ADB). Much of this money will be used for human resource development, and for establishment of new units to address vital areas for sector development currently missing from the LDS portfolio. A recent study of the livestock sector and poverty in Bangladesh⁵ serves to illustrate that the DLS approach is highly relevant to the fisheries sector. The approach could fairly easily be applied to fisheries with the guidance of the FSRFDS.

2.5 Concluding comments

2.5.1 DANIDA, in partnership with DFID and the Local Consultative Group, also support an Inter-Ministerial Integrated Agricultural Development Plan Working Group (IADPWG) that brings together MoA and MOFL to reshape sectoral policy. The iPRSP states that the Government has: “ taken up a Plan of Action (PoA....” to implement the agricultural policy which indicates specific areas where interventions would be needed. There is still no comparable PoA to guide the fisheries sector, but the IADWPG approach could, with the FSRFDS, serve as a basis for developing an integrated portfolio of priorities which would, in turn, serve as an entry point for DLS style institutional reform. It is hard to see how DoF can be persuaded of the need for reform in the absence of clear, objectively verifiable, performance targets set in a holistic national policy framework that incorporates PRSP priorities, as well as the Five Year Plan Production targets.

3. ISSUES IN COMMUNITY BASED FISHERIES MANAGEMENT

3.1 Are the benefits from CBFM tangible?

3.1.1 The under-lying assumptions of CBFM are that:

- putting management in the hands of the primary users will improve and secure the benefits derived from the resource
- the benefits will be equitably shared and will reach the poor and other vulnerable groups, notably women and girls

3.1.2 The distribution of benefits depends on the strength and appropriateness of the institutions, attitudes and social capital created under

⁵ Danish Agricultural Advisory Service 2003. The Livestock Sector and Poverty in Bangladesh, draft report.

the project. These social gains on their own offer future benefits for communities in terms of social mobilisation and economic opportunity, irrespective of the impact on the resource base. The approach to assessing the impact of these types of gain is discussed in section 3.5 and section 4.

3.1.3 In the specific CBFM context, the second assumption is largely dependent on success in delivering the former, and large questions remain worldwide on the impact of CBFM on resource availability. Some of the early experience of FFP may not be encouraging, even though the focus is on the stocking and community management of jalmohals. For example, Dasherat Chara was stocked and harvested in 2001 – 2002 yielding 44.3t. The same waterbody in 2002 – 2003 yielded only 36.7t (FFP pers comm.). There are other sites that have also shown a decline from the first to the second cycle of stocking. CBFM-2 has no floodplain stocking, only smaller closed beels, and over time performance appears to average out at higher yields than pre-project stocking (based on CBFM-1). Some factors involved appear to be: residual fish from previous stocking caught in the high yield years, internal conflicts among fishers/committees, and changes in leadership with democratisation that see a short term drop in some skills among leaders). It must be emphasised that FFP stress the difficulty of gaining accurate data from their stocked sites, and there are many possible reasons for any apparent downward trend. It should also be noted that a decrease in production does not automatically mean the end of profitability.

3.1.4 It is still early days for the CBFM 2 fisheries monitoring data, but for some sites (CBFM 1) the project now has a six-year data set, and some preliminary comments are possible. Data from seven river sites covering 1997 to 2002 imply a decrease in CPUE (measured as catch/person/day) between 2001 and 2002 at four sites, more or less status quo at two sites, and an increase at the other site. However, only two sites have a 2002 CPUE less than it was in 1997. It should be noted that the variety of gears involved make this unit of effort of value only where the distribution between gear type, species and person days remains more or less constant (disaggregated data are available). Early conclusions are that effort has increased in recent years, and the project provisional view is that a decrease in exploitation level is indicated.

3.1.5 The potential dangers are illustrated at a river site (Ubdakhali) where where the RMC has never functioned (it is one of the sites that is being dropped right now because the local intermediary leaseholders took over through NFMP and influence with the DC). The project data suggest a decline in both total production and CPUE (flattening of seasonal peaks) between 2001 and 2002. This was particularly dramatic for the CPUE in the peak months (ca October to January).

3.1.6 In Ashurar Beel, the CPUE declined steadily from 1997 to 1999 and markedly from 1999 to 2002 in parallel with a major incremental increase in effort. Total production appears to have remained fairly consistent after a decline from a third year peak of 58t to 48t. A very preliminary estimate of Maximum Sustainable Yield (MSY) at 48t suggests that the beel is operated at

or beyond an unsustainable level of effort. Although this is very much a tentative estimate the signs are that despite having a management committee an 8 ha fish sanctuary since 1997 the beel cannot sustain further effort and a reduction may be prudent.

3.1.7 This very superficial glance at a very large data set serves to illustrate some key points for CBFM:

- where CBOs are formed to address serious resource issues, as in some river sites, it is imperative that there is early demonstration of tangible benefits. This is especially true where fishing effort has not increased and harmful gears have been reduced. Negative, or apparent negative trends, can rapidly destroy confidence
- the same is true of beel sites like Ashurar. CBOs complained to the OPR1 team that they were not seeing the benefits they had hoped for. It is clear that they are right, and the reason is (apparently) equally clear. To manage the water so that it provides a decent living for a CBO means that exclusion will have to be enforced – so who goes?
- the case has often been made that the production of a stocked beel cannot be sustained over an extended time period. The FFP example indicates this, and emphasises that the issue of over-valued leases is a very real threat to CBFM.

3.1.8 These points emphasise the importance of the fisheries research being integrated directly into the social development aspects of the project. At present the two elements are slightly alien to each other, and this is less than optimal. The project has produced a (ca) 2cm thick draft report on trends in fish catches at 10 CBFM sites that have continued from CBFM 1 into CBFM 2. There is much of value in this document, but it is a stand-alone scientific text out of the reach of the project community specialists, with no linking text, and no real attempt to relate the findings to the key strategic objectives and issues of the project.

3.1.9 As an immediate and specific step **it is recommended that when this draft has been reviewed in detail:**

- (a) a short summary of the findings and their significance to CBFM objectives should be produced jointly between technical and social staff.**
- (b) a joint science/social team should be assembled to specifically facilitate community discussion of the issues of over-fishing and reduction of effort in Ashurar beel**

3.1.10 Above all, there must be increased synergy between the different components of the project, and **it is recommended that an overall research plan is developed which more closely integrates the various elements and will provide a framework on which to hang, and assess, the wide range of working papers that are either planned or in production.**

3.1.11 Interpretation of the fisheries catch data is a complex process given the high diversity of gears and species, the variation in effort and site specific hydrological, morphological and biological characteristics. It is to be commended that the project fisheries leader is in regular contact and sharing data with an MRAG specialist in UK who is modelling floodplain characteristics in an integrated NR resource use context. A large quantity of catch data are collected routinely by CBFM 2, but current explanations of major variations in production tend to focus (perhaps correctly) on changes in the level or type of effort. **It is recommended that in the next two years, more attention be paid to monitoring natural and man made (eg jute retting) environmental factors which may complicate interpretation of production trends. The MRAG link should be valuable in this context.**

3.1.12 The FFP fisheries scientist is also wrestling with the issues of relating changes in production to project interventions. It is possible that he may have more severe problems in terms of baseline data than the research-oriented CBFM 2. **It is recommended that CBFM 2 establishes close routine links with the FFP fisheries specialist for mutual support in design and problem solving.** The next OPR should monitor the effectiveness of this suggestion.

3.1.13 The need to demonstrate tangible benefits beyond the fisheries community level was emphasised in OPR 1. **The recommendation that a study be commissioned on macro-economic trade-offs and social implications in CBFM remains a high priority.**

3.1.14 This study has a high priority, and links directly to initiatives under other projects with a strong DFID interest, notably the West African Sustainable Fisheries Livelihoods Project (SFLP) and SIFAR (Support unit for International Fisheries and Aquatic Research).

3.2 Overall progress on institutional arrangements for CBFM 2

3.2.1 The OPR 1 report noted that the project was progressing well in developing the various approaches to formation of primary groups at community level. A total of 3 approaches and 7 models were under development. This situation remains the same, with the addition of a further model applied by a new NGO Shisuk, which operates on the basis of forming Joint Stock Companies to manage water bodies. It should be emphasised that the conclusions of Campbell and Thompson (2002)⁶ are being borne out by CBFM 2 research, in that there can be no fixed formula or model for CBFM. Each situation will require its own specific solution, and research can only provide guidelines as to the overall framework within which site-specific models would operate.

3.2.2 After one year of the project there was inevitably limited progress on the formation of the higher-level institutions which link the CBOs around a water body (clusters), or the apex institutions that will link clusters to deal with over-

⁶ Campbell J and P Thompson, 2002. An overview of community involvement in inland fisheries management in Bangladesh. CBFM 2 Working Paper 1.

arching CBFM issues. This has changed, and at the end of Month 24 each partner NGO, with the exception of BRAC (which did not propose or plan to work in any linked waterbodies), supports at least one cluster of water bodies:

Partner NGO (PNGO)	Clusters
CNRS	Six clusters (50 water bodies)
Proshika	Two clusters
Banchte Shekha	One cluster
Caritas	One cluster
CRED	One cluster

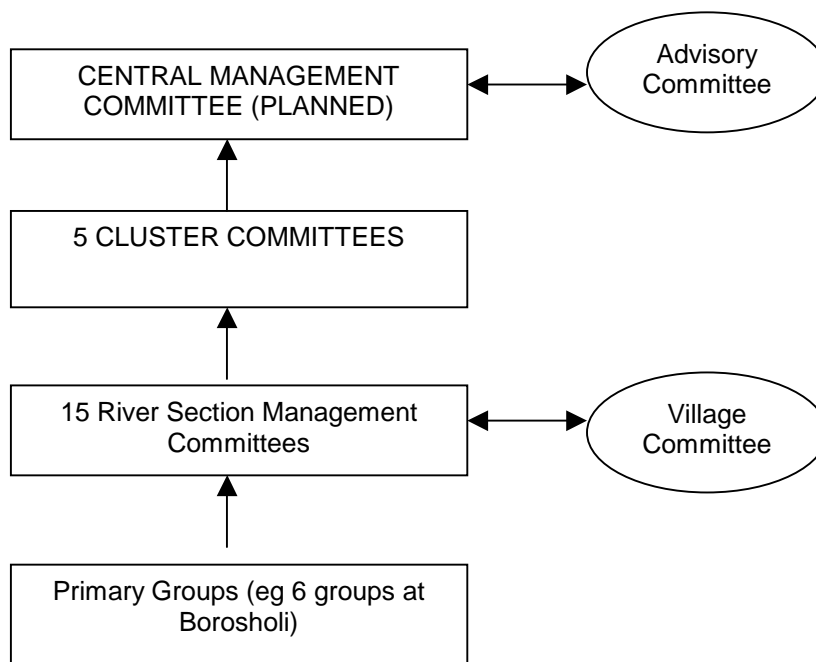
3.2.3 The OPR team reviewed the progress in cluster and apex body formation at three sites : Shuluar-Dhanlar-Kumuria Beels, Goakhola-Hatiara beel cluster, and Fatki River. The key lesson learned from the river sites was that the primary groups and their River Section Management Committees (RSMC) had clear views of the benefits of group formation and also had a clear vision of the role of the cluster groups and the proposed apex bodies.

3.2.4 The Fatki River situation is summarised in Box 1:

BOX 1 Fatki River institutional arrangements

- site: 30 km of river, downstream of which but only indirectly connected are the Shuluar beel cluster
- river is divided into 15 sections of varying size, each section has a River Section Management Committee
- sections < 20 acres have a Village Committee which involves non-fishers in support of RSMC decisions
- the 15 RSMCs are grouped into 5 sub-clusters covering the whole project river stretch
- It is planned to have a single apex body to represent the whole 30km river section
- some groups are all Hindu (eg Chokinogur) and some mixed Hindu/Muslim (Borosholi)
- some sections have women's groups (comment: there were none in March 2003), and there are normally two women on each RSMC
- RSMC (Chokinogur) operates kata for their own expenses and puts cash into an account monitored by the CNRS
-

3.2.5 The general actual and proposed institutional arrangements for the river (CNRS)



3.2.6 The existing cluster system is relatively straightforward for the river sites, and the rationale seems clear for all participants. Catches have been declining, water level and weed congestion are common problems, and it is impossible to improve the lot of one river section in isolation. The cluster groups have already been used to collaboratively solve problems that require all-river solutions:

- removal of water hyacinth
- removal of fixed gears that prevent the migratory movement of fish

3.2.7 There are already plans for the use of the apex body:

- negotiation with the Bangladesh Water Development Board over the operation of the upstream sluice gate, to increase water flow seasonally
- negotiation with adjacent beel lessees over use of fixed gears

3.2.8 The Village Committee function is less clear. These are also new bodies established by CNRS, and the idea is that this group (which may be mainly non-fishers) would support the decisions of the RSMC in the wider community. Why the RSMC should not simply have one or two influential non-fishers was not completely clear. The role of the very new gram sarkar is not yet determined in the minds of the groups interviewed, and no direct connection was proposed. It would, however, seem logical that the village committee function could be devolved to this statutory body once it is up and running (nb at Chokinogur, two of the RSMC members were also on the gram sarkar. However some caution is needed. One senior specialist of Local

Government is of the opinion that the gram sarkar is in fact a potentially divisive institution that will serve to destabilise the Union Parishad.

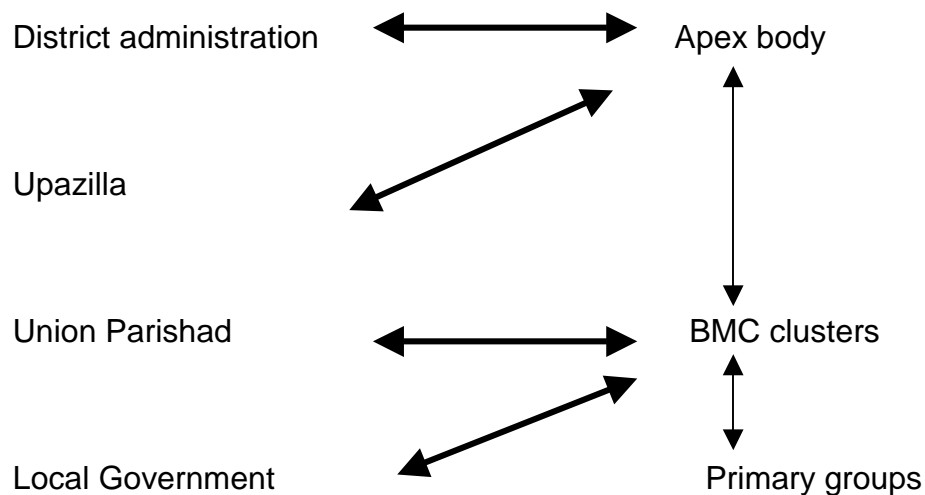
3.2.9 In terms of institutional sustainability, the complexity of the planned CBFM system at some types of site would appear to increase vulnerability. On Fatki River there are five new types of institution (plus a possible advisory committee), each of which will require investment of time by the communities. When asked how this was possible, the group representatives replied that it was not optional – the fishery was in such dire condition that they had to invest whatever time was necessary. However, for the one individual necessary to represent the section all the way from primary group to apex body, the Chokinogur members had already decided that they would select a wealthier fisher who could better afford the time. This is a way of drawing in a form of “elite” to the system, and could be highly positive. On the other hand, it could open the way for domination of the CBFM system by a few wealthier players. Time, and close monitoring will tell. **It is recommended that a review of the roles and impacts of elites in CBFM and other (eg non-fish) projects is carried out for the Mid-Term Assessment.** The study should investigate the under-lying motivations and incentives of elites (e.g. social, political, financial) to assess whether these may be met without complete resource capture.

3.2.10 The proposed study should take account of the paper on elites by Hossain and Moore⁷. The work recently commissioned by DFID (led by Moore of IDS) on political economy may also provide a source of appropriate consultants for the CBFM 2 study.

The role of local administrations

3.2.10 The role of the Upazilla and the Union Parishad is not explicit in the CNRS managed system on Fatki River, although the UP Chair would be expected to provide support in the event of problems that the Committees cannot solve. The proposed Advisory Committee would also involve Upazilla and UP representatives, District officials and some local elites. The system proposed by ERA for Sunamgonj (IFAD component) is specifically targeted at improving relations with government, and they are building links at the various levels:

⁷ Hossain N and Moore M. Elite and poverty in developing countries: are donors missing opportunities to engage constructively? IDS



3.2.11 The actual role of local administrations will depend largely on local circumstances and personalities. In Shakla Beel (Proshika) the UP Chair takes a personal interest in the CBFM process, and stated in private that it was in his interests to do so. Problems with the fishing community were reduced when they had mechanisms for discussing and sharing issues, and the CBOs formed the basis for events such as football matches that promoted social cohesion. This strong lead from the administration had been noted at one site during OPR1 where the UNO had taken a personal interest.

3.2.12 The role of the DoF is another matter. Communities involved in CBFM expect and require the support of the UFO and his staff in solving problems that constrain the success of their CBOs. The case raised as an apex committee issue by Borosholi RSMC illustrates the situation:

BOX 2 Borosholi RSMC problem

- all fixed gears (barriers have been removed from the river permitting free passage of fish (for breeding)
- fish therefore pass from the river, via a khal into a nearby beel
- beel and khal are leased by a cooperative
- the cooperative operates fixed gears during the period of fish migration in both beel and khal
- the RSMC is therefore losing fish passing upstream, and getting no benefit from the downstream return
- the cooperative has so far refused to remove the fixed gears, or to negotiate on sharing of the benefits of conservation by RSMC
- the RSMC feels it is not reaping the benefits of its conservation measures

3.2.13 The RSMC expects that the UFO will take up their case and get the beel lease cancelled. However, it is the DC who makes the decisions on leasing and it will be necessary to have strong representation to influence him. A better process would be to negotiate from a position of local power (ie 15 RSMCs represented by an apex body) to persuade the cooperative towards some form of sharing the benefits of the river based conservation measures.

The UFO should have a strong support role in this process, but it must be recognised that, across Bangladesh, such staff have very limited financial and human resources to serve CBOs.

Registration and legitimacy

3.2.14 One requirement of CBFM 2 is that CBOs should be formally registered, to impart legal status and thus the right to bid for, and receive, grants to support their activities. There are two core options: registration with the Department of Social Welfare or registration as a cooperative (LGRD). In some cases the cooperative option is precluded by the involvement of more than one Upazilla in the area where the CBOs are working (ie the waterbody or cluster spreads across administrative boundaries). In addition, the cooperative route involves conforming to a specific operating framework that may or may not suit the various models of CBFM 2. This might be particularly true of an apex body that will require to operate across a range of administrative boundaries.

3.2.15 Few PNGOs have as yet registered their CBOs (CNRS claim to be close to completion for a few), some cluster committees are functioning, but no higher apex body has yet been formally convened, although CBOs have met to discuss apex establishment (eg Fatki River sites).

3.2.16 Cluster committees are now established across the project sites, and at those visited by the OPR team appear to be regarded as important, needs-driven institutions that add clear value to problem-solving processes. The need for, and value of, apex bodies will vary from site to site, and the institutional lessons arising will be culled from an assessment study by CBFM 2 in Year 3.

3.2.17 It is recommended that the Project should immediately ask PNGOS to record the added value of cluster committees and apex bodies to build a portfolio that demonstrates the value and nature of benefits from these quite complex collaborative processes. A central responsibility for collation and maintenance of these data in an electronic form, should be allocated to an appropriate staff post (communications officer).

3.2.18 There may be generic lessons to be learned in terms of process documentation from the DELIVERI project in Indonesia, and the project team should consult DFIDB for further information.

3.3 Training and credit provision by NGOs

Training

3.3.1 Two sets of training have occurred in the project – training of PNGO and DOF staff (from senior to field tiers), and training of project beneficiaries. These are both discussed here.

At the CBFM-2 Partners Progress Review Meeting in June 2003, two conclusions were drawn:

- Further training is needed for NGO staff on what CBFM is and how to achieve it
- Management Committees (BMC, RMCs, etc) need specific capacity building training

These are both points against which action should be prioritised.

3.3.2 Project staff: The annual report (2001-2002) describes the systematic TNA carried out with partners in early 2002, resulting in a training plan and subsequent progress against the plan. Modest progress was achieved to end 2002, with the major training areas being group formation and staff orientation on CBFM-2. The partner training programme continued in early 2003. The WorldFish Training Co-ordinator finished his contract in April by which time, with some exceptions, the programme was completed. The exceptions were: training by WorldFish on 'technical aspects of fisheries management' and 'participatory methods'; by DOF on CBFM2 orientation for development allies (local government); some of BELA's programme of legal issues in fisheries; and BMC/RMC exchange visits.

3.3.3 Some of the training was contracted out (eg planning for IGAs to BASC), some was given by one NGO to other partners (eg group formation by BRAC), but most was by the partners to their own staff. The most recent figures do not make it clear how many staff received which training, nor what the delivery mechanism was. Nearly all the training was scored as 'good'⁸.

3.3.4 Project beneficiaries: The training provided to beneficiaries can be classified as either: general awareness raising, fisheries and waterbody management, aquaculture, other AIGAs, leadership, or account keeping (for BMCs). BELA has also trained on fisheries laws and FemCom has trained 'folk talents'. Some of this training would seem to be adopted from PNGOs main programmes (eg health & sanitation, and sapling nursery AIGA by Caritas).

3.3.5 Evidence from the field visits does raise some questions about these training programmes – both the topic and the quality. There is a pressing need to build capacity to support groups in forming, sustaining and managing BMCs and RMCs. Members say that the 'leadership' training they have received does not do this. Some NGOs have not yet provided the financial and accounts training needed for the groups to operate their revolving funds – there was little evidence that BMCs have sat down and done the figures for how they will ensure they can raise next year's lease or kua payment. Beneficiary training appears deficient in the credit management, group finances and accounting areas. Training in various areas of managing BMCs is critical if they are to achieve sustainability. **It is recommended that**

⁸ Only the CNRS report shows some self-reflection and separates out no. of training sessions and no. of trainees.

WorldFish commissions a TNA for CBO management resulting in an outline for the required training.

3.3.6 Beneficiary training appears to be very largely traditional, classroom based, chalk-and-talk (pen & flipchart) type training. Delivered to women, who are of low literacy, this is particularly inappropriate. A 3 day classroom based training on pond aquaculture, for example, really misses large training opportunities. There is a need to develop better, experiential, training.

3.3.7 While the PNGOs have selected some 'success criteria' against which to evaluate their training, many of these will have attribution and/or measurement problems. **It is recommended that WorldFish considers engaging someone with responsibility for training oversight and Quality Assurance. This person would also be able to give training advice to the partners.** The post could be staff or consultant⁹.

3.3.8 Any further training delivered by WorldFish, such as the outstanding 'technical aspects of fisheries management' training and the training planned for 2003-2004 should set an example for innovative training approaches. WorldFish should take the lead on the intention stated in the 2001-2002 Annual Report to "give more emphasis to 'on-the-job' training and to provide self-learning materials".

3.3.9 In general, there remains some concern over the relative roles of the DoF and NGOs in training. The DoF itself has a wealth of aquaculture skills, but little expertise in open water management or in community support, and the NGOs have experience in community support and some in aquaculture and open water management. The message seems clear. The roles of DoF and the NGOs must be rationalised, and the necessary competences developed accordingly. It makes little sense for both kinds of institution to do everything. **It is recommended that this aspect be put on the table during the DoF open water management planning committee meetings.**

Credit and grants

3.3.10 Since OPR1, the outstanding issue of the interest rate for the micro-credit component was resolved. In December 2002, MOFL decided that the rate should be capped at 12%, flat rate. The project has also published a Working Paper assessing the PNGOs' Credit Operation Plans (COPs)¹⁰. The analysis of COPs showed that at 12%, the PNGOs' revolving loan funds (RLF) should reach a financially stable state by Year 5. Thus the PNGOs started loan disbursement in January 2003, following MOFL's decision. This was 15 months after project start. Micro-credit 'Year 5' is thus not the same as project year 5. The PNGOs are committed to operate the RLFs for 20 years, 5 on grant support and 15 without. It should be clarified if grant support will now

⁹ For the right person this post could also expand to have oversight of progress against the gender strategy.

¹⁰ Harun-Or-Rashid and Enamul Haque (2002). *An Overview and Analysis of the Micro-Credit Policies, Operation Plans and Financial Projections of the 6 Partner NGOs*. CBFM-2 Working Paper 2, WorldFish Center Dhaka.

extend to 15 months beyond the current project end date (the project grants are currently up to August 2006, when the project is due to end, so grant supported staff would only exist for under 4 years of micro-credit).

3.3.11 Three recommendations from the analysis of COPs are worth highlighting:

- The savings element of the RLF should be flexible to accommodate the lumpy nature of seasonal fisheries based income streams
- Before approval of loans, PNGOs should analyse the financial viability of proposed economic activities
- Each PNGO should have at least one field-based staff member who has adequate financial skills and is capable of making financial analysis and preparing financial statements independently. Training should be provided on micro-credit, especially cost structure analysis, final projections, etc, etc.

3.3.12 All these credit operation recommendations are strongly supported by this review.

3.3.13 Findings from CBFM-1 showed that indicative returns from AIGA loans were very variable. This makes it difficult for the PNGOs to do projections. It is thus important that the PNGOs refine their understanding of what works, and how, and what does not. As loan performance information on AIGAs is collected, it should be shared between the PNGOs, not treated as commercially sensitive.

3.3.14 More than one year's RLF data will be needed to make assessments of the use and impact of the credit component. **It is recommended that WorldFish prioritise an assessment on the use and impact of micro-credit, and undertake it at the earliest opportunity.** This study must make a gendered analysis of impact. It should also assess how credit is used in fishing households in relation to the seasonal dimensions of fishing-based livelihoods, including whether it is being used for consumptive purposes. The assessment of the impact of credit will need to be carefully designed as impact is essentially a result of making credit available and building the capacity (ie training) to make productive and economic use of that credit.

3.3.15 One area of concern in the use of credit is the purchase of fishing gears from the loan. Aside from the paradox of borrowing money to increase effort in a fishery that is meant to be under improved management, there is the question of where repayments come from. If the loan is used for gears, income sources are not diversifying, thus both the loan repayment and the contribution to the lease/kua fee must come from fishing.

3.3.16 Grants were provided initially to pay for jalmahal leases or to rent kua as a fund to be revolved by the community organisation . The objective is that thereafter fishers will accumulate/repay each year into their bank account sufficient funds to pay these themselves. The annual lease payments for jalmahals are due in April each year (Bangla new year). The BMCs need to accumulate the funds to pay the lease value over the 12 months preceding

April. Most BMCs aim to build this fund by reserving the relevant amount from their fish sales, or from selectively fishing their sanctuaries. The nature of the production system therefore dictates that most of the fund will be built up in the main fishing season (October – December), with some opportunity for a second smaller season in waterbodies that can be stocked in the dry season. BMCs questioned did not have a robust financial plan for accumulating the fund. This is further evidence of the need for better quality, and more targeted, training in various areas of managing BMCs. This training will improve the chances that CBOs achieve financial sustainability by year 5.

3.3.17 From the fisheries monitoring studies, the jury is still out about the effect of CBFM on catches. However both environmental and anthropogenic factors cause annual fluctuations in catch. The consequences of not paying the lease in a given year could be severe (eg the lease reverting to a single local powerbroker). During the life of the project, it is understood that WorldFish has some funds in reserve to bail out problem waterbodies. In the longer term, it is hoped that the project's lease ceiling proposal may be enacted. In the meantime, in a number of countries, there are some very innovative micro-insurance instruments being developed for the poor, eg crop insurance triggered by low rainfall, that is available to labours as well as farmers. **Consideration could be given to investigating possibilities of a fishers insurance that would pay the next year's lease in the event of a poor year.**

Partner NGO roles and capacity

3.3.18 NGOs tend to follow one or more of about four models:

- Empowering & social development focused
- Micro-credit oriented
- Broadly economic development of the poor-training and credit (notably AIGAs)
- Special interest focused (eg disabled peoples, or particular resources, such as forests)

3.3.19 The PNGOs' involvement in CBFM-2 is mainly focused on the specifics of demonstrating that community-based fisheries management can work, but they also have the micro-credit and training element that promotes AIGAs.

3.3.20 There seem to be some missed opportunities in the way in which the PNGOs are operating in the project. These may well stem from the structures within these NGOs¹¹. The three most obvious areas in which the project could benefit from greater synergy between departments within (particularly the larger) PNGOs, and the wider NGO arena, are:

- Building on their experience of working with groups to take credit for group activities

¹¹ Huda's policy processes paper states that 'administration is highly departmentalised in Bangladesh'; this equally well applies to some of the NGOs.

- Building on their experience as forces for social mobilisation¹²
Building on their work as advocacy organisation Group credit

3.3.21 There is now evidence from the field that the CBOs are achieving some social cohesion, and acting collectively in managing the fishery. In contrast the micro-credit funds are largely being given as individual loans. This is resulting in these loans being utilised for a narrow set of AIGAs. There is an unrealised potential in giving group loans (where appropriate norms of group function are demonstrated) for larger and more diverse activities and enterprises. Fish processing is one such enterprise. Taking loans for group activities can help producers move up the marketing (value) chain. Caritas and Proshika have plans for group loans, and these should be observed with interest.

Social mobilisation

3.3.22 Most NGOs have social mobilisation objectives in their core programmes. This ethos does not seem to have fully permeated across into their CBFM-2 programme. It is suggested that the PNGOs examine where social mobilisation activities from other areas of their programmes can be used to provide methods and lessons in group formation, group functioning and empowerment. See also comments in section 2.3 on DFID social mobilisation projects.

Advocacy

3.3.23 As noted in the Best/Ferdous communications strategy report, several of the larger project PNGOs (eg BRAC and Proshika) have separate policy advocacy wings. They recommend that these functions should be integrated into the project's overall communication strategy. This recommendation is supported here. It is also worth noting that some of the PNGOs, such as CNRS are already doing this to some extent, such as through their close association with the IUCN Wetlands Network.

3.4 CBFM and gender – women and girls first?

Progress on gender issues

3.4.1 In relation to gender, this OPR was tasked with reviewing:

- “progress towards a better understanding of gender issues within project activities, specifically review and advise on work to develop a project gender strategy, and the model of women-led management of seasonal floodplain through the NGO Banchte Sheka.”
- the revised project logframe from OPR1 to ensure activities and indicators do focus sufficiently on women and girls. (nb no changes made, and no obvious changes required)

¹² The term “empowerment” does not appear to be widely used in Bangladesh – apparently its local connotation is ‘getting power’, and as power is so frequently abused in the contexts in which we are working, it is seen as a bad thing.

3.4.2 These TORs are considered together with the three main gender oriented recommendations in OPR1:

- That DOF reserves one of the yet-to-be-recruited Technical Officer (Social Science) posts for a female candidate, to be tasked with a
- gender oversight role in DOF's participation in CBFM
- That the project's monitoring instruments are reviewed to ensure the necessary separation of gender benefit will be possible in reporting the impact of CBFM on women, so that OVI 1.5 is attainable.
- That the project should produce a gender strategy.

3.4.3 In general the project management has acted on the gender recommendations from OPR1. However, this has been done only lately, and thus substantive progress is only slight. The focus of the new CAP, indicated by its slogan "Women and Girls First" has heightened the awareness of the need to do something. It should be noted here that promoting gender is neither particularly new, nor solely a DFID agenda, the PRSP states: "Empowering the women is crucial both for its intrinsic value as a welfare goal and as instrument for bringing about favourable social and economic change."

3.4.4 Progress on gender issues should be set in the context of a project which is not PIMS marked for gender, and in which the Supergoal relates only to 'poor people', the Goal does not mention people at all, only policies, the Purpose aims to achieve 'pro-poor' outcomes, and women are mentioned in only two places – Output OVI 1.5 and Activity 1.18 – both of which relate to monitoring impact on women. Gender is mentioned in Activity 3.8 – to develop a network on gender in fisheries.

3.4.5 On the surface CBFM-2 was not designed with a strong gender orientation. Its beneficiary groups are 'particularly poor people and fishers'¹³. However the women-managed fishery model and the credit for AIGAs component are designed to benefit women. Given the focus of the CAP and PRS, all the Rural Livelihoods Programme projects will now inevitably pay more attention to this area as they know they will be more closely scrutinised for their gender orientation. It is critical that this is done in a planned way with a clear outcome focus, not a knee-jerk reaction. This should not be the case for CBFM-2 as it has produced a gender strategy that identifies some practical steps forward. Nonetheless, the basis for actions on gender will need to be carefully explained to partners – a telling comment was made during the review: "if the project had started with this [focus on gender] it would not have got off the ground".

Understanding Gender Issues: a Theory of Change for Gender

3.4.6 Fisheries in Bangladesh, particularly open water fisheries, is traditionally a male domain. This is true both in terms of active fishers and in terms of technical professionals in the fisheries sector. The DFID-B Gender Equality Strategy (2000) starts by stating that gender inequality is deeply rooted in

¹³ Annual Report 2001-2002. p.1-2.

Bangladesh, and that traditional norms and behaviours restrict women's access to resources and services, particularly in rural areas, and that women are under-represented in public life. The question is thus how a fisheries management project can improve the situation of women.

3.4.7 A logframe maps out a theory of change – it explains the logic of how one expects to convert inputs to outputs and thence outcomes. At present the logic of how all the gender-focused inputs in the project and its gender strategy will result in benefits for women is not clear. Activities for women are promoted, but the analysis of how these translate into benefits for women is not always complete. The cross-cutting group¹⁴ on gender identified this as a common problem, one in which projects do not distinguish between women's "involvement"¹⁵ and gender equity. The clearest manifestation of this is where PNGOs have ensured that they have women on their BMCs¹⁶. The women are usually in a small minority, and are not able to contribute meaningfully. The reason for them being there is not evident to anyone present, but there is some sense from the PNGOs that 'they must have women on the committee'. The sites in which the project is working range from more progressive to conservative, and are Hindu, Muslim or mixed. The representation of women should respond to the nature of the site and their opportunity to contribute. The project should avoid prescribing the level of women's involvement in BMCs, especially if it is just based on a count (ie a reservation of 2 women on every BMC – easy to monitor, but rather meaningless). This should be made clear to the PNGOs, especially in drafting their gender strategies, in which they should be asked to explain their theory of change for gender.

3.4.8 There is a need, in implementing the gender strategy, to distinguish between involvement in fisheries management and benefits from new approaches to fisheries management.

Beneficiary Groups and Gender in CBFM

3.4.9 CBFM-2 is based on two types of group in its project sites, groups of poor people (women or men) and fisher (male) groups, in addition management committees are formed. PNGOs first establish community groups from target households, and either only these groups are represented in the committees (fisher-led approach based on fisher groups) or leaders of the groups of poor people (men and/or women) and other community representatives form the committees. This occurs within the context of 3 overarching approaches:

- Fisher-led 51sites
- Community-led 37 sites
- Women-led 2 sites

3.4.10 The interrelationship between groups and committees varies across sites and PNGOs, for example: BRAC – all male groups, all male BMCs; Proshika separate male and female groups, token women on BMCs; Banchte

¹⁴ Looking at gender in the concurrent reviews of CBFM-2, FFP and ASIRP.

¹⁵ This is not the same as participation, which is a deeper engagement

¹⁶ The women-managed model is the exception to this.

Sheka – all women groups, but with the exception of Maliate Beel, mixed BMCs, dominated by men. Three of the five Banchte Shekha BMCs with the highest female membership also have all male advisory groups.

3.4.11 The device of ‘advisory groups’ has been used by some women’s BMC to engage male interests in the fishery. These are influential men or kua owners. Even in more empowered communities, such as the Hindu ones where Banchte Shekha work, women find it difficult to confront outsiders trying to enter the fishery or local fishers not complying with closed seasons. They also find it difficult to guard sanctuaries at night and the advisory committee provides these services. This advisory group device seems to be working, and should be observed as a possible way to engage elites in other areas. It is a good example of a move from building bonding social capital (between peers) to building bridging social capital (from less powerful to more powerful groups).

3.4.12 Mixed groups appear not to function well in most areas, and are artificial. Separate male and female groups permit women to build confidence in groups, empowering them to have a voice and engage with men’s group and BMCs.

3.4.13 Credit is available to group members – to offset the impact of closed season, to reduce pressure on the fishery and to benefit women. However reviews done for the gender strategy show that the credit disbursement is not necessarily being linked to project rationale. In Banchte Shekha sites, credit is given only to women, but these are not necessarily wives of fishers. In other sites, all group members are male so loans only go to men, and elsewhere women channel the borrowed funds directly to male family members and thus do not derive benefit from managing their own AIGAs. The credit study should ensure that it properly investigates access to credit, traces the use of credit, and determines its benefits to women. The findings of the credit study should lead to improved rules for credit operation to benefit women.

Gender Strategy

3.4.14 Following recommendations in OPR1, the project has produced a preliminary gender strategy¹⁷. This includes an analysis of how PNGOs are integrating gender concerns into their CBFM programmes, a gender analysis based on PNO interviews and field work in a small sample of PNGO sites, a gender audit, and a strategy with action points. However it is awaiting the PNGOs’ own gender strategies.

3.4.15 The findings from the NGOs assessment, gender analysis and audit do not tell a very positive story. For example: there is no current research on gender issues, the project is collecting only very limited gender disaggregated data, and few of the project partners have given their staff gender awareness training. There are some notable fisheries distortions in the PNGOs’ CBFM programme, e.g.: 95.8% of BRAC’s 3.53 million members are women, but the

¹⁷ Parvin Sultana (Sept. 2003). Gender Strategy for CBFM-2. CBFM-2 Working Paper 5, WorldFish Center, Dhaka.

project annual report shows that none of the project's 1,717 BRAC community group members (not BMC members) is female.

3.4.16 This last point is very relevant, as it is symptomatic of a wider problem observed in the project, that the PNGOs appear to treat CBFM-2 as distinct from their other programmes. This is manifest not only in gender awareness, but also areas such as social mobilisation. The project's funding approach may lead to this due to separate 'project' staff, though there is some permeability, especially in the management of the credit programme.

3.4.17 On the specific recommendation in OPR1 that DOF appoints a female Technical Officer (Social Science), to be tasked with a gender oversight role in DOF's participation in CBFM, DOF now has 5 female staff out of 21 officers and fisheries assistants on the project. It is now evident that these are not at sufficiently senior level to mainstream gender into DOF's community-based projects. **It is now recommended that when the project has appointed its own gender focal point, that contact is made with DOF's WID focal point to agree a programme for mainstreaming gender into this area of its work.**

3.4.18 The positive gender note is that the strategy maps out some practical and achievable time-bound steps to improve the gender orientation of the project, irregardless of the discussion below on the role of women in managing open water fisheries.

3.4.19 The actions from the strategy can be summarised as:

- Issues related to changes in approach – how to integrate gender concerns
- Awareness raising and training (for PNGO staff, CBOs and beneficiaries)
- Issues related to operation of the micro-credit component
- Gender disaggregated record keeping
- Specific research on gender issues

3.4.20 Particular points to highlight from the strategy are:

- Awareness raising should include gender awareness raising for staff and CBOs, as well as raising women's awareness of the CBFM approach (including why groups are being formed and the purpose of the loan credit and grant components). This recommendation is supported.
- The need (discussed elsewhere in this OPR) to make a gendered analysis of the use of project micro-credit. This should explore barriers to obtaining credit, choices and diversity in use of credit, and whether women channel the borrowed funds directly to male members of the household. This study will need to be approached sensitively, and should take a qualitative approach and avoiding a survey.
- The gender strategy states in relation to impact monitoring: "Neither NGOs nor WorldFish Center has any mechanism to monitor gender

related aspects.” This is a very serious concern. The basic unit of analysis for the project is the household; households are categorised into five poverty classes. There is a real need to be able to disaggregate beneficiary impact by gender as well poverty.

3.4.21 The recommendation from OPR1 “that the project’s monitoring instruments are reviewed to ensure the necessary separation of gender benefit will be possible in reporting the impact of CBFM on women, so that OVI 1.5 is attainable” therefore remains valid and is of high priority.

3.4.22 The project needs to demonstrate the level of benefits (and disbenefits) to women from community-based managed open water fisheries compared to when they are traditionally managed. These benefits may derive from women’s direct involvement in the fishery¹⁸, from processing (though rarely marketing) activities, indirectly from greater catches by male fishers in their households, or from AIGAs, and may be social or economic. The gender strategy makes the point that if the fishery resource base declines, women’s work will usually increase to compensate for the lost income and food, yet their bargaining position in fisher households is weak. The project’s monitoring instruments need to capture all these dimensions.

3.4.23 The current instruments – quarterly monitoring and mid-term impact study – do not do this. The project now plans to undertake its mid-term impact studies from February 2004. The mid-term impact survey is constrained as it is a longitudinal survey heavily dependent on the design of the baseline survey, which was itself dependent on survey instruments used in CBFM-1, which was not designed to specifically study gendered impacts. **A separate mid-term gender impact study, which should link to the credit study is now recommended.** This should include quantitative and qualitative elements. It is suggested that contact should be made with DFID-B’s Social Development Team over the design of the study. The use of female field researchers is suggested for this study. Consideration could also be given to a separate comparative study in the Jessore cluster, comparing CNRS and Banche Sheka sites in Hindu, Muslim and mixed communities.

3.4.24 In planning this study lessons should be sought from the CARE Livelihoods Monitoring Project, and the points raised in this report should be made available to the forthcoming Gender Review. **The DFIDB Social Development Team should also be made aware of the study in order that they may provide advice and guidance.**

3.4.25 A further area which deserves particular follow-up is the possibility of gender disaggregating some of the project’s nutrition studies. Some of these have been published¹⁹, but monitoring is continuing. DFID-B’s Gender Equity Strategy reports that malnutrition rates for girls (aged 1-4 years) are higher than for boys. It may be possible to modify the on-going study to assess the human nutritional impacts of CBFM as it relates to women and girls. **In**

¹⁸ Also, though not strictly fisheries, there is increasing number of women harvesting snails in waterbody to sell or use as duck feed. At present there is unregulated access to this common resource, and anecdotal evidence suggests that populations are declining.

¹⁹ Thompson, P., Roos, N., Sultana, P, and Thilsted, S.H. (2002). Changing Significance of Inland Fisheries for Livelihoods and Nutrition in Bangladesh. *J. Crop. Production*, 6 (11/12), 2149-317.

addressing this aspect, a linkage should be made with the on-going DFID Nutrition Scoping Study (led by Dilruba Haider).

3.4.26 Project Activity 3.8 is the development of a network on gender in fisheries. It has been decided that this will be a network of women professionals in fisheries, and a workshop is proposed. Although women in fisheries is not the same as gender in fisheries, this is at least a start. It was suggested to WorldFish that Angela Gomes from Banchte Shekha could be asked to have a role in the workshop and network. DFID-B's Gender Equity Strategy logframe has as an indicator "At least one forum (possibly sectoral) established to promote gender equity concerns". Consideration might be given to whether the proposed network achieves this OVI.

3.4.27 Gender training: PNGOs have lagged in providing their staff with gender awareness training. It will be difficult to improve the gender orientation of the project if DOF and PNGO staff have not been given the appropriate orientation. In addition to general staff training, there is a need for someone in each partner to have specific responsibility for gender, and for gender mainstreaming. **It is therefore recommended that the partners each establish a gender focal point, linking to a new WorldFish focal point.** WorldFish should assign this task to a senior staff member, who could link to a training and credit oversight role. This may need to be a new appointment as it is not obvious which of the current staff could fulfil this role.

Summary:

3.4.28 The project is not well gender oriented at present. With the exception of Banchte Shekha, the partners do not have a convincing approach towards benefiting women. There is a need across the project to think through the logic of why women are being involved in some activities (eg BMCs). There is a need to assess how the credit system is operating to benefit women, and then to make appropriate changes where it is not. There is an overdue need to ensure that the project has the tools to assess CBFM's benefit to women. As an action research project, CBFM-2 has an important role in determining the impacts on women of the community based approach.

3.4.29 The project has produced a Gender Strategy that proposes practical steps to improve the project's gender orientation, this should now be translated into a gender action plan with time-bound steps.

3.5 Exclusion of the poor under CBFM?

3.5.1 It is important to understand if the CBFM approach is excluding the poor. As some reduction of fishing effort is inevitable, if it is the effort of the poor which is reduced, the project will need to determine if this has also impacted on their poverty, or whether they have moved to alternative forms of livelihood.

3.5.2 The planned mid-term impact study, being a longitudinal/panel study may be able to detect changes in fishing activity. The baseline survey has relevant questions. This may be one justification for undertaking a very limited

survey on 2004. Two additional studies are recommended to assess this issue.

3.5.3 First, as discussed Section 4.1, it is suggested that consideration be given to replicating the FFP BIM study in a sample of CBFM-2 waterbodies in 2004.

3.5.4 Second, the mid-term impact study may be able to assess changes in households' fishing pattern, however its poverty categories are quite rigid. The project design disaggregates the poor through its five classes of poverty/wealth. The disaggregators are mainly land and income dependence on fishing; occupation and house type are used in the less poor categories. Poverty is now understood much more widely, for example poverties of empowerment, opportunity and security. To understand exclusion better, it is necessary to understand poverty better. Have some fishers been excluded because they are land poor, or because they are disempowered and lack social or political capital? Therefore, **it is recommended that in order to be able to better interpret the results from impact studies, a participatory poverty assessment (PPA) is carried out in a sample of waterbodies in 2004, along side the other recommended case studies.**

3.6 Alternative income generating activities

3.6.1 One implicit objective of CBFM is to graduate people away from dependence on the resources base since fisheries cannot support infinite entry. In addition, it is not always possible for vulnerable groups such as women to gain direct benefits from fisheries activities where they often have no direct involvement. The PNGOs were therefore encouraged to establish micro-credit groups in CBFM 2 communities, particularly amongst women who may or may not be the wives of CBO members.

3.6.2 Field visits by OPR 1 and OPR 2 yielded the same (very superficial) impression that the PNGOs had gone about this without a great deal of thought for the strategic aspects and likely long-term constraints. The range of AIGAs tends to be limited. Thus of 9 female group members in Chokinogur Mohila Samity who have taken loans for IGA, 7 are involved in fish business (trade and one in aquaculture). This is a rather small step away from resource dependency, although it may, at present, be filling a market niche. Other OPR site visits recorded that some credit is even being used to purchase further fishing gear (section 3.3).

3.6.3 The reality is that micro-credit, particularly individual AIGAs, tends to be used in risk-averse ways. This is understandable, but it means that borrowers choose from a limited basket of options. If too many borrowers invest in the same type of enterprise, such as duck rearing, simple supply-and-demand economics show that returns will decrease. The PNGOs should thus be encouraged to identify more diverse options. An additional idea is the creation of an innovation fund. This could be drawn from the interest element of the RLF, and made available as either grant or subsidized loans to more entrepreneurial borrowers who want to try something different, but cannot afford the risk of not being able to repay if it fails.

3.6.4 Progress on wider alternative livelihood strategies is obviously dependent on the micro-credit / AIGA component of the project and depends to on the training and finance provided. As discussed in Section 3.3, the micro-credit component did not start until January 2003, when the interest rate for the scheme had been set by MOFL. The progress has been credit disbursement and associated training. Based on information from disbursement in 2002 under pre-existing credit programmes, Caritas and Banchte Sheka have given loans for a range of AIGAs, and all the PNGOs have given a range of AIGA training to their groups:

Loans in 2002	AIGA training 2003
Boat, net and fry purchase	
Fishing net	
Fishing material	
Fish drying	
Poultry	Poultry
Livestock	Livestock
Agriculture	Vegetable production
Small business, including tea stall, petty trading, carpentry, and mechanical trades	Entrepreneurship and business planning of enterprises
	Aquaculture & cage culture
	AIG for the poor

3.6.5 The use and management of credit study recommended in Section 3.3 should make an assessment of progress with wider livelihood studies and whether the credit component is being effective in this area. **It is recommended that this is a particular focus of OPR3, when the credit component will have been running for nearly 2 years.**

3.6.6 The problem remains that there is no overall picture of the situation with regard to market demand and longer-term economic viability of these products or of the availability of market integrators to ensure effective distribution and fair pricing. **It is recommended that the project commission a study of the development, effectiveness and future for AIGAs in fisheries communities, taking account of the wider market trends and influences**

3.6.7 This study should focus specifically on the role of the private sector in market development, and should draw from the PRSP emphasis with respect to non-farm rural enterprise development as well as improving agricultural product marketing. The key question is where are the best niches in a national economic development strategy context?

3.6.8 The work on AIGA should take into account work that is being done by the FAO Coastal project in Cox's Bazar and work that has recently been commissioned by FFP (Campbell and Townsley). The study should take a broader view and assess how communities can also access existing social protection measures.

3.7 The post-project sustainability of CBOs and project exit strategy

A strategy for project write-up and exit

3.7.1 In relation to the project's logframe (Output 1), OPR1 queried whether the research outputs (from the intensive M&E) are going to be delivered post-project or in time to guide project process. It was therefore recommended that the project clarify its data analysis delivery point and propose a strategy for project write-up.

3.7.2 This issue has been brought into somewhat sharper focus since several of the DFID RLP projects nearing their end point have recently requested DFID to allow no-cost extensions (eg PETRRA and SUFER). Some of these requests have been justified by the projects on the basis of capturing lessons. There are also issues of spend/under-spend and allowing sub-project initiatives underway to reach a completion point. At the time of writing, these requests are still under negotiation between DFID and the implementing agencies.

3.7.3 Apart from the budgetary implications, it is important for both DFID and the WorldFish Center to consider, sooner rather than later, how they are going to address the project end for CBFM-2. There are at least three areas in which exit needs to be considered:

- Capturing the lessons and a publications overhang
- PNGO exits and CBO sustainability
- New PNGOs

3.7.4 The communications strategy report has identified 41 communications channels. None of these channels are research publications²⁰ such as working papers, conference presentations and peer-reviewed journal papers. This is surprising given the orientation of WorldFish Center as one of the global leaders in scientific fisheries research.

3.7.5 Producing research papers and similar forms of communication is very time-consuming. They also need to be founded on the most robust data possible. Thus, unlike more immediate forms of communication (such as newspaper articles and radio programmes), they are likely to appear towards the end of the project. The evidence from CBFM-1 suggests that it may be several years later by the time the data have been fully assembled, analysed, and published. Of the 31 CBFM-2 Working Papers produced or planned²¹, approximately 7 have been published to date, and of the remainder, 5 are CBFM-1 case studies, and 1 is "CBFM-1 – summary of impacts". The project has produced a number of good conference publications and book chapters,

²⁰ Assuming that "technical reports" are different from research publications.

²¹ Most to be produced before end 2003. Sultana, P. (2003) Output From Different Workshops to Review CBFM-2 Project Progress. WorldFish Center, Dhaka.

and some high quality peer-reviewed papers based on CBFM-1 research are now in publication²².

3.7.6 The majority of the working papers that have been produced are the result of consultancy inputs to the project (eg gender strategy and communications strategy), and are programmed in the logframe (eg Huda's policy processes study). The evidence is that the day-to-day demands of the project does make it quite difficult for the rather small WorldFish TA team to find sufficient time to write up the project's scientific studies.

3.7.7 This, combined with the CBFM-1 publication experience means that there is likely to be a significant research publication "overhang" at the end of the project. This is a classic problem, which DFID's centrally funded research also faces. The best data and the time to reflect on them come at the end of the research. The questions are:

- does DFID value these publications?
- does WorldFish Center value them?
- are they important in achieving the Purpose and Goal?

3.7.8 Hopefully the answers are positive, in which case there is a need for all parties to consider well in advance how to address this issue. **It is recommended that (i) WorldFish Center, Dhaka develops a publication plan for the project, and (ii) WorldFish Center HQ and DFID-B consider how they might treat the overhang.** It would be useful to provide some guidance to the next OPR on this matter. The publications plan could be an expansion of the working papers table in the progress review report. It is recognised that such a table is likely to be more speculative towards the end of the project, and that it is not possible to second-guess all the likely findings that will need to be written up. However the plan will build on existing impact assessment and household and fisheries monitoring plans, and will help to focus attention on the writing load.

PNGO exit strategies and CBO sustainability

3.7.9 Although the project commitment of PNGOs is captured in the MoAs they sign at the beginning of their involvement, this is primarily defined in terms of financial support. There is a more immediate issue which impacts significantly on the sustainability of CBOs. The financial graduation of CBOs inevitably requires a long-term strategy, but the withdrawal of PNGOs from the institutional processes of CBOs should be possible in the shorter term. Once groups are formed and constituted, the processes of debate, decision-making and implementation of decisions through interaction with local administrations and other community stakeholders, must be placed firmly in the hands of the CBO executive committees at an early stage. The NGOs presence in the background as a backstop would, of course, be important in the early stages, but it is essential that such graduation is a clear feature of PNGO exit

²² Eg: Thompson, P.M., Sultana, S, and Islam, N. (2003 *in press*). Lessons from community based management of floodplain fisheries in Bangladesh. *J. Environ. Mgt.*

strategies. One advantage of this approach should be that any skills gaps constraining independent operation would be rapidly identified and rectified.

3.7.10 In the long-term sustainability of the CBOs as executive bodies is perhaps the main project question mark after the ability of CBFM to deliver sustainable increase in benefits from the resource base. The more complex the institutional arrangements and networks created, the more vulnerable the CBOs in the absence of external support. This is self-evident, but not yet tested and CBFM 2 provides the opportunity to assess the truth of this assertion, provided the PNGOs are on board.

The issue of new PNGOs

3.7.11 The project has incorporated three new PNGOs. As it stands they have approximately 3.5 years to achieve what the other PNGOs (most of which already have 6 or more years experience of CBFM approaches), have 5 years to achieve. WorldFish Centre and these PNGOs should produce a plan for how they are going to achieve sustainable CBOs in the time remaining – is there an accelerated approach? Since this seems unlikely from past experience, the plan should detail the extent of PNGO and DOF support following the end of CBFM-2 funding.

4. PROGRESS ON M & E SYSTEMS DEVELOPMENT

4.1 Introduction

4.1.1 OPR1 expressed concern about the volume of data being collected, it highlighted the emphasis on process documentation in the logframe, and recommended a more systematised approach to process documentation, and recommended a reassessment of the stock assessment programme.

4.2 M&E system – design and operation

4.2.1 OPR1 also framed the M&E system in relation to its multiple functions:

- Monitoring progress
- Providing means to verify attainment of OVIs
- Assessing impact
- Providing data for research outputs
- Providing evidence for policy influence

4.2.2 Progress monitoring depends heavily on PNGOs reporting, and doing so accurately. WorldFish has this under control, and PNGOs are well aware the need for this reporting and that WorldFish is monitoring what they are doing.

4.2.3 Means to verify OVIs continues to be a valid concern as the project must be able to demonstrate attainment of its logframe objectives. Detailed comments are made in Table 2, specific points are elaborated below

4.2.4 Process documentation features in a number of places in the logframe as a key means for verifying that OVIs are attained. This was an area of concern in OPR1, as a result, a process documentation consultancy was undertaken in September. This input examined the processes underlying the hard facts of project progress (number of group members, number of BMCs, etc) and ways in which to document these processes. This consultancy has yet to report, but it is evident that the project is addressing this area.

4.2.5 One of the purposes of the process documentation is to identify critical issues for attention and for use as a source of material in the communications strategy. WorldFish is addressing the problem of developing a system to distil these key issues out of the larger mass of process documentation. Some ideas for achieving these might be drawn from the Most Significant Change methodology developed with CCDB in Bangladesh²³. OPR3 should examine the process documentation system in operation, with a particular view on how it links to the communications strategy in practice.

4.2.6 OVI 2.5 requires the project to demonstrate appropriate changes in fishery administration and legal framework recommended based on pilot experience and supporting studies by project month 54. The MOVs include records of policy interactions, policy briefs, write-ups on waterbodies, and records of events. The proposal for a change in lease value is a very good example of this type of recommendation that needs to be recorded in the M&E system. The project should therefore instigate a system for recording, and tracking its engagement with formal policy processes. This could include a record of all circulated documents and their circulation list, and possible tracer studies. The system should also record project interactions in informal policy processes. These are roles for the proposed Communications Officer.

4.2.7 Output 3 OVIs require careful consideration since they demand the use of methodologies that are not a routine feature of fisheries management research. The prime instrument here is attitudinal survey, tailored to fishers, communities, and local and central government officers.

4.2.8 OVIs 3.2 and 3.3 call for changes in attitudes towards fish conservation by project fishers and communities and non-project fishers and communities. Changes in behaviour are also called for among project fishers and communities. Behavioural changes are comparatively easy to measure, and are picked up in monitoring and process documentation in relation to compliance with closed seasons and sanctuaries. Attitudinal survey is more difficult. As an attitudinal baseline has not been explicitly established, the methodology will need to determine change in attitudes, not just present attitudes, from respondents (Some attitudes were covered in the participant communities in the baseline survey – but only of heads of household (ie mostly men, not women. Attitudes for neighbouring communities and for secondary stakeholders/policy stakeholders have not been surveyed/

²³ Davies, R. (1998). An evolutionary approach to facilitating organisational learning: An experiment by the Christian Commission for Development in Bangladesh. In: Mosse, D., Farrington, J., and Rew, A. (1998) *Development as Process: Concepts and Methods for Working with Complexity*. London. Routledge/ODI, pp 68-83; and in *Impact Assessment and Project Appraisal*, 16 (3), pp 243-250.

baselined). It is suggested that this study occurs within the basket of studies for OVI 1.5. This is planned for February 2004, and there is thus an immediate need to start developing and testing this methodology. It is recommended that expert advice is sought in developing the attitudinal survey.

4.2.9 OVIs 3.4 and 3.5 call for changes in awareness by government officers and NGOs respectively. This should be based on a baseline, which needs to be established very soon. For those government officers close to the project, it is doubtful that this is worthwhile, for those further from the project, an awareness benchmarking study should be done before the communications strategy is in operation. Shamsul Huda may be able to provide information collected for his policy processes study that is useful for higher level officers. It is suggested that the MOV should be changed to be broader than 'annual policy maker briefings', and it should encompass District and Upazilla level government officers.

4.2.10 In relation to the purpose, in a recent review of the policy influence of IDRC research²⁴, it was found that: "Evaluation reports have often-severe gaps in information regarding policy influence activities and outcomes and claims of policy influence typically lack corroboration by policymakers and other stakeholders." Given CBFM-2's Purpose, it is important that such a criticism cannot be levelled at the project come the end of project review / project completion report. The project must therefore be assiduous in collating records of its activities that contribute to reaching agreements on a process for policy formulation for pro-poor sustainable fisheries management. It must also follow these up to try to obtain corroboration and verification of the effects of these activities. This may be difficult as the IDRC study found that policy makers are eclectic in their use of information for macro-level decisions, more often using empirical data for smaller, routine, incremental decisions.

4.2.11 Assessing impact. The new DFID CAP is very clear, in relation to the PRS, about the importance of good monitoring: "*Poverty monitoring is key to accountability. Specifically this should include measuring changes in resource allocations, food security, and access and uptake of basic services in key sectors..., and the effectiveness and impact of the delivery of these services at the individual and household level. It will be important to develop and publish a set of sex-disaggregated data on service quality, utilisation and customer satisfaction.*" DFID is looking to CBFM-2 to answer the big questions about the impacts of inland fisheries management on poverty, equity and sustainable resource management. The appropriate assessments must be undertaken to do this.

4.2.12 For a number of reasons expounded below, it is suggested that the proposed mid-term impact study may not be the most effective means by which to assess impact at this stage of the project. There are certainly concerns that a study based on the baseline will answer all the key impact questions, including those about exclusion, credit, gender, sustainability of

²⁴ Adamo, A. (2002). Strategic Evaluation of Policy Influence: What Evaluation Reports Tell Us About Public Policy Influence by IDRC-Supported Research. Evaluation Unit, IDRC. Ottawa, Canada.

impact, etc. However, these points relate specifically to the mid-term study; the final impact assessment based on re-application of the baseline survey is indicated and should provide a wealth of data for use in research outputs and as 'evidence'. The issues raised on research 'overhang' are relevant to this final impact study.

4.2.13 The project does need to demonstrate impact, and this ought not entirely wait until month 54 as per OVI 1.5. There is thus a need to develop a set of appropriate case studies. A number of these are proposed in different sections of this OPR:

- Section 3.1 - macro-economic trade-off study
- Section 3.1 - fisheries benefits
- Section 3.2 - the role of elites in CBOs and resource management
- Section 3.3 - an assessment on the use and impact of micro-credit
- Section 3.4 - a separate mid-term gender impact study, which should link to the credit study
- Section 3.5 - a participatory poverty assessment (and study on exclusion)
- Section 4.2 - Beneficiary Impact Monitoring (BIM)

4.2.14 It is thus recommended that a set of targeted impact assessment case studies are undertaken in early-mid 2004, to be published for OPR3.

4.2.15 Key impact questions include 'have the poor benefited?', 'has anyone lost out or been excluded?' and 'what has been the impact on women?'. In regard to impact on the poor, the recent Fourth Fisheries Project Beneficiary Impact Monitoring (BIM) study²⁵ provides some useful pointers on approach and methodology. To investigate livelihood impacts, the BIM did not use formal surveys based on standard statistical procedures, as it was considered that such an approach would be "in all probability, unable to generate the insights required". The BIM study used methods including key-informant interviews, review of project documentation and group-work with village respondents. It is suggested that CBFM-2 follows a similar approach to the FFP study. It would be worth discussing the methodology with Mark Aeron-Thomas (FFP) and Kazi Toufique (BIDS) as the lessons from such an impact study would be considerably greater if the FFP and CBFM-2 studies were comparable. As part of the set of impact assessment studies, consideration should be given to utilising some of the CBFM-2 contingency for contracting the same team used by FFP to undertake a similar Beneficiary Impact Monitoring study for CBFM-2²⁶.

²⁵ Aeron-Thomas, M. (October 2003) *FFP Beneficiary Impact Monitoring of OWF Component. Synthesis of Key Issues from Sites Covered 2002-3*. DRAFT MS.

²⁶ In considering this recommendation, it should be noted that the methods and findings of the FFP BIM study are currently under discussion with DOF. CBFM-2 might wait until the report has been peer reviewed before taking any action.

4.3 Providing data for research outputs

4.3.1 These data come from the baseline survey, on-going monitoring and specific studies. The baseline survey has now been entered and the process of tabulating the results by waterbody, CBFM approach, poverty class, etc is in progress. A programme of Working Papers publishing these results has been planned – waterbody baseline reports are due in October 2003. Bimonthly household monitoring rounds continue, covering fishing activity, collection and use of other aquatic resources, fish consumption, and income and expenditure for selected representative waterbodies/clusters. WorldFish is coping with the data collection and processing task, though there is a need for additional staff resource in the processing unit.

4.3.2 The issues here are dealt with elsewhere – an exit strategy for publishing the research, the appropriateness of the mid-term impact study, and the feed of research output into the communications strategy.

4.4 Mid-Term Impact Study

4.4.1 The need for a mid-term impact study is indicated in the logframe: OVI 1.5: ‘Changes in social, economic and fishery indicators for all stakeholders including poor and women in all project and control areas assessed by project months 36 (partial) and 54 (full)’.

4.4.2 WorldFish plan to undertake this from February 2004, and predict it will take about 3 months to complete and 4 to 6 months to analyse and write up. Their intention is to have the findings available for OPR3. The plan is to undertake this as a longitudinal study with the same households as the baseline survey, which was conducted in mid-2002 (ie 18 months prior), comparing back against the baseline data. The objective is to demonstrate changes in key indicators attributable to CBFM.

4.4.3 This will be a large piece of work and it needs to be examined carefully

- Which baseline social, economic and fishery indicators are sensitive to change due to a CBFM approach over 18 months?
- Are these changes clearly attributable to the CBFM intervention, and how much noise is there likely to be from environmental factors?
- Is an impact survey going to answer the questions now being asked of the CBFM approach: is the resource being sustainably managed, are the poor being excluded, what is the effect on gender equity, etc?
- What is the purpose of the study?
 - Is it a donor requirement? No – this is not analogous to a World Bank MTR process.
 - Is it going to produce good evidence to feed the communications and policy influencing activities? No, probably not – the timescale for write-up will be long, and there may not be sufficient changes from which to make a good story.

- Is it important for the scientific research? Only possibly – more will be attained from the study in month 54, and other data are produced from the quarterly reporting.

4.4.4 These questions raise doubts about investing significant WorldFish time in a large survey at this point of the project. Many of the key questions are probably better answered through smaller purposive studies and case studies that tell the story better and are less blunt instruments to answer key questions about impact. A very limited survey with only the barest indicators may be all that is necessary as a survey. **It is thus recommended that WorldFish reconsiders the mid-term impact study, with consideration given to undertaking a number of more targeted case studies instead, and that the final impact assessment survey should be moved forward to month 48.**

5. INFLUENCING POLICY – THE COMMUNICATION STRATEGY AND THE STAKEHOLDER MATRIX

5.1 The communications strategy

5.1.1 The project has produced two documents in relation to its communication strategy. The fisheries policy process study that was underway during OPR1 was published in April 2003 (Huda). Following one of the key recommendations from OPR1, the project also commissioned a communications strategy consultancy in September 2003.

5.1.2 OPR1 found that there was a missing link between the PSM requirement for ‘evidence’ to inform and influence policy stakeholders, and the media component of the project. The communications strategy aims fill in the gap. and it does advance the project’s thinking about its communications. Its key step is to alter the starting point from being the particular policy stakeholders to being ‘messages’ that the project wants to communicate to policy stakeholders in the context of key strategic priority areas identified as crucial to achievement of the project Purpose. **The ‘message’ approach to communications is supported, provided it is hung on a framework comprising a limited number of broad policy-focused themes.** Section 5.2 offers an example of this approach.

5.1.3 The only caution is in regard to which messages are selected, and how many are selected. They must be restricted to core strategic themes and the messages themselves must not, through sheer volume and diversity, dissipate the focus on the bigger issues. Careful monitoring of the targeting and exposure of different stakeholders to the messages will also be vital.

5.1.4 The CS report also usefully aggregates policy stakeholders into three groupings: local (people in communities), intermediate (NGOs and District level officers), and national level stakeholders. However the project should clarify and refine these operational groupings – where are Union Parishad chairs placed; there is a need to distinguish between field-based NGO staff and Dhaka-based NGO HQ staff, who might link into NGOs other

programmes, including their advocacy; Upazilla level GO staff are missing, and should be at the intermediate level, but District level GO staff usually rotate through Dhaka, and should be seen as upper tier stakeholders – DCs and ADCs should be included in this category also.

5.1.5 The report recommends that the project appoints a Communications Officer, and this is supported. The project should try to have this person in place for the start of 2004. The indicative TORs given in the CS report for this person are appropriate. Other DFID projects have recently recruited similar staff (PETRRA and RLEP), and their advice could be sought in refining the TORs and identifying suitable individuals.

5.1.6 It is suggested that the major initial tasks for the Communications Officer should include:

- Refining the Communication Matrix to a more limited number of channels for each stakeholder. This is development of the project's communications tactics. It is likely to require interactions with the stakeholders to determine their use of media and information. The project has done some of this already at field level.
- Working with the Team Leader to refine the key messages for the project – an initial set is in CS report First Step Matrix.
- Compile message tables for these messages. This should clearly identify the specific sources for the messages. Where these are missing, this will inform the project team on what topics the production of reports and videos, holding briefings, etc should be focused.
- Develop an M&E system for communications

5.1.7 These points are wrapped up in the CS report recommendation that the project team develops a communication strategy. This should be led by the Communications Officer once in post.

5.18 The CS report addresses the role of FemCom, which is a question from OPR1. It is agreed that FemCom should have a significant role in drafting the communications strategy, and that its materials should be used to also engage at the upper two policy stakeholder tiers. However the development and operationalisation of the communications strategy would be best done by the Communication Officer since only WorldFish have oversight of all the project sources. A gap in the CS report is the role of the Media Advisory Committee. This should be clarified.

5.1.9 The CS report finally identifies the opportunity to better integrate the partner organisations own communications activities in support of the project objectives. Here is however are wider set of project – partner communications issues:

- Partners' internal communications
There is evidence from reports and the field that field staff do not really understand the fundamentals of the CBFM approach. It is necessary that they do, as these staff are important parts of the PSM for influencing the lower tier of the matrix. The partners need to ensure their field receive

proper training and regular communications about the project. The recommended WorldFish training QA officer and the Communications Officer should address these points.

- **Partners' external communications**
PNGOs have sets of relevant activities and expertise (eg Proshika IDPPA policy advocacy unit) that are not linked to the CBFM-2 implementing cells in those PNGOs. The project should consider how to lever this resource to work in favour of the project objectives, to which the partners have signed up.
- **Horizontal communications between partners**
PNGOs have complained that results from the research/M&E are not being feedback to them. This is not entirely true, as they do receive formal reports form WorldFish, although these are not always timely, and there are regular project meetings. Nonetheless there is a perception that the large data collection enterprise is not useful to them as data become sequestered in WorldFish.

5.1.10 It is recommended that each partner appoints a communications focal point to oversee internal and external communications about CBFM, and co-ordinate with the WorldFish communications officer.

5.2 The realities of influencing policy

5.2.1 In judging the practical value of the recent communication strategy and fisheries policy process studies and the incorporated revision of the Project Stakeholder Matrix (PSM), it is necessary to consider what type of policy change is expected from the project. The Goal relates to improved policy (policy impact) and policy processes (policy influence), while the Purpose relates to policy processes only. This is an important distinction as it relates to how the project tries to verify its impact. Policy influence constitutes what IDRC²⁷ refers to as “intermediate influences” – influences on policy-interested stakeholders and policy-making processes rather than the actual development and implementation of new policies (i.e. policy impact).

5.2.2 Box 3 draws on ideas from IDRC and attempts to apply them to the CBFM 2 context. Perhaps the most practical lesson to draw from this is that simply “reaching” the various stakeholders (eg problem sufferers, problem creators and problem solvers) is not sufficient. A window of opportunity will from time to time appear as a result of the interaction of various (often political) forces and this can be exploited, given that a baseline familiarity with key issues has been generated at a range of levels in key government and non-government institutions (the messaging system of the Communications Strategy).

5.2.3 CBFM 2 has been tasked with providing this baseline in the context of its Purpose, and has already responded on the issue of lease valuation. The

²⁷ Adamo IDRC -supported research in the public policy process reference.

rationalist approach has been adopted, and hard facts (the “message”) have been provided to support a clear case – if leases are higher than the value of sustainable production, no resource-constrained community can afford to pay. The under-lying wider theme on which this message is hung is the need to promote coherence between government policies regarding pro-poor development and those governing use of natural resources.

5.2.4 But logic has, as yet, produced no result. The PRSP (section 2.2) has now provided a clear policy justification for pro-poor rationality in lease valuation, and GoB plans are now, in part, being based on the Fisheries Sector Review and Future Development approaches. The ingredients are in the flask, and some heat is being applied – what is needed is a catalyst to provide the energy necessary to push the policy window wide open.

5.2.5 To achieve this, CBFM 2 will need to adopt an innovative approach that combines:

- collection and packaging of hard research based facts for all levels of the PSM
- clear analysis and promotion of tangible social and economic benefits (the macro-economic trade-offs study)
- full utilization of the “champion” approach
- co-operation of institutions focusing on policy entrepreneurship

5.2.6 The requirement of a champion is personal influence and access to levels and diversity of government unavailable to project staff. Depth of understanding of policy processes in Bangladesh and entry points into institutions outside the fisheries sector are essential. Such criteria are arguably hard to meet via an individual, and there is a case for CBFM 2 to also take periodic reality checks on approach and quality of materials via key institutional players such as Centre for Policy Dialogue and Bangladesh Institute for Development Studies. To achieve this, it is perhaps necessary to first define the issues most important to CBFM 2 success, and to clearly understand their wider policy context.

5.2.7 Huda’s report elaborates very clearly that the policy process is far from a linear rational process, but he acknowledges that “an official track armed with rigorous policy analysis and options would be in a much better position to counteract the ‘behind the scene’ manoeuvring by the vested interests.” He describes the official track as:

- i. Identification of the problem
- ii. Assembling of relevant information and data
- iii. Developing different options
- iv. Making economic, financial and administrative analysis
- v. Analysing consequences of not taking any action
- vi. Making suitable recommendations

5.2.8 The project has completed (i), and is in the processes of undertaking (ii) and (iii). Some of (iv) will emerge from the mid-term impact studies and other studies and analyses planned by the project, including some information from

the control sites on (v). However it is important that the analyses in (iv) and (v) consider the all key factors that make impact at policy level – these will not only be fisheries productivity data and poverty data, but should also include macro-economic data on the social costs of not keeping fishers employed in the fishery, the revenue implications and the administrative (institutional – DOF, NGO, etc) implications of the recommendations.

5.2.9 Developing the suggestions of the CS, **it is recommended that the project should, in consultation with other projects, clearly define the wider policy themes emerging as key constraints to CBFM objectives, and identify the sectoral and wider cross-cutting factors which are likely to influence decision making.**

5.2.10 The OPR 1 recommendation regarding appointment of a champion may need rethinking. The paper produced by Dr Huda is extremely useful, but the text itself emphasised the difficulties of expecting one person to be a project champion. **It is recommended that the project try and engage non-fisheries oriented strategic research and development institutions (eg CPD and BIDS) for specific guidance on influencing policy processes in primary theme areas**

5.3 Implications for the Project Purpose

5.3.1 The OPR team have concluded that the expectation that the project can, on its own deliver “ a process for policy formulation for pro-poor sustainable fisheries management agreed and operational” is unrealistic. Other forces are at work - the PRSP has already adopted the principle that community based floodplain fisheries management should be scaled up to all floodplains. The role of CBFM 2 must now be that of a contributor to a far wider approach to policy change. As a research project its primarily value lies in the provision of “perfect” information to promote and influence the (now) existing policy opportunities.

5.3.2 Hanging above all of this, is the biggest question of all – does CBFM work? Without tangible economic as well as social benefits governments will not be persuaded, nor will communities. The urgent need for impact assessment cannot be over-emphasised

BOX 3 Policy processes and ideas for an influencing strategy

Policy process studies have described a number of models of policy formulation that may inform the project's policy process influencing strategy. The two main schools are *rationalist models* in which all actors act rationally with access to perfect information, and *political models* that explain policy change as a function of the diverse actors and/or groups of actors found within the policy making system, and which tend to better illustrate the complexities of the system.

The political models however illustrate that policy processes, as explained by Huda, can tread on some dangerous ground, which needs to be entered with some caution. Under this group, the *agenda-setting model* has some relevance here. The main notion is that "there are three families of processes in government agenda-setting: problems, policies, and politics. People recognize problems, they generate proposals for public policy changes, and they engage in such political activities as election campaigns and pressure group lobbying" (Neilson, 2001). The suggestion is that it is only when these three streams come together at a given point in time that policies change. This occurs when a problem is recognized and is coupled with a solution. This generally happens when a policy entrepreneur champions a particular solution or intervention, and as a result is put on the public agenda. This also needs to combine with an opportunity for initiatives to be adopted – a '*policy window*'. Such windows occur due to changes in the political stream, such as a change in government or a national mood swing. These windows close quickly. The question thus is can the project identify such a policy window. Do the PRSP, the FSRFDS and Three Year Rolling Plan create such an opportunity?

The role of the policy entrepreneur should not be ignored in this process; they are central in linking the streams and moving a subject up on the agenda. However the ideas and proposals to solve the problem need to be in place well in advance of when the window opens.

Neilson summarises this approach as: "it is the timing of different events within the various streams, along with someone who is willing to invest time and energy to champion an idea or a proposal in order for subjects to be placed on the decision agenda. As long as the idea or proposal is technically feasible and coincides with the values of the policy community, the idea may in fact be adopted and policy change will occur."

Relevant ideas from other political policy process models include:

Policy narratives

Although the validity of many policy narratives is questionable, they persist because they simplify complex development processes, and thus like Garrett Hardin's flawed Tragedy of the Commons narrative, are often the basis of policy decisions. Does CBFM-2 have a good story?

Policy transfer

This is a process by which actors borrow policies developed in one setting to develop programmes and policies in another. Bangladesh has the experience of only a handful of fisheries projects to draw on for making CBFM policy; one – FFP – does not instil confidence in the approach. Is there a role for an international agency (eg FAO/WorldFish) to more explicitly bring forward experiences – and policies – from other countries? Is this the role for some well-targeted, high-level, exposure visits?

Policy networks

These have shown to be useful as participants can build alliances, share discourses and construct consensual knowledge from which policy entrepreneurs can work "to shape the terms of debate, networking with members of a policy making community, crafting arguments and 'brokering' their ideas to potential supporters and patrons" (Neilson, *ibid*). Is the IUCN Wetlands Network serving this function? If not, could it be appropriately modified?

Neilson, S. (2001). *IDRC-Supported Research and its Influence on Public Policy. Knowledge Utilization and Public Policy Processes: A Literature Review*. Evaluation Unit, IDRC. Ottawa.

6. NETWORKING AND LINKAGES

6.1 Given the complexity of the policy formulation process and the number of stakeholders involved, it is essential that CBFM 2 continue to interact with the full range of projects and institutions relevant to its objectives. Since the last review the project has had regular meetings with the FFP and MACH projects at the Dhaka level. This has facilitated information sharing, and will be more formalized in the meetings of the jalmohal committee in DoF. The DFID initiative to identify generic cross-cutting lessons from a range of projects should also help.

6.2 The Dhaka networking has tended to remain within the direct fisheries context, with limited wider interaction at the ministry or department level. This may seem unimportant at present, but as strategic issues regarding control of sluice gates, leasing values, enforcement and social mobilization evolve amongst the CBOs, this may have to change. At present these kinds of issues tend to be dealt with on a local basis, but connectivity with policy makers in central government may become an important component of work towards the project Purpose. The continued link with the Dhampara project (BWDB) is an illustration of the value of inter-institutional partnerships in CBFM.

6.3 Substantial progress has been made in networking the CBOs of various projects engaged in CBFM. A series of workshops have been held at which CBOs exchanged experiences and debated future strategies for coordination. The CBOs established their successes, failures and constraints to date and discussed opportunities to improve their effectiveness. Each workshop produced a list of recommendations and decided that a network committee should be established with clear TORs, in order to ensure continued exchange of views and experience. The sustainability and development of the proposed network will be a worthy subject for monitoring.

6.4 At a wider level, IFAD is funding WorldFish to undertake a regional research programme on CBFM linking Bangladesh and Vietnam. The activities in Bangladesh have come under the CBFM 2 umbrella, providing a region-wide vehicle for sharing experience and lessons. This also provides an opportunity to further influence DoF on an evidence basis.

6.5 As pointed out in section 2.3, there are a range of projects under the DFID Participatory Governance objective and linkages should be established where these will bring benefits in terms of lesson sharing and discussion of relevant experiences.

7. PROGRESS AGAINST RECOMMENDATIONS OF OPR 1

7.1 The overall performance against the recommendations is summarised in Table 3.

7.2 In general, the CBFM 2 team has responded extremely well to the suggestions made by the OPR 1. Many of these recommendations related to the need for improved, or specifically focused monitoring, and some of the responses can only be executed as of year three. Specific tasks with respect to studies such as the gender and communications strategies and policy process analysis have been completed towards the end of year two. There has, therefore, been little time to consider the next steps in the processes that have been successfully initiated post-OPR1.

8. SUMMARY OF PROGRESS TOWARDS DELIVERABLES

8.1 Key points on Outputs

8.1.1 The detailed findings of the review process are reported in Annex 4 (DFID OPR Format, page) and issues and recommendations are summarised in Table 1 (page). Only key points are given here. One overview comment, is that OPR 1 was perhaps a baseline review that made a wide range of recommendations impinging upon the whole of the project timeframe and process, not just year two. The response to many of these suggestions is thus on-going, and there is less requirement for baseline recommendations in OPR 2 other than where gaps are still perceived.

Output 1

8.1.2 The score allocated was 1/2 compared with 1 for OPR 1. The slight downward shift in confidence results from the Output requirement that management approaches should not only be developed and tested, but that impact and sustainability should be assessed. The former tasks are well in hand, but the assessment of impact will require a fairly dramatic investment of effort in the later stages of the project.

8.1.3 Nevertheless, progress on this Output is highly satisfactory at month 24, and the project is on course to provide one of the most comprehensive show cases of approaches to CBFM anywhere in the world.

8.1.4 The concerns regarding disaggregation of data to measure impact on vulnerable groups remain, although steps are being taken to address this, including case studies planned for the mid-term assessment.

Output 2

8.1.5 The score allocated was 2, as in OPR 1. The mechanisms for linking community management arrangements within larger systems have yet to be

tested to any major extent, but cluster groups have been formed linking individual management committees. In some cases (eg on Fatki River) these clusters have worked together to solve wider systems issues such as aquatic weed and damaging gears. The OPR 2 team was impressed by the commitment of the management group members, and the sheer practicality of their reasons for asserting that their groups had to survive.

8.1.6 Some of the linkage mechanisms proposed by PNGOs are multi-tiered (up to 5 levels of committee), and the sustainability of such project-driven institutional arrangements requires to be assessed. One spin off from this is the issue of the role of elites. The time involved in serving a three or four tier CBO system means, by definition, that only the richer members can afford to work at the higher committee levels. This may prove to be an appropriate way of gaining the support of influential people, or it may offer a route for the elites to reach back to status quo.

8.1.7 The formation of CBO networks linking CBFM 2 and other project CBOs is regarded as highly positive, but a strategy for early graduation from NGO support to permit within project assessment of sustainability would be highly desirable.

Output 3

8.1.8 The score allocated was 3 as in OPR 1. Although the project has followed the recommendations of OPR 1, the key phase of converting studies into operational plans and delivering results is still some way off, necessitating a conservative score. However, the project staff have undoubtedly taken on board the concerns regarding the need for an inclusive communication strategy, and this, coupled with an apparently improving external environment, leave room for optimism in what is a challenging output. The requirement to inform and influence all fisheries stakeholders was perhaps a little over ambitious.

8.1.9 The OPR 1 recommendation regarding appointment of a champion may need rethinking. The paper produced by Dr Huda was extremely useful, but the text itself emphasised the difficulties of expecting one person to be a project champion. It is may be more appropriate to try and engage non-fisheries oriented strategic research and development institutions (eg CPD and BIDS) for specific guidance on influencing policy processes in primary theme areas.

8.2 Purpose

8.2.1 The score allocated was 3/4 as opposed to X with a tendency to 4 at OPR 1. The previous mission registered concern about the gap between the sum of the Outputs and the Purpose. This was primarily due to:

- the lack of a coherent communication strategy aimed at a well defined Policy Stakeholder Matrix
- the lack of an enabling policy environment

- the expectation that a single project can yield a policy formulation process that is agreed and operational by EOP

8.2.2 The first of these issues is being addressed: a draft communication strategy serves as a starting point, the PSM has been revised, and a policy champion has been identified.

8.2.3 There are signs of an improvement in the policy environment through the PRSP trickling down to fisheries planning documents.

8.2.4 The third point remains an issue, but reflects more on the wording of the Purpose than the performance of the project. The need for project linkages has been emphasised.

8.2.5 The combination of these factors yields an assessment that the project will largely achieve its Purpose, under any reasonable interpretation. However, it is questionable whether the Purpose, as currently defined, is appropriate to the current programmatic approach of DFID B and trends in cross-sectoral approaches to influencing policy processes. **It is, therefore, recommended that the third OPR review the wording of the Purpose in the light of developments both within the sector and within the wider external policy environment.**

8.2.6 The project must continue to make every effort to maintain strategic links both within and outside the sector, and should promote active support for the DoF open water committee, and the cross-cutting IUCN Wetlands forum. The FSRFDS and the PRSP should also be used to lever support of the project's policy objectives.

8.3 The logical framework

8.3.1 The project team has revised the logical framework in the context of the recommendations made by OPR 1. The OPR 2 team is in agreement with these changes, but the status of the revised framework is not clear. **It is recommended that the revised version of the logical framework be used as the working document of the project, but that formal adoption is delayed until OPR 3 has undertaken the proposed revision of the Purpose.**

9. SUMMARY OF RECOMMENDATIONS FOR OPR 2

9.1 The key recommendations are summarised in Table 1 against the logical framework .

9.2 In general the OPR team found that significant progress had been made since OPR 1, and that the project continues to demonstrate its value in understanding the opportunities that CBFM offers to poor and vulnerable people. On present course the project is likely to offer a depth of insight into CBFM which is rare in global terms. The key question remains – does it really work? If this can be answered, then CBFM 2 will have fully justified its funding.

10. WORLDFISH CENTRE STAFFING

10.1 The issue of publication overhang was discussed in section 3.6. A major contributory factor is the amount of time the Project Leader spends on administration. This was noted in OPR 1, and the situation has not changed. It is imperative for the achievement of the Project Purpose that the PL is freed to focus on his primary task, that of directing and contributing to the production of high quality research outputs.

10.2 It is therefore strongly recommended that WorldFish seek a solution to this issue. One option is the identification of a first rate office manager. The PL should be given every support in the identification and recruitment of such a person. Funding should NOT be used as a constraint to securing the right level of recruit.

10.3 The situation is exacerbated by the fact that the other key researcher, Dr Parvin Sultana, is no longer on the project staff. It is the view of the OPR team that Dr Parvin's continued involvement is absolutely essential to the successful delivery of project outputs. **It is therefore recommended that the WorldFish Centre find an immediate solution to securing her continued full time contribution to the project.** The present ad hoc arrangements do not provide the necessary continuity of input, and there is no guarantee of future availability.

10.4 There is generally a need for a stronger role by WorldFish Center in bringing a wider global perspective to the project at a professional level. The Center needs to add value to the project in support of the professional role of the Project Leader.

Table 2. The M&E system and the MOVs

OVI	MOV	Proposed M&E instrument	Notes
1.1 At least three approaches to CBFM developed for use in five different types of water-bodies by project month 12.	Progress report on approaches/models developed	Inception report; project annual report, report on annual partners' workshop, project newsletter	Clear evidence of 3 approaches from these sources. Annual report 2001-2002 produced Sept 03, with partner contributions. A round of multi-tiered local to regional workshops has been held. A national workshop under consideration for 2004.
1.2 Fisher groups representing about 22,000 households in over 100 waterbodies established by project month 18.	Progress reports and process documentation on management bodies	<i>Process documentation:</i> field level activity diaries; also in annual reports.	Numbers reported in progress reports and annual report. Process documentation is being collected by PNGOs, but there are difficulties distilling out the key pieces of information for the project's communications.
1.3 Appropriate management bodies under these approaches established in 50% of project sites by project month 12 and 100% by project month 24.	Progress reports and process documentation on management bodies	<i>Process documentation:</i> BMCs' own minutes, NGO activity calendars; Institutional assessment tool; also in annual report. Not looking for documents showing registration or legal constitution as a samity.	A 'Most Significant Change' approach may provide some guidance. Registration of the CBOs is being pursued.
1.4 Fishers and their management bodies introduce improved fishery and wetland management practices in 50% of project sites by project month 24 and 80% by project month 36.	Waterbody specific management plans and participant monitoring	<i>Process documentation:</i> BMCs' own minutes & waterbody management plans, NGO activity calendars	
1.5 Changes in social, economic and fishery indicators for all stakeholders including poor and women in all project and control areas assessed by project months 36 (partial) and 54 (full).	Consolidated impact monitoring and assessment reports.	Re-survey against baseline survey, household monitoring (consumption, income & expenditure), catch & effort monitoring, special studies (e.g. on impacts on women)	Impact survey from Feb '04. Need to consider the scope of the mid-term impact survey. Focus on only indicators that are likely to be sensitive to change since project start (ie not a full re-use of the baseline survey instrument).
1.6 Institutional sustainability of approaches assessed by project month 54, with follow up post project assessment 2 years after end of project.	Process documentation and case studies. Report on institutional sustainability analysis of CBFM against a set of agreed indicators.	Institutional assessment tool – 3 rounds at 18 months (completed), mid-term and end.	Quantitative tool developed, tested and in use. Needs to be supported with appropriate process documentation on operation of these institutions. Need to link this assessment with findings from the proc doc work. Who will fund and perform the post project institutional assessment?
2.1 Potential link mechanisms designed based on discussions with participants, local government and NGOs by project month 12.	Planning report.	Inception report and 1 st annual report.	Potential link mechanisms in use; described in annual report and regional workshops.
2.2 Institutional assessment of proposed link mechanisms by project month 24	Assessment report.		The institutional assessment format requires modification to include reporting of linkages. At waterbody level to focus on benefit of linkages, at cluster level use a checklist and case studies to focus on functioning.
2.3 Management institutions established to cover at least 6 wider eco-systems/"clusters" (both fishery focus, and whole wetland/floodplain focus) by project month 30.	Institutional monitoring reports and case studies	<i>Process documentation:</i> NGO activity calendars	

OVI	MOV	Proposed M&E instrument	Notes
2.4 MOL and local administrations (union to district) support to enable and legitimise co-management demonstrated by project month 30	Institutional case studies including legal and administration (quicker decisions, fewer cases).	Reports from BELA case studies and other special studies. Also – institutional assessment tool and NGO activity calendars.	BELA case studies being produced / need to be produced. Institutional assessment tool and NGO activity calendars need to be modified to capture information on e.g. MOL and UP/UZ involvement and roles in clustered systems. Project not sure about method to track the Administration's decision. Suggest monitoring the District and Upazilla Jalmahal Committees.
2.5 Appropriate changes in fishery administration and legal framework recommended based on pilot experience and supporting studies by project month 54.	Study reports; annual policy briefings and workshop recommendations.	BELA special studies; records of policy interactions; policy briefs; write-ups on waterbodies; records of events	Need to design a system for recording project interactions in informal policy processes. Also need to track formal processes (eg circulation lists of circulated documents), and possible tracer studies. There are roles for the proposed Communications Officer.
2.6 Potential to scale up improved management approaches to inland fisheries in general assessed and reported on by project month 60.	Report on scope to expand including cost implications and number of appropriate waterbodies for different approaches.	Special studies by WorldFish, e.g. using transaction costs analysis and GIS.	At start has been made; waterbody information is being digitised and there is a MSc study (supported by IFAD project) on transaction cost due to be published shortly.
3.1 Policy formulation study completed by project month 12 and policy stakeholder matrix revised to form baseline.	Study report.	Special study by Shamsul Huda. Due March 2003.	Completed.
3.2 Changes in attitudes and behaviour of participant fishers and rural communities towards fish conservation by project month 36.	Attitude surveys in CBFM sites, audience feedback monitoring	Attitudinal survey to be designed	Due by month 36, and month 48 respectively A baseline against which to measure changes has been established, at least partly for participant communities, but may need supplementing; not done for other communities. If not the methodology deserves consideration as soon as possible, though it may be possible to establish changes without a baseline. Expert inputs on study design?
3.3 Changes in attitudes of other fishers and rural communities towards fish conservation by project month 60.	Attitude surveys and audience feedback monitoring in nearby areas.	Attitudinal survey to be designed	
3.4 Greater awareness of project findings evident within local and senior DoF, Land Administration, and relevant ministries by project month 48.	Feedback in annual policy maker briefings.	New instruments required.	This MOV assumes that the project will undertake annual policy briefings. The MOV should be modified in the light of the Huda policy processes study and a refined communication plan. To measure "greater awareness", there is need to establish an 'awareness baseline'. The later this is left, the slimmer the chance to measure a change by month 48. This benchmarking study should be done as soon as possible. It will need good staff to interact at the higher levels. Information gathered by Huda for his study might provide some baseline material. Appropriate MOVs should also be designed for District and local level government and DOF. Benchmarking is also needed here., UZ and UP tiers of government.
3.5 Greater awareness of NGOs including non-	Meetings of NGO network,	Need to plan how to monitor the demand for	The network referred to is the IUCN Wetlands Network

OVI	MOV	Proposed M&E instrument	Notes
project NGOs of project findings and improved fishery management issues by project month 48.	demand for reports and media products.	reports and media. A task for the Communications Officer.	Also need to consider targeting small, non-network NGOs. Consideration should be given to assessing more fundamental changes in NGOs as a result of awareness, e.g. changes in their sector goals. Policy alignment studies on NGOs plans and reports, and outcome mapping ²⁸ could be used for this.

²⁸ Earl *et al* (2001). Outcome mapping. IDRC, Ottawa.

TABLE 3 a PROGRESS ON RECOMMENDATIONS FROM OPR 1 (OPR 1 Table 4)

	Recommendations of first OPR	Action taken over months 13-24
Output 1	<ol style="list-style-type: none"> 1. Impact assessment of fisher-led vs. community-led CBFM approaches on vulnerable groups (hard core poor) 2. Review M&E systems to ensure that it will be possible to disaggregate impacts on women participants and non –participants in CBFM approaches 3. Routine informal meetings between core projects (MACH, CBFM2, FFP, DANIDA); routine exchange of reports; agree a common approach to at least one M&E indicator? 4. Join with other projects to develop a coherent case to help DoF to influence government on leasing for transferred water bodies 5. Clarify data analysis delivery point and propose strategy for project write-up 6. A meeting between FFP, GEF and CBFM 2 to debate what is absolutely necessary/feasible and what may be covered by these other projects; promote capacity building in DoF and NGOs to a key objective of this work (biological survey) 7. Ensure the NGOs themselves have these skills and monitor delivery of specific capacity building and include as a specific activity in the log frame 8. Study of the seasonal uses made of micro-credit by different stakeholders 	<ol style="list-style-type: none"> 1. Action to be taken in year 3 2. Baseline and hh surveys partly cover this, but gender strategy identified need for further targeted surveys of women - team will do other surveys and studies as needed – watching brief 3. Several meetings (3 or 4) have been held. The common indicator idea has not been discussed as yet (common BIMs an option?) 4. Case has been made to MoL on leasing, and CBFM 2 is attempting to continue influence through mutli-project DoF jalmohal committee 5. Publications overhang issue not yet resolved 6. Consultation held, and caution was advised. A reduced length-frequency study was carried out at 5 sites, but catch survey continues 7. Training of NGOs undertaken in a range of relevant areas, but recognised that more is needed, as is a QA role for WorldFish 8. Will assess in year 3, too few data now
Output 2	<ol style="list-style-type: none"> 1. Amend assumptions column of log frame; ensure sufficient emphasis is put on OVI 2.3 (recommended to become an Activity) 2. Define the pathways for ensuring legitimacy of apex bodies in the context of managing and regulating clustered water bodies 	<ol style="list-style-type: none"> 1. OVIs added to ensure these issues are addressed. Institutional assessment of link mechanisms study by month 36. New assumption added to revised logframe. 2. To be addressed under the institutional assessment
Output 3	<ol style="list-style-type: none"> 1. Revise the stakeholder matrix, identify key entry points and design a “joined up” strategy from village to PM’s office 2. Identify and appoint an appropriate “champion” with the personal credibility to access and influence decision makers on the basis of 	<ol style="list-style-type: none"> 1. A rapid communication strategy has been completed, and this utilised a revised stakeholder matrix put forward by the policy process consultant (see 2) 2. Dr Shamsul Huda was commissioned to prepare a paper on fisheries

	<p>project information. Integrate this within an overall communication strategy</p> <ol style="list-style-type: none"> Set up benchmarking interviews with key informants on CBFM & fisheries management, for year 2 and then reassess in year 5 Carry out policy alignment studies on NGOs and key parts of GoB; assess the Fisheries Sector Review as a source of data for the planned policy formulation study; revise TORs as appropriate; add appropriate MOVs to the log frame 	<p>policy formulation.</p> <ol style="list-style-type: none"> Attitudinal survey planned by month 48 and added as an OVI to draft revised logframe WorldFish to review annual reports of PNGOs over last 6-7 years, and then monitor annual reports over the rest of the project period (only a few NGO annual reports collected but give little insight on policy alignment). Draft logframe revision includes new MOVs
Others	<ol style="list-style-type: none"> Request PD DoF to address (staffing issues) as a priority DoF should be asked to provide a full time Project Director Review the role & capacity of WorldFish office management support 	<ol style="list-style-type: none"> Full DoF staff complement in place Full time Project Director in place No apparent change
Purpose	<ol style="list-style-type: none"> Development of the integrated communications and lobbying strategy advocated under Output 3. Appointment of a local champion. Commission a case study on macro-economic tradeoffs and social implications; add an assumption to the logframe Add an assumption with respect to the policy environment 	<ol style="list-style-type: none"> Draft strategy prepared. Potential champion contacted and drawn in via a consultancy commission To be commissioned in 2004, but a case has already been made for reducing lease values and has gone to MOL via MOFL Assumption added at Output 1, but not at Purpose level

TABLE 3 b ACTION AGAINST OTHER OPR RECOMMENDATIONS (OPR 1 Table 5)

RECOMMENDATION	ACTION
3.6 Logframe to be reviewed and amended as necessary	Revised logframe included in Annual Report covering all major issues raised in OPR 1
4.5 Preparation of a National Strategy for CBFM	Agreed as part of the pro-poor policy formulation process scheduled for the 4 th year
5.2 PPA studies to be carried out during the mid-term impact studies	Agreed, will pilot in late 2003 and execute in 2004
5.3 Specific assessment of the threat of exclusion from access	Agreed, special study in 2003/2004
6.1 Reserve a DoF post for a female candidate with gender oversight brief	5 women recruited, but none senior enough for gender oversight role
6.2 Preparation of a gender strategy	Draft strategy prepared. Needs action plan & alignment with DFID overarching strategy
8.2 A more systemised approach to collection, collation and cataloguing of process documentation	Agreed, activity calendars completed for 2002, and a revised format developed in 2003 for quarterly implementation monitoring of each waterbody. Institutional assessment formats developed. Idea for NGOs to record "significant" events. Had process documentation consultancy

ANNEX 1 ITINERARY

DATE	EVENT
4/10/03	Arrive Dhaka
5/10	Briefing with DFID and reading review documents
6/10	WorldFish Centre discussion of progress with senior staff Cluster Group meeting; Team Leaders meeting
7/10	To BrahmanBaria – visit to Shakla Beek and Titas Ka communities
8/10	Partner NGOs and WorldFish briefing workshop, Comilla
9/10	Regional workshop – NGOs and DoF, Comilla; return Dhaka
10/10	Visit to Jessore region, communities:(a) Fatki River, Chokinagar and Boroshila (Blake/Peris/Viswanathan of WorldFish, Penang(b) Goakala-Hatiara complex (Barr,Parvin) Return to Dhaka
11/10	Write up and team meetings
12/10	Cross cutting cluster meetings; preparation of base documents for cluster forum and OPR
13/10	DoF visit: Mike Akester, DANIDA Richard Gillett FFP Christophe Magnet, FFP Min of Ag: Jorgen Hansen, DANIDA WorldFish: Dr Shamsul Huda BADS: DR Anwar Hussein
14/10	Planning Commission: Dr Muhammed Sarwar, Deputy Chief Fisheries (telephone discussion) Professor Salahudin Ahmed, University of Dhaka (telephone discussion) WorldFish Centre: Team Leader, Parvin Sultana and Mustafa Golam
15/10	Preparation of presentations for report back session, report writing
16/10	Report back meeting, DFID, PNGOS, DoF and WorldFish# Cross cutting Forum meetings and preparation of agenda/topics
17/10	Report writing and Team Leader meeting
18/10	Report writing and cross-cutting meeting DoF meeting: Mababur Raman Khan, Project Director and other DoF project staff DG Fisheries Meeting FFP (K Thompson, R Gillett
19/10	Preparation of presentations and background notes for cross- cutting Forum
20/10	Cross cutting Forum; wrap up with Team Leader CBFM 2
21/10	Write up of Forum outcomes and depart Dhaka

ANNEX 2 PEOPLE CONTACTED

Anwara Begum Shelly, Director, Caritas Fisheries Programme
M Anisul Islam – Project Coordinator, CNRS
Shakil Ahmed Khan – BELA
Abul Kalem Azad – Project Coordinator CRED
M G Mustafa – Fisheries Coordinator, WORLDFISH
Muzaffar Ahmed – NGO Coordinator, WORLDFISH
Parvin Sultana – Project Scientist, WORLDFISH
Paul Thompson – Project Leader, WORLDFISH
Rownah Alam – Coordinator, FemCom
A K M Firoz Khan – Research Associate, WORLDFISH
Md Alamgir – Programme Coordinator, Caritas
Sabuj K Chowdhury – PC Proshika
Tarun Kumar Musafy – PC Banchte Sheka
Md Anwaruzzman – Project Coordinator, BRAC
Martin Leach – DFID-Bangladesh Senior Rural Livelihoods Adviser
Jorgen Hansen – Senior Sector Adviser, PPSU – MOFL
Michael Akester – Senior Adviser, FPSU-DOF; Danida
Arne Andreasson – Team Leader, Fourth Fisheries Project
Richard Gillett – Institutional Adviser, Fourth Fisheries Project
Mamabur Raman Khan Project Director – CBFM-2, DOF
Dr M.G. Mustafa – Fisheries Co-ordinator, WORLDFISH
Rafiqul Islam – PCD Fourth Fisheries
Md Muzzafar Ahmed – NGO Co-ordinator, WORLDFISH
Saleha Begum – Community Management Specialist, Fourth Fisheries Project
Christophe Magnet – Fisheries Management Specialist, Fourth Fisheries Project
Anwaruzzaman – Co-ordinator, CBFM-2; BRAC
Tim Robertson – DFID-Bangladesh
Duncan King - DFID-Bangladesh
K. Kuperan Viswananthan – WORLDFISH, Malaysia
Md Abdur Rahman – Senior Programme Co-ordinator, Proshika
Nargis Akter – Project Co-ordinator, FemCom
Anwar Hossain - BADS

Field trips - Team 1

Proshika local staff
The River Section Management Committee – Titas Ka
The Beel Management Committee - Shakla Beel

Second Field trips

Team1

Banchte Shekar local staff and BMCs at Goakala-Hatiara and Shuluar Beel

Team 2

CNRS local staff
River Section Management Committees – Chokinagur and Boroshila

ANNEX 3 TERMS OF REFERENCE (based on Team Leader version)

The Consultant has been contracted as Team Leader for this OPR of CBFM-2, and technically, will lead on institutional reform and organisational development matters in the review.

As Team Leader, the consultant will be responsible for:

Outputs

- Ensuring delivery of the Review TORs
- Ensuring other team members produce the necessary outputs during the course of the review to contribute to the draft report
- Leading the wrap-up meeting with the Client and project
- Ensuring that a draft report is completed and submitted to the client before the team departs, including standard DFID OPR tables
- Ensuring a final report is produced in a timely fashion

Inputs

- Allocating roles and responsibilities to other team members
- Agreeing with Team Leader RLEP and other review Team Leaders how the cross-cutting consultants will be best utilised to achieve the review TORs
- Fully interacting with cross-cutting consultants to ensure they are able to review their areas of specialism within the project under review, and that they fully contribute to this review
- As and when necessary, co-ordinating with the rest of the team after the submission of the draft report to respond to the Client's comments and thus deliver the final report

Management

- At the earliest opportunity, agreeing a programme for the review with the Team Leader of the project under review
- Interacting with the Team Leader RLEP (Alan Brooks) and the RLEP Logistics Officer (Mina) to ensure that the logistical arrangements for the review team are in place and that the team has access to the necessary resources to complete the review efficiently

Learning

- After submission of the draft report, fully interacting with the Team Leaders of the other projects in the Cluster to produce a short report and a presentation at the 'feedback meta-workshop' on the common lessons emerging from this Cluster of projects. The three team leaders should elect a team Leader for the purposes of this 'Cluster' task.

Capacity Building

- Assessing the capacity of the local consultants on the review, and as necessary during the course of the review providing appropriate support, advice and capacity building to these consultants in order to improve their ability to contribute to this, and any future reviews. Such support may be provided in technical areas, evaluation methods or generic skills such as report writing.
- Providing feeding to the Team Leader RLEP on capacity building needs and approaches for local consultants working under RLEP.

TERMS OF REFERENCE FOR THE REVIEW

Output To Purpose Review

(Second Review)

1. Project Title

Community-Based Fisheries Management Project-Phase 2 (2001 to 2006)

2. Background

Bangladesh's four million hectares of inland water supports rich and complex fisheries which provide an income for some 1.5 million full time and 11 million part time fishers, and are directly exploited by about 80% of rural households who catch fish for food. Fish are the main source of animal protein in Bangladesh. There is considerable evidence that increasing resource competition is leading to unsustainable utilisation, declining catches and increasing conflict. Existing institutional arrangements for inland fisheries do not promote sustainable exploitation or equitable access by poor fishers.

There is growing evidence from studies worldwide that community-based fisheries management (CBFM) can empower communities to enforce responsible management practices that can lead to sustainable harvests and fair access. The community-based fisheries management pilot project²⁹ has developed several models of Government-NGO-fisher management partnerships within the Bangladesh context. A partnership of DoF and NGOs, with overall support and co-ordination from WorldFish Center, initiated user-community participation in management of 19 rivers and beels by establishing waterbody management committees which either represent only fishers holding rights to a fishery, or all stakeholders in a common resource. These committees have improved local level decision-making, achieved greater compliance with the fishery management rules they adopt, and in some locations have started to make fisheries more sustainable and more productive by establishing local fish sanctuaries or enhancing fish stocks. The approach has linked this with NGO supported training and credit.

This project will continue and expand on the activities started by CBFM-1 in terms of both number and variety of wetlands and fisheries. This is necessary to test CBFM approaches in the range of fisheries and wetlands found in Bangladesh and to develop a sufficient body of evidence that can support arguments for those approaches found to be successful. The project will expand previous knowledge within Bangladesh and beyond, initiate and develop innovative co-management arrangements in a range of diverse habitats, assess the potential for sustainability and equity, understand the policy processes which operate within the sector, and (by engaging in wide-ranging partnerships) inform and influence policy and practice based on demonstrated and well documented effectiveness of improved management options at the

²⁹ The first phase of Community Based Fisheries Management (CBFM-1) was funded by the Ford Foundation and implemented in Bangladesh during 1995-1999 through the Government, non-government organisations and WorldFish Center.

local level, and on pilot work and assessments of how these arrangements could be scaled **up**.

The sustainability of models already developed is not yet demonstrated. However, there is a growing consensus that co-management (CBFM supported by government) offers the best chance of ensuring more sustainable fishing levels and long term access for the rural poor to capture fishery resources, given limited government resources and competing demands to exploit fisheries.

This is a five-year project supported by Department for International Development and being implemented by WorldFish Center through a partnership between DoF, WorldFish Center, and 8 NGOs. The over-arching aim of the project is to influence GoB policy³⁰ and practice by determining the longer-term benefits of community and co-management arrangements in diverse fisheries in terms of sustained production and in terms of poverty alleviation. The project also has a specific output addressing issues of policy advocacy and the purpose of the project is to generate a policy dialogue and agree a process for policy formulation for pro-poor sustainable fisheries management. This supports the goal to 'sustainably improve the livelihoods of poor people dependent on aquatic resources through the adoption of improved inland fisheries management policy and policy process resulting in more sustainable, equitable and participatory management of these resources'.

The last OPR was from 29th September to 15th October 2002 where it was stated in the report summary that, "The review team found the project to be worthwhile in the context of its objectives and to be progressing well after one year."

3. Overall objectives

The overall objective of the consultancy is to assess:

- progress towards the achievement of the project Goal and Purpose as set out in project logical framework. It will also review the progress against Outputs, consider the validity of these Outputs as currently specified, the need for any modifications and that the assumptions (and risks) are still valid using DFID's Office Instructions as a guideline (OI Vol II: G 1);
- the validity of the existing approaches and strategies being used to contribute to poverty alleviation and in informing and influencing policy for the benefit of the poor and develop recommendations to enable the project to more effectively achieve this.

³⁰ The GoB has just produced a National Strategy for Poverty Reduction and Economic Growth (Interim-Poverty Reduction Strategy Paper). Although the project will be informing/influencing sectoral policies (National Fishery Policy) the team should ensure that these are aligned with the, and support, the I-PRSP

4. Methodology

The consultancy is seen as working very closely with the WorldFish Center project leader and staff. The consultancy will offer guidance and advise on strategy, focus on the lesson learning that has taken place, and prepare a framework establishing a clear timebound process (through achieving key milestones) of following-up on key issues that has the agreement of the key stakeholders to take this forward. This framework will be the basis for future monitoring and assessing progress against the milestones that were agreed during the mission.

The OPR Mission will receive an initial briefing from WorldFish Center/DFID/RLEP and other stakeholders with regard to the TORs for this mission to ensure a common understanding and perspective. WorldFish Center will be responsible for the operational aspects of the review and the itinerary will be finalised on arrival in Bangladesh.

The team will undertake meetings and field visits as required to undertake their TORs and meet with project partners (including DoF/MoFL), project beneficiaries and other key stakeholders. The team members will, in addition to conducting the review, participate fully in writing the draft report.

The team will be composed of two expatriate international consultants and one local consultant working closely with a cross-cutting team responsible for this project and two other DFID funded projects in the cluster, namely FFP and ASIRP³¹.

The consultant team leader will be expected to collaborate with team leaders from other simultaneous reviews under the new 'cluster' arrangement to present key generic lessons learnt across the three projects in a 'Feedback Meta-Workshop.

The members of the Mission team are listed below:

Core Consultants

1. Barry Blake (Team Leader) - Institutional development and organisational reform
2. Julian Barr - Community based fisheries management, research approach (link with FFP)
3. Clement Peris (National consultant) - Social development, co-management approaches, NGO-GO partnerships (link with FFP)

Cross-cutting consultants

1. Tajkera Khair (National consultant) - Social development, poverty and gender assessment

³¹ Agricultural Support for Innovation and Reform Project, Department of Agriculture Extension and Fourth Fisheries Project, Department of Fisheries.

Cross-cutting relationships

- i) Showkat Ali Ferdousi is core consultant for FFP and with cross-cutting responsibility for organisational change and reform (see matrix in Annex 1).
- ii) Tajkera Khair will work closely with gender consultants participating in a separate gender thematic review.

Additional DoF/MoFL, IFAD, WorldFish Center and DFIDB staff will attend key meetings and may join the review team for some or all of the fieldwork.

These additional DFID team members include:

- Martin Leach, DFIDB Senior Rural Livelihoods Advisor
- Tim Robertson, DFIDB Natural Resources & Environment Adviser (livelihoods, natural resources and environment).
- Duncan King, DFIDB Rural Livelihoods Programme Adviser (livelihoods, natural resources)
- Amita Dey, DFIDB Social Development Adviser (poverty, equity and gender issues)
- Najir Ahmed Khan, Programme Support Officer

5. Scope of work

Specifically, the team will assess progress against the outputs as well as the progress towards achieving the purpose and goal. The team will review progress against the specific recommendations of the last OPR and will also review key project documentation (see briefing material), work with other members of the review team, WorldFish Center, DoF/MoFL, national consultants and liaise with other key agencies, in particular officials from other line Ministries and Departments (Land, Water, Local Government).

The team should also be aware of, and take into account, the outputs from the Fisheries Future Review that is currently being undertaken specifically with regard to options for community-based and open-water fisheries in Bangladesh and work being undertaken through other Donors (Dutch, DANIDA, USAID, IFAD) NGOs and DoF (particularly FFP). Similarly, the team should consider how the project may reorient itself within the existing framework towards contributing to the achievement of the DFID CAP and GoB PRSP.

This, along with the tasks below, will contribute to the OPR report, in a format to be decided by the Team Leader, covering the issues indicated in this TOR.

- Assess the progress of the project towards developing an understanding of improved institutional models incorporating a sustainable livelihoods approach that focus on the participation, ownership and needs of fisheries but address issues of wider representation and participation by the poorest people in managing the natural resource base and, the potential for ensuring that there is a positive link between community-based fisheries management approaches and sustainable/equitable increases in benefits;

- A key issue is the leasing and lease fee arrangements and the regulation governing the management and administration of waterbodies that are unlikely to be sustainable and not pro-poor and, potentially, will lessen the effectiveness of the project;
- Assess potential links between wider issues and concerns for the fisheries sector raised by the recent fisheries sector review and the project;
- Assess progress towards the capacity-building activity in developing a community-based fisheries management approach, comment on whether the approach needs to be reformed and how this affects the ability of the smaller NGOs to address the complex social issues surrounding community-based fisheries management and role of the project in managing this process;
- Any community-based fisheries management system will potentially exclude people from the fishery. Therefore, the project will, eventually, have to face this issue of identifying alternative options for people excluded from fishing. Therefore, the review should assess the scope of the project in addressing wider livelihood strategies of fishers, measures that would be required to achieve this the need to understand alternative strategies (for example: social protection);
- Review the progress made towards implementing M&E systems, the development of qualitative and quantitative methodologies and indicators and being able to provide good evidence-based information in order to inform/influence policy and to monitor the involvement of the poor;
- Comment on the outcomes from and follow up uses of the policy formulation/process study;
- Review the progress and directions for communications activities under the project;
- Review progress towards a better understanding of gender issues within the project activities, specifically review and advise on work to develop a project gender strategy, and the model of women-led management of seasonal floodplains through the NGO (Banchte Sheka);
- Review the provisions for training and credit being made by the NGOs for additional skills and income sources, and their appropriateness and fit with fishery management actions such as closed seasons that affect fisher income flows;
- Review the plans of the project as a whole and of partners for ensuring sustainability of CBOs established through the project and any exit strategies developed, bearing in mind appropriate time frames for developing viable and functioning organisations;
- Specifically, comment on progress of establishing a framework for creating linkages with other line agencies (particularly water and land) centrally and at the district level and measures to inform and to influence the wider policy debate on resource management and community-based fisheries management issues through the use of evidence-based research; and, more broadly, assess progress towards establishing a more systematic approach to sharing lessons, information exchange networking and policy advocacy support through the project with other development agencies in

Bangladesh that can support a co-ordinated and basis for influencing policy and, scope for strengthening links more regionally³² and globally³³;

- Comment on how the project is orientating itself towards supporting the DFID CAP “*Women and Girls First*”. DFID Bangladesh Country Assistance Plan 2003 – 2006” and identify areas within the capacity of the project framework where greater focus may be applied to supporting achievement of CAP objectives.

6. Expected Outcomes and Deliverables

Before departure the team will present their findings to a meeting of key stakeholders, project staff and DFID Advisers. The chairperson, venue, date and time to be confirmed and organised by WorldFish Center/DoF. This will present an opportunity to discuss the findings, incorporate feedback into the report and reach agreement on key issues. Additionally, there will also be an opportunity for sharing of lessons and experiences with development agencies in Bangladesh and highlighting the key lessons learnt and best practices that could be used as guiding principles for any future interventions that will be arranged and organised by WorldFish Center in consultation with other key stakeholders.

The team must complete the DFID OPR standard tables and agree progress scores during the review that will detail project progress at Output to Purpose level. A draft copy of the report, prepared in MS Word, and will be left with the Rural Livelihoods Programme Adviser before departure for comment and a final copy sent to DFID within 14 days of completion of the review.

The Team Leader will work with Team Leaders from reviews of FFP and ASIRP to pull together common trends, highlight generic issues, contrast and compare approaches and provide composite key findings from three simultaneous reviews. This will be presented to a wider audience coordinated by RLEP through a ‘Feedback Meta-workshop’

7. Competencies and Expertise Required

Consultants will be appointed with the following competencies.

- Good understanding of the fisheries sector and development issues in Bangladesh;
- Strong social and institutional development skills and knowledge of governance issues in Bangladesh
- Experience of working with government agencies in Bangladesh
- Experience of DFID’s policy and commitment to poverty reduction;

³² For example, through WorldFish Center (as part of the CGIAR system), Mekong River Commission and IUCN Asia Regional Wetlands & Water Resources Programme

³³ The SIFAR Scoping Study on Research & Policy Options intends to improve links between research and policy in the fisheries sector with the initial attention on co-management systems.

- Understanding of change management and organisational, institutional process in development agencies;
- Understanding of gender, equity, poverty issues in Bangladesh
- Good understanding and familiarity of using the sustainable livelihoods approach.
- Excellent report drafting, communication skills and team working will be required

8. Conduct of Work

The consultants will facilitate the process of the review and the preparation of the report. They will be based at the WorldFish Center and RLEP/BETS Office³⁴ who will provide logistical support and facilitation to the review.

The Review and RLEP Team Leaders will be responsible for allocating responsibility and coordinating different aspects of the review in liaison with CBFM-2 project team and DFID advisers.

9. Inputs and timing

The core part of the in-country review will take place between the 4th October and 16th October, 2003 (5th October is public holiday). The Team Leaders from the three projects being reviewed simultaneously will remain to present common and composite key findings through a 'Feedback Meta-workshop' planned for the 19th October.

The total input for the core teams will consist of 15 days, broken down into:

- 2 days preparation (reading briefing materials before arrival in Bangladesh)
- 12 days in-country
- 1 day final report writing

10. Briefing Information

- Government of Bangladesh Technical Assistance Project Proforma: (January 2001)
- CBFM-2 Appraisal Mission Report March 31 – 19 April 2000 by Jock Campbell & Abul Kashem.
- DFIDB Project Memorandum for the Community Based Fisheries Management Project (Summary, Technical Annex, Social Appraisal and Stakeholder Analysis) May 2000.
- "*Women and Girls First*". DFID Bangladesh Country Assistance Plan 2003 – 2006
- Poverty Reduction Strategy Plan (PRSP), Govt. of Bangladesh.
- CBFM-2 Inception Report. April 2002.
- CBFM Analytical Papers 1998-99

³⁴ BETS Gulshan address: House No. 10, Road No. 135, Gulshan-1, Dhaka-1212, Bangladesh. Telephone: (88-02) 9861531-2. RLEP Team Leader, Alan Brooks. Ext. 128. Mob. 018-225366.

- DFIDB Programme Poverty Review (Summary Paper; Annotated Bibliography) June 2000
- DFIDB Gender Strategy. March 2000
- CBFM-2 OPR-1 report
- CBFM-2 annual report 2002
- CBFM-2 working papers/consultancy reports.

ANNEX 4

DFID PROJECT PROGRESS REPORT - Annex D

Monitoring ID :

Type of Report: OUTPUT TO PURPOSE REVIEW

For quarterly monitoring, complete Part A and C; for annual review complete Parts A, B and C

PART A.

Country:	Bangladesh	Project:	Community-Based Fisheries Management – Phase II
Project Officer	Duncan King	Start Date:	1/9/01
Date of Visit:	4 th – 16 th October 2003	End Date:	30/9/06
Date of Report:	18 October 2003	MIS Code:	139 – 504 – CE - 001
		Risk Category:	

Project Budget	Spend in period under review	Cumulative spend	Forecast for current financial year
£ 5.2 million (DFID £ 0.3m)	£648,859 (Oct '02 – Jun '03)	£1,386,910 (Sep 01 – Jun '03)	£1.13m

Goal Statement	OVI
Improved inland fisheries management policy and policy process adopted by the GoB and NGOs resulting in more sustainable, equitable and participatory management of resources.	<ul style="list-style-type: none">• Policy document reflecting the findings of the research approved by government and operational by the end of the project.• Revised policy instruments for the implementation of the new policy in place within a year of project end.• All new projects concerned with inland fisheries resource management approved after the project end reflect the findings of the research.• More community wetland and fishery management organisations, and NGOs

	<p>adopting findings of the project and active in supporting such organisations.</p> <ul style="list-style-type: none"> GoB and NGOs collaborate in other projects adopting improved strategies and institutional arrangements.
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Purpose Statement	OVIs
<p>A process for policy formulation for pro-poor sustainable fisheries management agreed and operational.</p>	<ul style="list-style-type: none"> Agreement on a more transparent policy formulation process. Significant changes in the policy stakeholder matrix to be more participatory and pro-poor. Before the project end wide sharing of evidence, strong links and policy dialogue among and between: <ul style="list-style-type: none"> DOF projects, particularly with FFP Other agencies, departments, ministries and donors and their projects NGOs Community based organisations (especially those focused on fisheries and wetlands)

Outputs /OVIs	Progress		Comments
	Planned (period under review)	Actual (including comments if required)	Planned for next period
<p>1. Community based fisheries management approaches developed and tested, and their impacts, sustainability and potential for expansion assessed.</p> <p>SCORE: 1</p>		<p>Testing of CBFM approaches developed earlier is well underway.</p> <p>The project partners and communities have recently reviewed progress. Initial exit strategies have been identified by partners and are being revised.</p> <p>NGO support in one phase 1 site has been phased out and lessons about impact and sustainability of these approaches from phase 1 have been generated.</p>	<p>Approaches are the types of process used to establish community-based management. They encompass both the process of establishing CBFM, the type of support given by the NGO, and the nature of the CBO formed for undertaking the management. Approaches are distinguished from models. The view that there is almost infinite variety of models, reflecting combinations of natural and social environment is still valid. WorldFish has used the term model to</p>

Outputs /OVIs	Progress		Comments																																			
	Planned (period under review)	Actual (including comments if required)																																				
		It is important that the project is able to distinguish between the impacts of Phase I and Phase II	describe the nature of CBO established for CBFM, the limited number of models described in the Annual Report will need to be reviewed in the light of actual CBOs that are evolving.																																			
1.1 At least five approaches to CBFM developed for use in 3 different types of waterbodies by project month 12.	Modified to reflect 3 principal approaches. These are fisher-managed, community-managed and women-managed fisheries. It was planned that each of the five NGOs would develop (i.e. conceptualise and articulate) a different model by month 12.	Three approaches documented in the Inception Report have been adopted, progress (corrected from Annual report) as follows: No of waterbodies by CBFM approach <table border="1"> <thead> <tr> <th></th> <th>Fisher</th> <th>Comm</th> <th>Women</th> <th>All</th> </tr> </thead> <tbody> <tr> <td>River</td> <td>14</td> <td>11</td> <td>0</td> <td>25</td> </tr> <tr> <td>Open beel</td> <td>18</td> <td>2</td> <td>0</td> <td>20</td> </tr> <tr> <td>Small beel</td> <td>6</td> <td>8</td> <td>0</td> <td>14</td> </tr> <tr> <td>Flood-plain</td> <td>1</td> <td>16</td> <td>2</td> <td>19</td> </tr> <tr> <td>Closed beel</td> <td>12</td> <td>0</td> <td>0</td> <td>12</td> </tr> <tr> <td>Total</td> <td>51</td> <td>37</td> <td>2</td> <td>90</td> </tr> </tbody> </table>		Fisher	Comm	Women	All	River	14	11	0	25	Open beel	18	2	0	20	Small beel	6	8	0	14	Flood-plain	1	16	2	19	Closed beel	12	0	0	12	Total	51	37	2	90	The main focus for this on-going work is now to ensure that the benefits derived by the various approaches are monitored effectively to enable impact assessment.
	Fisher	Comm	Women	All																																		
River	14	11	0	25																																		
Open beel	18	2	0	20																																		
Small beel	6	8	0	14																																		
Flood-plain	1	16	2	19																																		
Closed beel	12	0	0	12																																		
Total	51	37	2	90																																		
1.2 Fisher groups representing about 30,000 households in over 65 waterbodies established by project month 18.	It was anticipated that the household target for this OVI would be complete by month 24. Target household numbers were revised to 22,000 in last OPR	The project is working in 115 + 7 waterbodies. 109,940 households present, 18,136 are poor and fish for income. Group members in PM 24: BS 1,188 (all f), BRAC 2,182 (all m), Caritas 3,024 (79% m), CNRS 1,466 (89% m), CRED 455 (all m), Proshika 3,099 (84% m), SDC 333 (53%	The project should be more concerned with the quality of engagement with the target beneficiaries and appropriate poverty targeting, than with quantity per se. The community-managed fishery																																			

Outputs /OVIs	Progress		Comments
	Planned (period under review)	Actual (including comments if required)	
1.3 Appropriate management bodies under these approaches established in 50% of project sites by project month 12 and 100% by project month 24.	100% of waterbodies have established CBOs for waterbody management.	<p>m); total 11,747.</p> <p>Census indicates some fall in number of target fisher households. But waterbody number increased over original estimate (some have dropped from last OPR). Groups established in almost all waterbodies, some more to be formed, but some NGOs in some sites are not taking group approach but rather village committees, so number of groups likely to be lower than revised target.</p> <p>The 115 waterbodies represent 10 substantial clusters of waterbodies and 38 individual ones.</p> <p>In 104 out of 115 sites/waterbodies management committees have been formed.</p>	<p>approach may result in a larger beneficiary group in those sites.</p> <p>Attention should be paid to not becoming over-stretched as a result of working in more than the original target number of waterbodies.</p> <p>Establishment of CBOs is about on track (and already there are 39 more than was originally anticipated). Some of the sites without CBOs are problematic due to legal cases or being leased out locally and are expected to be dropped shortly. 3 new NGOs joined the project in June 2003 and are due to form CBOs.</p>
1.4 Fishers and their management bodies introduce improved fishery and wetland management practices in 50% of project sites by project month 24	50% of project sites have some improved fishery/wetland management practices being followed.	<p>Fisheries management actions have been initiated by CBOs in about 50% sites by PM 24, e.g. closed season: BS 6, BRAC 10, Caritas 9, CNRS 34, CRED 1, Proshika 5 sites (total 65 sites); sanctuaries in 48 sites; stocking in about 14 sites; habitat</p>	<p>There is no standard format for management plans, so MOVs will include PAPDs, management committee minutes and record books and NGO field activity calendars.</p>

Outputs /OVIs	Progress		Comments
	Planned (period under review)	Actual (including comments if required)	
<p>and 80% by project month 36.</p> <p>1.5 Changes in social, economic and fishery indicators for all stakeholders including poor and women in all project and control areas assessed by project months 24 and 54.</p>	<p>The last OPR recommended that to see change in these indicators, a full 2 year gap should be allowed between baseline and re-survey for impact. Given the intensity of the baseline survey, it is recommended that this OVI be re-planned to provide for a limited re-survey in month 36 and a full impact survey in month 54 (mid Year 5). If possible, the month 36 survey should inform the MTR.</p>	<p>restoration and reintroduction of rare fish in a few sites; gear restrictions (partially complied with) in many sites..</p> <p>Baseline household surveys were completed on schedule in Oct 2002. No mid-term impact survey was planned for year 2. Household monitoring in sample sites and catch and effort monitoring in most sites continued through the year.</p>	<p>A limited mid-term impact survey at household level is proposed in early 2004 so that analysis can be done during 2004. In most cases the NGOs will have been active for 2 years by then.</p> <p>Several working papers – case studies from baseline and impact surveys and analysis of fish catch and effort data are due to be completed in the early part of project year 3.</p> <p>Gender strategy has identified need for more targeted studies on impacts on women, for example of micro-credit and fishery management.</p> <p>The OVI as stated requires that the design of the monitoring programme includes the ability to disaggregate the indicators according to both gender and poverty. The project must ensure that the data it collects can be suitably disaggregated to demonstrate impacts on poverty and gender.</p> <p>The fisheries catch effort surveys remain appropriate, but more effort is need to</p>

Outputs /OVIs	Progress		Comments
	Planned (period under review)	Actual (including comments if required)	
1.6 Institutional sustainability of approaches assessed by project month 54, with follow up post project assessment 2 years after end of project.	<p>Revise the institutional assessment format from the inception report in consultation with partners. To pilot and then undertake a first round survey for all CBOs/waterbodies. To modify the tool to cover also higher level institutions for clusters of waterbodies.</p> <p>Undertake process documentation of CBOs. To explore group's own criteria for success and sustainability.</p>	<p>Institutional assessment tool was revised and expanded based on testing and partner inputs. First round survey completed. Cluster organisations/ committees have now been formed but too early to make assessments.</p> <p>Process documentation training held, and information is being collected through diaries but system still to be finalised.</p> <p>Consultations were held in six representative sites (most from the first phase as the CBOs were better established) to discuss CBO's own criteria for success and sustainability.</p>	<p>link the fisheries and social research, and to link fisheries and environmental factors</p> <p>Analysis of institutional assessments needed.</p> <p>Development of assessment tool for cluster organisations and first round survey should be within project year 3.</p>
2. Co-ordination and administration mechanisms for linking local community management arrangements within larger fishery and wetland systems identified, tested and assessed, and constraints to this identified.			<p>The process of identifying and testing mechanisms remains an achievable target.. Assessment of impact and sustainability will be challenging within the project time frame, and will require priority focus.</p>
SCORE: 2			

Outputs /OVIs	Progress		Comments
	Planned (period under review)	Actual (including comments if required)	
<p>2.1 Potential link mechanisms designed based on discussions with participants, local government and NGOs by project month 12.</p> <p><i>Proposed new OVI Institutional analysis of the roles and responsibilities and distribution of costs and benefits between the different tiers of linked institutions completed by month 18.</i></p> <p>2.2 Management institutions established to cover at least 6 wider eco-systems (both fishery focus, and whole wetland/floodplain focus) by project month 24.</p>	<p>Design and review feasibility of cluster management bodies (apex tiers of CBOs). Initiate meetings between CBOs in cluster sites.</p> <p>The OVI indicates that link mechanisms will be designed by month 12, however the OVI is lacking quantification of how many mechanisms, vis-à-vis the number of approaches and models of CBO organisation.</p> <p>Establishment of cluster groups is well under way, and the structures for linking wider systems should be identified</p>	<p>All the NGOs working in cluster sites identified structures for linking the CBOs. This was led by NGOs and has been thought out in terms of how to link with DOF and local government through advisory committees and meetings with UFOs for example.</p> <p>The benefits of coordination and cluster committees are already apparent to the members of CBOs that are in clusters.</p> <p>Most 1st tier institutions formed, and a variety of different hierarchies have been proposed by PNGOs. No apex groups have been formed yet, but CBOs are in active debate with PNGOs.</p>	<p>The extent to which higher level committees can provide a conflict management function should be examined (OVI 2.3).</p> <p>Given the gaps in understanding the functions of the various higher level committees in federated groups, the proposed intermediate OVI before OVI 2.2, should be adopted together with associated activities.</p> <p>The project has 10 substantial clusters of waterbodies in which this type of institution could be formed. Establishing management institutions covering wider eco-systems in 6 of these 10 clusters is a reasonable aim. However given the addition of a new precursor OVI, the date of attaining this OVI should be changed to month 30.</p>

Outputs /OVIs	Progress		Comments
	Planned (period under review)	Actual (including comments if required)	
<p>2.3 Mechanisms to improve co-ordination and conflict resolution between organisations and among fishery stakeholders developed and tested by project month 36.</p> <p>2.4 MOL and local administration (union to district) support to enable and legitimise co-management demonstrated by project month 24.</p>	<p>Xxx No progress expected in year 1.</p>	<p>MOL have handed over leases on 58 jalmahals to DOF for a 10 year period to date, but a number of jalmahals leases are still on court cases and other diputes. UP Chairmen and members sit on some waterbody management committees.</p>	<p>The MOV for this OVI is similar to OVI 1.6, but at higher tiers of the institutional hierarchy. There is an urgent need for process documentation since some cooperative activities at the higher levels have already taken place</p> <p>This OVI should be moved to the Activity level, contributing to OVI 2.2.</p> <p>The activity should make reference to findings from DFID's Conflict in Tropical Fisheries research project.</p> <p>This OVI should be changed to month 36 to give a logical chronological sequence of Output OVIs.</p> <p>The MOV indicates that support would be evidenced through case studies on the actions of local courts and administration. However, it is unclear what is inferred by 'enabling' and 'legitimising'. There is no provision in Bangladesh law for local bye-laws. Nor is it clear what the role of traditional authorities such as the samaj and salish are in these enabling and legitimation processes. This OVI should be rephrased for clarity.</p>

Outputs /OVIs	Progress		Comments
	Planned (period under review)	Actual (including comments if required)	
2.5 Appropriate changes in fishery administration and legal framework recommended based on pilot experience and supporting studies by project month 54.	No progress expected in year 2.	None.	This OVI links to the policy objectives of Output 3. Its MOVs and the targets of the communications in the MOV should be consistent with the PSM and the proposed communications strategy.
2.6 Potential to scale up improved management approaches to nation assessed and reported on by project month 50.	No progress expected in year 2.	None.	The chronology of this OVI is not logical. A typo is assumed – it should be attained by month 60. This OVI will depend on case studies and lessons from other CBFM initiatives such as FFP and MACH before they close, and thus also ties to Activity 3.5 amongst others. This OVI should be kept under review as the prospect of a national openwater fisheries management plan evolves under DOF.
3. To inform and influence all fisheries policy stakeholders of improved management approaches. SCORE: 3			There is a large jump between this output and the project purpose. The operationalisation of the communications strategy is essential to support the effective use of the field research results delivered under Outputs 1 & 2
3.1 Policy formulation study completed by project month 12 and policy stakeholder	The policy formulation study was delayed and rescheduled for year 2.	An initial communications strategy as well as updated policy stakeholder matrix have been prepared. An issue-based approach	The communications strategy, informed by the policy process study, should be converted into an action plan based on

Outputs /OVIs	Progress		Comments
	Planned (period under review)	Actual (including comments if required)	Planned for next period
<p>matrix revised to form baseline.</p> <p>Proposed new OVI <i>Strategic target institutions and individuals identified at all levels in the stakeholder matrix and an appropriate promotional strategy for each target prepared by month21</i></p> <p><i>Proposed revision to new OVI</i> <i>Key policy- related themes identified and an action plan for development and targeting of supporting messages in place by month 30</i></p>		<p>is proposed that would target key stakeholders rather than a strategy for each target stakeholder</p>	<p>carefully selected policy-related themes and a messaging strategy for the various tiers of the PSM. This process should be clearly aligned with, and informed by, the Fisheries Sector Review outcomes.</p> <p>The new OVI proposed in OPR 1 should be adapted accordingly</p>
<p>3.2 Changes in attitudes and behaviour of participant fishers and rural communities towards fish conservation by project</p>	<p>NGO activities would continue to change attitudes in wider community in project sites.</p>	<p>In addition to NGO and CBO activities, 15 folk theatre groups were trained and over 70 shows held, which has raised wider awareness and helped generate support and compliance for actions such as gear</p>	<p>It will be important to disaggregate the performance of Phase I and II. Attitudes could be accessed as part of OVI 1.5, but the task of discrete audience feedback monitoring may prove</p>

Outputs /OVIs	Progress		Comments
	Planned (period under review)	Actual (including comments if required)	
month 36.		restrictions.	formidable. For target communities rule setting and compliance may offer an indicator
3.3 Changes in attitudes and behaviour of other fishers and rural communities towards fish conservation by project month 60.	No progress expected in year 2.	Anecdotally there are already changes in attitude and behaviour in some areas where CBOs have persuaded outsiders to comply with their conservation rules. This is a daunting task and it may prove difficult to assess change in behaviour of non-participants	It is suggested that this OVI be reconsidered, and that the task be restricted to attitude survey. It is also suggested that OVIs 3.2 and 3.3 be addressed in close association with OVI 1.5, and that the due date be revised from month 60 to month 48
3.4 Greater awareness of project findings evident within local and senior DoF, Land Administration, and relevant ministries by project month 48.	Continue raising awareness locally through field activities, develop strategy for reaching macro level stakeholders.	Wider awareness of the project process has been generated at the local government, Upazila and District levels. There is some enhanced awareness in senior levels of DoF. A communication strategy is partly developed but needs to then be implemented.	“Greater awareness” assumes that there is already some knowledge of project findings. It is not clear for which institutions this might be true. It is therefore a high priority to develop the strategy for reaching macro level stakeholders, and to identify targets for policy briefing
3.5 Greater awareness of NGOs including non-project NGOs of project findings and improved fishery management issues by project month 48.	Progress will, to an extent, be dependent on the development of an effective communications strategy	The project activities in networking CBOs from different projects, and the Regional CBFM 2 workshops have all contributed to increasing awareness	Awareness raising through partners with other NGOs including findings in CBFM-2

General progress assessment - Project Purpose	3
Justification	
For a research project dependent on data collection and data analysis 24 months is a short period in which to assess impact. The process of the project is good, the impact can only, at this stage, be estimated. Early signs are positive.	
General progress assessment - Project Outputs	2 - (1.5 +2+3)
Justification	
Clear progress has been made in all three outputs; Output 3 now requires to put strategies and studies into action for a 2 next year	

PART B.

Purpose /OVIs	Progress	Comments
<p>A process for policy formulation for pro-poor sustainable fisheries management agreed and operational.</p> <p>Agreement on a more transparent policy formulation process.</p> <p>Significant changes in the policy stakeholder matrix to be more participatory and pro-poor.</p> <p>Before the project end wide sharing of evidence, strong links and policy dialogue among and between:</p> <ul style="list-style-type: none"> • DOF projects, particularly with FFP • Other agencies, departments, ministries and donors and their projects • NGOs <p>Community based organisations (especially those focused on fisheries and wetlands)</p>	<p>Through DOF project-generated proposals for exempting waterbody leases from VAT and for a ceiling on lease rates per ha for handed over waterbodies were taken up by MOFL with MOL.</p> <p>Informal links and dialogue with other projects (FFP, MACH, etc).</p> <p>Initiated CBO networking through workshops in 4 regions where all CBFM-2 and many non-CBFM CBOs came together (about 180 committees/CBOs were represented in total) to share experience and highlight future issues. In each case the CBOs have formed ad hoc convening committees to further their networking with a view to sharing experience, strengthening their own activities, and influencing higher authorities.</p>	<p>The experience of the Fourth Fisheries Project suggests that there may be considerable resistance to policy change in some areas of government. This is backed by the findings of the Fisheries Sector Review that clearly identify the absence of a coherent policy process as a major constraint to change.</p> <p>The project is, therefore, seeking a more transparent process where perhaps no process exists. The purpose may accordingly be either easier or more difficult to achieve – time will tell.</p> <p>What is clear is that CBFM-2 is unlikely to achieve the intended policy formulation process alone, and the assistance of the donors , via the Sector Review process and other projects, will be essential. However, the current institutional arrangements in DoF militate against inter-project cooperation.</p> <p>The Purpose as worded does not reflect DFID’s programmatic approach to development in Bangladesh and requires revision at OPR 3</p>

Attribution

The need to pay some attention to Output MoVs, especially for Output 3, is discussed in the text. Attribution for the Purpose is going to be difficult. Now that the communications strategy and policy processes study are available the next step is identify the key themes and messages, and to undertake attitudinal surveys of mid to upper policy stakeholders to determine their current views for comparison

at end of project.

Purpose to Goal

Signs of change in the external policy environment provide some cause for optimism at this early stage

DOES LOGFRAME REQUIRE REVISION?

The Purpose should be reviewed at the next OPR, and the revised logframe (including OPR 1 changes to OVIs and activities) should be formally adopted by DFID and the GoB

DO PIMS MARKERS REQUIRE REVISION [Mandatory for projects approved prior to 1.8.98]

No

Quality of Scoring

The OPR team is the largely same as that for OPR 1, and this continuity provides a measure of confidence in the scoring. The team has been bolstered by one local consultant, and this adds an improved field dimension

Lessons learned, and suggested dissemination

It is recommended that this report be circulated to all CBFM projects and relevant donor advisers

Part C

Key Issues / Points of information
<ul style="list-style-type: none"> • Poverty: Need to analyse beneficiary distribution within poverty categories 1 and 2 after another year ; who is slipping through the CBFM net? Who can and cannot benefit from CBFM under the various approaches being tested? • Gender: Need a Gender Strategy and improved gender analysis • Communications: Need to link media & policy strategies and develop a comprehensive communications strategy based on a revised Policy Stakeholder Matrix • M & E: Need a reality check at next OPR; are all the data types collected really being used; nb biological data as well as socio-economic

Recommendations	Responsibility	Date for completion
1. See Table 1		
2.		
3.		
4.		

Review team:	Barry Blake , Julian Barr, Clement Peris
People met:	See Annex 2

Scoring system:

1 = likely to be completely achieved

2 = likely to be largely achieved

3 = likely to be partially achieved

4 = only likely to be achieved to a very limited extent

5 = unlikely to be realised

x = too early to judge extent of achievement

