Guidance to Inshore Fisheries and Conservation Authorities on monitoring and evaluation, and measuring performance

This guidance is given in accordance with section 153 (3) of the Marine and Coastal Access Act 2009

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defra
Department for Environment Food and Rural Affairs

Department for Environment, Food and Rural Affairs

Nobel House

17 Smith Square

London SW1P 3JR

Telephone 020 7238 6000

Website: www.defra.gov.uk

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Defra - IFCA sponsorship

Area 2C, Nobel House

17 Smith Square

London

SW1P 3JR

Email: IFCA.contact@defra.gsi.gov.uk

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Introduction

- As they are new organisations, this best practice framework and guidance provide Inshore Fisheries and Conservations Authorities (IFCAs) with tools for helping them to monitor and evaluate their own performance and any local management interventions or regulations that they put in place. Part One of the framework and guidance provides IFCAs with an 11-step guide on the key elements of evaluation, and a monitoring and evaluation checklist that they can use in their own planning and day-to-day management. Part Two of the framework and guidance outlines how IFCAs can monitor and evaluate whether they are meeting their objectives, success criteria and, ultimately, the agreed vision of what their organisations should be achieving, based on the evaluation framework described in Part One. This guidance can help IFCAs in being more accountable to those that they work for and with, including their local communities, other IFCAs and delivery partners.

- This guidance has been developed in conjunction with a range of stakeholders, taking into consideration IFCAs' functions and resources, and issued after consultation with IFCAs and other interested organisations. IFCAs must have regard to this guidance in carrying out their functions.

- This is one of several documents[1] that offer best practice guidance to IFCAs. These documents will be reviewed regularly and, if necessary, reissued in the light of any changes in marine management or other Government policy.

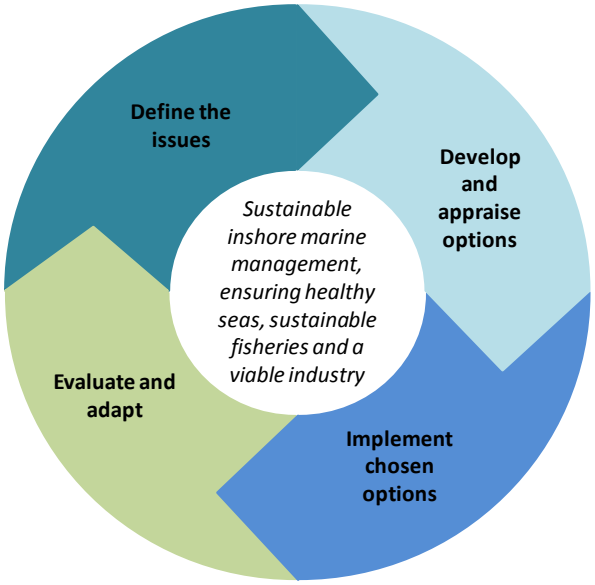
[1] All guidance to IFCAs is available at: http://ww2.defra.gov.uk/environment/marine/wwo/ifca/

1 Part 1 – a monitoring and evaluation framework for Inshore Fisheries and Conservation Authorities

1.1 *What is monitoring and evaluation and why is it important?*

1.1.1 Monitoring and evaluation is a key part of making and implementing any new policy, process or management option; it's important to regularly measure and review the impact of an intervention to check that it's working and having the intended effect. Regularly collecting information (monitoring) and analysing that information (evaluation) allows for better, evidence-based decisions and enables us to learn from the outcomes. It can help identify what has worked previously and improve existing processes or management measures. Because of this, monitoring and evaluation is a fundamental element of all the stages of the evidence-based marine management cycle[2] (see Figure 1) and particularly the "Evaluate and adapt" stage.

Figure 1. Evidence-based marine management cycle

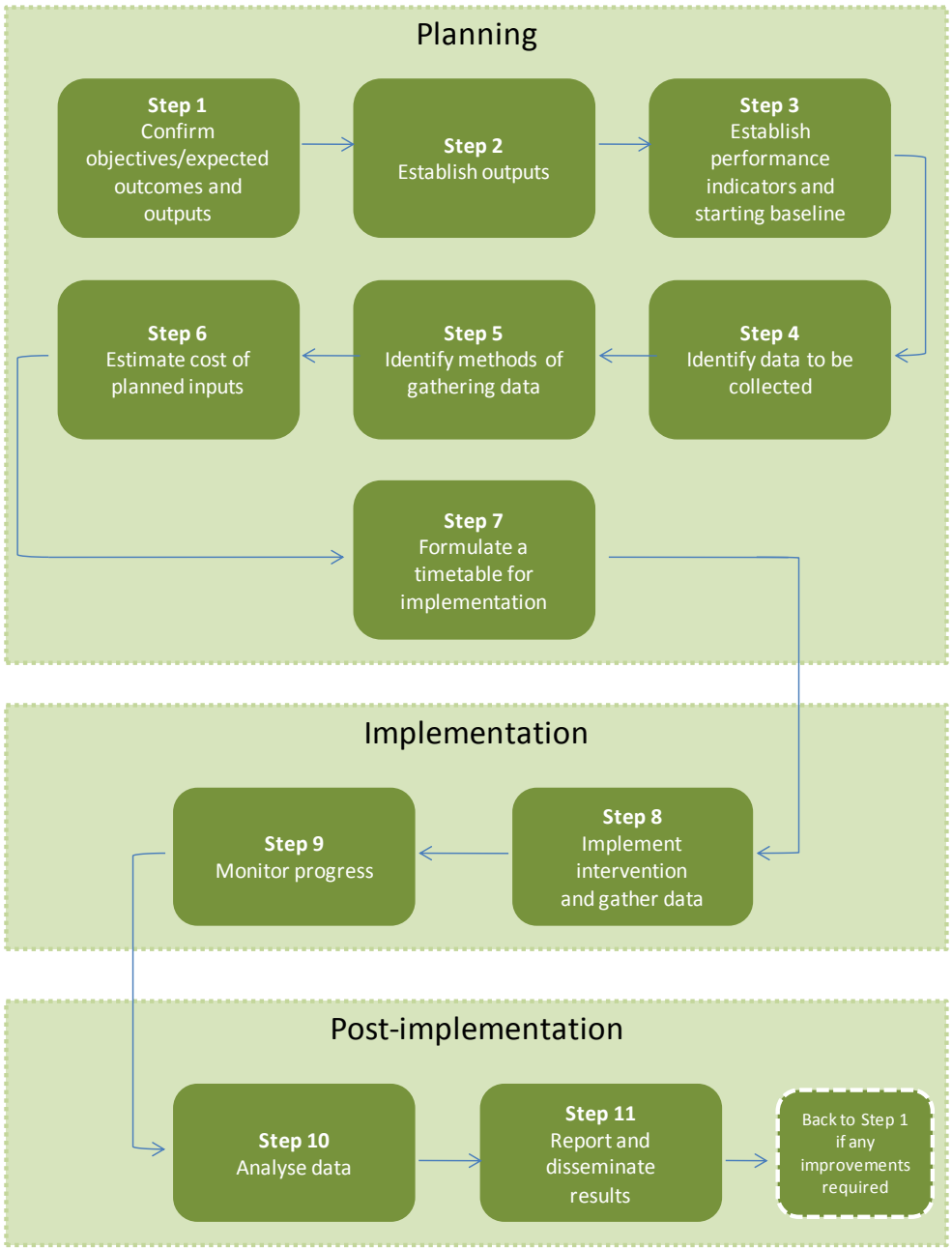


1.1.2 It is important that any monitoring and evaluation of an intervention or management option is planned, organised and has clear objectives and corresponding methods for achieving them. This following section provides IFCAs with a framework for monitoring and evaluation. This can be used in day-to-day management, as well as annual planning and longer term strategies. There are three stages to the framework, which is outlined in Figure 2 below:

1. Planning
2. Implementation
3. Post-implementation

[2] Guidance to IFCAs on evidence-based marine management is at: http://ww2.defra.gov.uk/environment/marine/wwo/ifca/

Figure 2: A framework for monitoring and evaluating management interventions



1.2 *Planning*

Step One: Confirm objectives/expected outcomes and outputs

1.2.1 Before any management option is put in place, the issue to be tackled needs to have been clearly defined and the objectives of the work drawn up. Objectives are the key to every successful programme of work and its

evaluation. Unless you have a clear idea about what your work is trying to achieve, you cannot measure whether or not it has been achieved. A simple way to set objectives is to use the 'SMART' checklist:

- **S**pecific – Objectives should specify what you want to achieve.
- **M**easureable – You should be able to measure whether you are meeting the objectives or not.
- **A**chievable – Are the objectives you have set achievable and attainable?
- **R**ealistic – Can you realistically achieve the objectives with the resources you have?
- **T**imely – When do you want to achieve the set objectives?

The issue of risk should also be considered at this stage: what are the risks that may be involved in implementing certain options (or not)? What are the risks of not having any evidence that the intervention is working (or not)?

Step Two: Establish outputs for the intervention

1.2.2 Outputs are the items or actions that need to be produced or done in order to achieve the desired objectives/outcomes. For example, if the intervention is to train your staff to use new IT software so that they can manage their work more efficiently, the outputs might be: find out how many staff need training, organise a suitable trainer, organise the location and equipment for the training, and so on.

1.2.3 IFCAs have an agreed national vision and success criteria, with corresponding high-level objectives for achieving them. The annex to this guidance gives indicators and outcome measures for these objectives. IFCAs can use these as a guide for developing their own, localised intervention outcomes (see Part 2 of this guidance for more information).

Step Three: Establish performance indicators and starting baseline

1.2.4 Once the objectives and outcomes of the intervention have been outlined, the next step is to decide how to measure the extent to which they have been achieved. Performance indicators are a means by which you can do this. Performance indicators can be quantitative (using statistical information to measure the effects of an action) or qualitative (measuring factors such as people's feelings and perceptions). For example, fisheries stock assessments are quantitative performance indicators – they are a direct measure of the state of fisheries in your District – and indicators such as fishermen's perceptions of how well a byelaw is working are qualitative.

Key points about performance indicators

1. *Be clear about what you are measuring. Having a clear idea of what you are trying to achieve will help in selecting the right indicators. Always ensure that the information required is available and easily collected.*
2. *Think about the context. Performance indicators may need to take account of underlying trends, or the environment in which the intervention is operating.*
3. *Performance indicators can never be conclusive proof that a project is successful; they can only ever be indicators. This is because external factors, which have not been measured, can have an impact on an intervention without you being aware of them. However, well chosen indicators that come from a wide range of sources and illustrate different aspects of an intervention can provide good evidence of its success.*

1.2.5 Performance indicators can use any information, from any source, to show whether objectives are being met. When developing performance indicators, it is important to establish a starting baseline for the intervention against which performance will be measured, where possible. For example, if you are using a questionnaire to find out stakeholders' initial views on a new management measure, you can put out the same questionnaire after the intervention has been in place for some time, and compare the responses.

1.2.6 When developing performance indicators, the data needed to measure them should always be taken into account: one of the criteria should be how cost effective it is to collect the necessary information needed to determine whether you are achieving your objectives.

Step Four: Identify data to be collected

1.2.7 The next step in the framework is to decide what data need to be collected to measure the management option's success against the performance indicators. It is important to collect the right information, at the right time and in the right format. Some questions to be asked at this stage are:

- ***What data are needed to calculate the performance indicators or baselines?***

Assess what is needed and what data is already available, e.g., stock assessment data, landings statistics, previous questionnaires or surveys, staff annual performance reports, data from other government departments and partner organisations, previous IFCA and other reports, staff time recording sheets, enforcement activity statistics, research projects, scientific journals and so on.

- ***How much detail is required?***

The level of data required depends on what the data are going to be used for. Detailed data help to pinpoint problems and provide an accurate picture of what has happened, and higher level data are useful for showing general trends. Collecting and analysing detailed data can be expensive and time-consuming, so plan ahead and only collect as much as is needed.

- ***When and how often are data required?***

It is important to have data at the start of the intervention for baseline/comparison purposes and at the end so that the long-term effects can be measured.

- ***What format are the data required in?***

Data comes in many different forms, e.g. in paper records, electronic records, databases and Excel spreadsheets. If the data are not in an easily-accessible format, this may incur extra resources to get it in the right format. Think about the extra work and costs involved and weigh those up against the benefits of being able to use the information for your management and evaluation purposes.

- ***Are the data available, accurate and reliable?***

– **Availability:** If the data are not already available, you may need to collect it yourself. Some questions to ask are: Are the data vital to the evaluation? Is the time and cost worthwhile? Are resources available? (also see Step Five: *Identify methods of gathering data* below)
– **Accuracy:** This is very important. Some questions to ask are: Are the data recorded correctly? What was the context in which the data was collected - have they been collected objectively or has the collector introduced bias? Is the sample of population the data were taken from representative of the target population?
– **Reliability:** Some questions to ask are: Are the data available at the times required? Are the data measuring the same or a similar thing to what you are evaluating? Are the data current and, if not, are they still relevant?

Key point about analysis requirements

Bear in mind that the selection of particular methods and techniques also implies using the appropriate type of data analysis and interpretation (which has its own resource and skills implications). In general, large data sets and questionnaires, particularly those collected over long timeframes (such as those derived from surveys), normally need analysing with statistical software systems.

Step Five: Identify methods of gathering data

1.2.8 If data are not available or are not of sufficient quality or relevance, you may need to collect new data. A selection of methods and techniques for collecting data is shown in the table below, to give an idea of the kinds of methods available and their pros and cons.

Method	Typical Techniques	Typical context of use	Pros and cons
Stakeholder surveys	Interviews Questionnaires Informal consultations Focus groups Workshops	All-purpose Stakeholder satisfaction Impacts on stakeholders Lessons learned: surveys of stakeholders' experiences	Easy to carry out Can produce large numbers of responses Limited depth in questionnaire surveys (more depth in interviews and focus groups)
Field studies and research	Observations Scientific experiments Fisheries stock assessments Inspections Case studies Diaries Log books	All-purpose How users or biological systems respond to intervention Lessons learned: retrospective analysis of what happened	Comparison of different settings/interventions/management options In-depth data, giving insights on all aspects of intervention Time-consuming and skill intensive
Interpretative	Content analysis (e.g. analysis of reports, research papers, literature reviews)	All purpose	Wealth of information available from different sources Can be resource intensive if dealing with a lot of paper reports
Participatory, pilot studies	'Action' or applied research	Typically for development and evaluation of options	Encourages real engagement from the subjects of intervention Good in highly uncertain contexts Evaluators sometimes get too involved in intervention itself
Modelling	Simulations	Assessing potential outcomes of different interventions (e.g. modelling effects of interventions on fish or shellfish stocks) Cost-benefit analysis	Can predict possible outcomes in uncertain and complex contexts Sometimes vague – have to be very careful with assumptions made Requires high level of skill and careful interpretation of results Can be expensive to produce and run models regularly

1.2.9 The table below summarises the types of management options or interventions that can be used by IFCAs and gives some examples of evaluation questions and methods that would be associated with a particular type of intervention.

Type of initiative	Example evaluation questions	Example evaluation methods
Sea fisheries resources management	Do we know about all the sea fisheries resources within our district and those that are at risk? Are we targeting and managing the sea fisheries resources that are at most risk? Are we using the right management interventions for all sea users?	Strategic environmental assessments Habitat mapping Analysis of fishing activity Impact assessments of byelaws Surveys Questionnaires Academic research
Nature conservation	Are we meeting nature conservation objectives? What kind of activity can be damaging to a protected site? What kind of activity is acceptable within a protected site?	Long-term monitoring of pressure on fisheries/sea fisheries resources Habitat mapping Impact assessments of byelaws Surveys Academic research
Byelaws	Are our current byelaws having the intended effect? Will our future byelaws have the intended effect? Is a byelaw the most cost-effective intervention? Are all sea users well aware of our byelaws and what they mean for them?	Impact assessments Surveys Questionnaires Analysis of enforcement activities and outcomes Academic research
Enforcement	How much illegal activity is there in our District? Are we targeting the groups that pose most risk? Which of our enforcement activities is most effective as a deterrent? Are all the relevant people aware of the consequences of non-compliance? How effective is our penalties regime? How well do we respond to complaints? How effective are our guidance and education approaches?	Surveillance Gathering intelligence Analysis of enforcement activities Analysis of enforcement outcomes (e.g. compliance rates) Comparison with other IFCAs and enforcement bodies Surveys Customer satisfaction surveys
Staff performance and management	Is staff performance improving year on year? Are we using our staff to their full potential? Are staff work objectives helping to achieve the organisation's overall aims? Do we have the right, skilled people? Are staff motivated and happy to work for IFCAs?	Analysis of annual staff reports Staff surveys Informal interviews/feedback sessions Team meetings One-to-one appraisal discussions
Training	How many staff attended relevant training courses? How have they applied the learning from the training? Do we have the right, skilled people?	Feedback on suitability of training sessions Questionnaire surveys Interviews Annual performance reviews
Partnership working	How well are we working with others? How can we make joint-working more efficient? Are our Memoranda of Understanding with partners working well? Are there others we should be working with?	Customer satisfaction surveys Cost-benefit of current joint working practices Feedback from partners Stakeholder mapping
Raising awareness	How many of our stakeholders are aware of IFCAs work? How many articles were published in the local media about IFCAs and what was the content? Which public engagement approach is most cost-effective?	Surveys Focus groups Content analysis of media Cost-effectiveness analysis

Step Six: Estimate the costs of planned inputs

1.2.10 Estimating the costs of planned inputs at the beginning of and during the intervention will enable you to analyse its cost-effectiveness. Examples of input costs are staff time, equipment and transport costs. It is important to review input costs during the intervention to ensure that an accurate analysis of cost-effectiveness is undertaken.

Step Seven: Formulate a timetable for implementation

1.2.11 To ensure that any management option runs as planned, a timetable of implementation can be used. As a minimum, the timetable should:

- list all the key stages of work including milestones for key activities
- show the dates by which each stage needs to be completed
- show what resources are needed for each stage
- show who needs to be involved at each stage
- include milestones for regular review of the inputs and outputs
- be regularly updated to reflect any changes

An example of a timetable grid for implementation is presented below:

No	Intervention	Lead officer	Inputs	Outputs	Outcome	Baseline	Performance Measures	Timetable
1								
2								
3								

1.3 *Implementation*

Step Eight: Implement intervention and gather data

1.3.1 Important factors to consider for the implementation of an evaluation framework are:

- **Contingency planning:** As with planning and evaluation in general, anticipating adjustments and changes to data collection is to be encouraged. It is useful to have a 'plan B' with alternative arrangements for data collection should it become apparent that (for example) time, skills or operational constraints are likely to conspire against planned activities.
- **Operational rules and processes (data management):** The evaluation should track (and have a record of): what data are being collected, who collects the data, and in what form and location the data are stored. Clear rules about operational procedures should be set out and distributed to all those involved in data collection and analysis. Data should be collected, stored, shared and disposed of in line with government guidelines and codes of practice[3] and in accordance with the Data Protection Act 1998[4], the

[3] Local Government data handling guidelines - http://www.idea.gov.uk/idk/aio/9048091

Freedom of Information Act 2000[5], and the Environmental Information Regulations 2004. IFCAs should be open with their data as much as possible: there is a growing movement to publish *all* government data, other than personal or private data[6]. You should check with your lead Local Authority to see what their data management requirements and plans are. ***All IFCA staff, regardless of whether they analyse information regularly as part of their job, should understand and adhere to the principles of good record-keeping, data management and data protection.***
Similarly, if you are working jointly with others on monitoring and evaluation, it is useful to draw up data sharing contracts or Memoranda of Understanding (MoUs) with other stakeholders. These contracts or MoUs should specify the objectives of the evaluation and any guarantees that apply (for example, on confidentiality).

Step Nine: Monitor progress

1.3.2 Monitoring progress is essential to making any necessary adjustments to implementation, structures and processes used in the intervention:

- Monitor inputs
- Monitor output and outcome data, measuring them against your performance indicators
- Monitor key milestones
- Consider whether there is any additional data that that it may also be useful to collect and monitor
- Allow the results of the monitoring to dictate any changes to the ongoing implementation of the intervention

1.3.3 An example of monitoring the intervention is: Keep a record of the resources used in running the intervention, e.g., number of staff, who the staff are, how many hours staff work, and costs incurred by the intervention. **Once an evaluation framework is established, those running the intervention need to regularly monitor the data and report relevant information to the IFCA and other stakeholders – particularly those who are the subject of the intervention.**

1.4 *Post-implementation*

Key point about analysis

It is important that data is analysed by someone who is trained in statistical analysis and/or knows how to interpret the results. They should be also be able to report the information simply and effectively

Step Ten: Analyse data

1.4.1 Once the intervention has been implemented and data collected for evaluation, IFCAs should:

- compare outcome data with the baseline

[4] http://www.ico.gov.uk/for_organisations/data_protection.aspx
[5] http://www.ico.gov.uk/for_organisations/freedom_of_information.aspx
[6] http://data.gov.uk/

- calculate the costs of the intervention, including any inputs monitored during the intervention
- calculate the cost-effectiveness of the intervention
- examine trends in the wider area and any similar comparison area to assess the wider impact of the intervention (e.g., neighbouring IFCAs and other similar organisations, national marine management programmes, other countries)

Step Eleven: Report and publicise results

1.4.2 This step should be a continuation of the evaluation process. It is important to give those involved in the intervention being evaluated, as well as in the evaluation itself, a sense of closure of the project and the evaluation. This might be (where appropriate) through running feedback and 'lessons learned' events. More generally, it is important to the IFCA's reputation and the value and impact of the evaluation to give final formal feedback to everybody who has contributed in some way to the evaluation (for example, by sending them a copy of the report or inviting them to a final feedback event).

1.4.3 Publication should not be restricted to the circulation of a final report. Different stakeholders may require different communication approaches. These might include:

- short summaries of the evaluation, tailored to different audiences
- topical articles in the 'trade' press
- workshops for specific audiences
- feedback seminars for key decision makers
- journal articles for other researchers

The results from any evaluation should always be fed back into the future planning of interventions.

1.5 *Monitoring and evaluation framework checklist*

	Yes	No	Action
Pre-implementation			
Step 1: confirm objectives/expected outcome and outputs			
Have SMART objectives been developed to show what the intervention is trying to achieve?			
Are outcomes in place to show what the final achievement of the intervention will be? (This should relate to the overall aim)			
Step 2: establish outputs for the intervention			
Have outputs been established to show what tasks are being carried out to achieve the outcomes (e.g., establishing a baseline, producing quarterly reports)?			
Step 3: establish performance indicators and starting baseline			
Have performance indicators been established, taking into account data availability, surrounding environment and underlying trends of the IFCA District?			
Has a starting baseline been established?			
Step 4: identify data to be collected			
Has the source of data been identified to calculate the performance indicators?			
Do new data need to be collected?			
Have the data been checked for accuracy and reliability?			
Is extra work required to format the data for analysis?			
Step 5: identify methods of gathering data			
Have the methods of data collection been agreed?			
Have appropriate analytical methods been agreed?			
Are statistical/technical specialists available to complete the analysis, where necessary?			
Step 6: formulate a timetable for implementation			
Has an implementation timetable been formulated to ensure the intervention runs and finishes on time?			
Have milestones for key activities of the intervention been established?			
Have milestones for regular review of the inputs and outputs been established?			
Step 7: estimate the costs of planned inputs			
Have the input costs been estimated, to enable the analysis of cost-effectiveness of the intervention?			
Implementation			
Step 8: implement intervention and gather data			
Has a contingency plan been organised?			
Have operational rules been written and sent to all people involved?			
Step 9: monitor progress			
Are the inputs being monitored?			
Are the output and outcome data being monitored?			
Are the key milestones being monitored?			
Post-implementation			
Step 10: analyse data			
Have the outcome data been compared with the baseline?			
Has the cost-effectiveness of the intervention been calculated?			
Have the costs of the intervention, including any inputs monitored during the intervention, been calculated?			
Have the trends in the wider IFCA District and any similar comparison area been examined, to assess the impact of the intervention?			
Step 11: report and publicise results			
Have the results been publicised to stakeholders in an appropriate form?			
Have the results been fed back into future planning?			

2 Part 2: Monitoring and evaluating the work of Inshore Fisheries & Conservation Authorities

2.1.1 IFCAs are publically accountable public bodies. In accordance with Sections 177 and 178 of the MCA Act, IFCAs must publish an annual plan that sets out their main objectives and priorities at the beginning of each financial year and subsequently publish a report on how they have met those objectives and priorities at the end of each financial year. This will provide the opportunity for local communities, local bodies and key delivery partners to look at how IFCAs are performing. Copies of these annual plans and reports must also be sent to Defra's Secretary of State, who is required to report to Parliament on the conduct and operation of IFCAs every four years.

2.1.2 This means that IFCAs should be systematically monitoring and evaluating their own overall performance, over and above any day-to-day management interventions they put in place. Monitoring and evaluation will provide IFCAs with evidence of whether they are meeting their duties and objectives and to measure progress towards them.

2.1.3 This part of the guidance gives details of a high-level monitoring and evaluation plan for IFCAs and their work and it can be used to help inform their annual plans and longer-term planning. It also provides an example of how the evaluation and monitoring framework outlined in Part One of this guidance is put into practice.

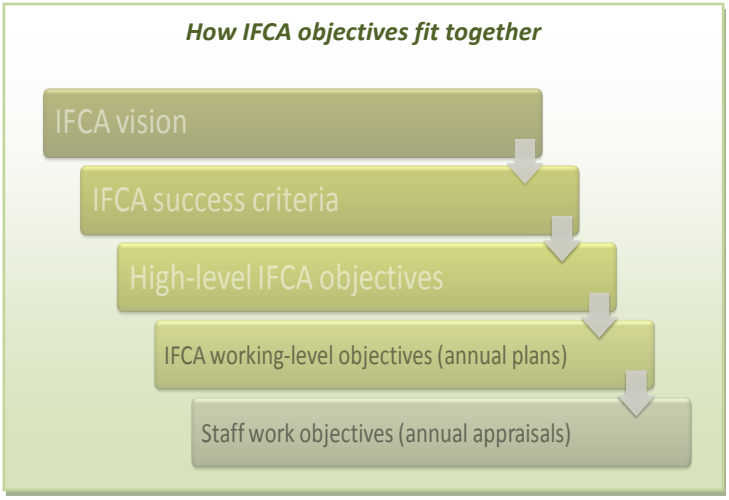
IFCAs' aims, objectives and establishing outputs

2.1.4 The IFCAs have an agreed national vision, which sets out their overall aim in sustainably managing the inshore marine environment to achieve the intentions of the Marine and Coastal Access Act 2009 and wider UK and EU marine legislation. They also have success criteria that, along with the corresponding high-level objectives for achieving them, outline what will be expected of IFCAs in reaching that vision. The vision, success criteria and high-level objectives help to create a shared understanding of the aims and objectives of IFCAs, among themselves and those interested in the work that they do.

> ***Vision for Inshore Fisheries and Conservation Authorities***
>
> *"Inshore Fisheries and Conservation Authorities will lead, champion and manage a sustainable marine environment and inshore fisheries, by successfully securing the right balance between social, environmental and economic benefits to ensure healthy seas, sustainable fisheries and a viable industry"*

2.1.5 Annex A sets out IFCAs' success criteria and corresponding high-level objectives along with indicators/outcome measures for them. These have all been developed with Chief Fisheries Officers and Chief Executives of the Sea Fisheries Committees, who will transfer to IFCAs and help them to deliver their duties on the ground. In order to meet these overarching objectives, and

depending on how they might be measured, IFCAs should develop working level objectives to manage the work more easily. It is these working level objectives that should form the basis of IFCA annual plans and should inform the work of individual IFCA staff. This makes monitoring staff performance much easier and individuals can see clearly how they are contributing to the overall success of IFCAs.



A baseline for IFCAs' work

2.1.6 As well as providing an opportunity for the local community and key delivery partners (including other IFCAs) to see how an IFCA is meetings its objectives, annual plans and reports will help the Secretary of State to report to Parliament on the conduct and operation of IFCAs every four years. Therefore, it is sensible for IFCAs to consider their longer term direction when planning for the shorter term.

Identifying data to be collected and methods of collection

2.1.7 The performance indicators in Annex A should help inform IFCAs as to what kind of data and information they might need to collect regularly in order to evaluate whether they are meeting their objectives. IFCAs should consider what information and data is already available to them that could be used to show they are meeting their objectives, before deciding whether to start collecting new data.

Timeframe for achieving IFCA objectives

2.1.8 The timetable for completion of the high-level objectives is set out in Annex A. Each IFCA should bear this longer-term timetable in mind when planning its annual priorities and objectives.

Estimating the costs of evaluation and monitoring

2.1.9 IFCAs will need to estimate the costs of regular monitoring and evaluation, including the gathering of data and information, analysis of that information and reporting results for making management decisions. Clear objectives and

outcomes will help them in preparing annual plans, budgets and justifying the subsequent need for any additional resources to their local authorities.

2.1.10 Working closely with key delivery partners such as the Marine Management Organisation, Environment Agency and Natural England can potentially help reduce monitoring and evaluation costs to IFCAs. They can help provide advice and shared resources (including data collection and analysis) and, as formal members of IFCAs, are also required to directly contribute to its overall success. Monitoring data may have multiple uses once collected and be a resource for a number of partner organisations (for example, the UK Marine Monitoring and Assessment Strategy initiative[7]). IFCAs should work to ensure that monitoring data can be widely used by them and different organisations to fulfill a number of needs. Memoranda of Understanding between IFCAs and these key delivery partners that outline the nature of their working relationships can help in this respect. IFCAs should also seek feedback from their key partner organisations on how successful their joint working relationship has been, as part of monitoring their overall performance.

Implementation and monitoring progress

2.1.11 IFCAs will set out in their annual plans how they intend to carry out their work for the year and how they will know when they've achieved that work. They will also outline what resources they will use in meeting their priorities, what risks there might be to achieving them and how they plan to mitigate those risks. Defra has produced separate, more detailed guidance to help IFCAs produce their annual plans[8].

Analysing data and reporting and publicising the results

2.1.12 Once IFCAs have assessed their work over the year, based on the data and information they have collected to show how well they have achieved what they planned to, they will produce an annual report of their performance. Defra has also produced guidance to help IFCAs produce and publish their annual reports[9]

2.1.13 If, as a result of assessing their performance over the year, there are any areas that need further intervention or improvement, IFCAs should be clear about these and they should inform the following year's planning. Work objectives and priorities should then be changed accordingly. Similarly, in conjunction with the report that the Secretary of State gives to Parliament every four years, IFCAs should look at their overall high-level objectives and should re-assess and amend them, as necessary.

Monitoring IFCAs' contribution to the achievement of sustainable development

[7] http://ww2.defra.gov.uk/environment/marine/science/ukmmas/

[8] Guidance to IFCAs on annual planning and reporting is at: http://ww2.defra.gov.uk/environment/marine/wwo/ifca/

[9] Guidance to IFCAs on annual planning and reporting is at: http://ww2.defra.gov.uk/environment/marine/wwo/ifca/

2.1.14 Defra has developed separate guidance as to how IFCAs can make a contribution to the achievement of sustainable development[10]; IFCAs must have regard to this guidance and the Secretary of State will need to inform Parliament of how well each IFCA has been achieving in this area.

Ongoing IFCA performance

2.1.15 Although the IFCA vision and success criteria are 'timeless', the high-level objectives are likely to change over time. Those at Annex A cover the period October 2010 (when IFCAs were established) to 2015, when the Secretary of State's first four-year report of IFCAs' conduct and operation is put before Parliament. We recommend that IFCAs review their high-level objectives in 2015 and amend them or develop new ones, as necessary.

[10] Guidance to IFCAs on delivering sustainable development is at : http://ww2.defra.gov.uk/environment/marine/wwo/ifca/

2.2 *Annex A: Success Criteria, High Level Objectives and Performance Indicators for IFCAs for 2010-2015*

Success Criterion 1: IFCAs have sound governance and staff are motivated and respected		
Staff feel proud to work for their IFCA and have the training and skills to deliver their Authority's objectives in a professional, fair and consistent manner. They are supported by excellent leaders and managers, working alongside engaged and effective committees. These committees are representative of the communities they serve and wider stakeholder interests; they have the backing of constituent local authorities and provide the strategic direction to ensure the long-term sustainability of the marine environment in and around their districts		
High Level Objective	Outcome(s)	Performance indicator(s)
By April each year, publish an annual plan that meets minimum standards as set out in Defra guidance, setting out the authority's main objectives and priorities for the year.	Each IFCA has an annual plan that clearly sets out, in a way that is easy to understand, what the Authority does and its main objectives and priorities for the coming year.	Annual plans to meet the requirements of the IFCA and Defra are prepared and published before the beginning of each financial year. Copies of annual plans are sent to Defra's Secretary of State by 30 April each year.
As soon as is reasonably practicable after the end of each financial year, prepare a report on the IFCA's activities in that year, in line with Defra guidance.	Each IFCA has an annual report that clearly sets out, in a way that is easy to understand, the Authority's achievements in the last year.	Annual reports meeting the requirements of the IFCA and Defra are prepared and published as soon as reasonably practical after the end of each financial year. Copies of annual reports are sent to Defra's Secretary of State by 30 November in the year in which they are published.
Demonstrate a long-term, strategic approach to sustainable marine management, in line with duties in the Marine and Coastal Access Act, clearly articulating how the IFCA will do this through annual plans and/or longer-term strategies. Delivery is ongoing, with the first formal review in 2015.	Report reviewing marine sustainability issues and fisheries management in the District and proposing new management measures to address concerns.	The issues impacting sea fisheries resources within the IFC District have been identified, prioritised and, where appropriate, suitable management plans for them put in place by April 2015; management plans and progress against them are reflected in annual plans and reports.
Staff management systems are in place that include: • an annual staff performance monitoring system, which sets clear work objectives for every member of staff that are linked to the organisational objectives described in the annual plan and monitors their performance against a set of agreed criteria; and • a performance improvement procedure. IFCAs must show progress in this objective by April 2011, for example by having gained Committee agreement to introduce such a system, with fully-functioning staff management systems in place by April 2012.	Staff management system in place to meet requirements of the objective.	A staff management system, including training and development plans, is in development and being tested during 2011 for approval by staff and Committee and implementation in 2012.

Develop and deliver a people capability strategy, which ensures that staff can deliver the organisational objectives as set out in annual plans, aided through training, mentoring and new skills development. The strategy should be developed by April 2012; IFCAs should demonstrate ongoing delivery, with the first formal review in 2015.	Gaps in the capability of the IFCA to meet its duties and objectives are assessed; proposals for addressing problems are in place.	Staff resources and capability is assessed against IFCA objectives and duties with a gap analysis by April 2012; plans for addressing problems and progress against them are reflected in annual plans and reports.
By September 2012, demonstrate that staff are engaged with the objectives of the organisation, can influence the direction and development of the organisation and are free to constructively challenge decisions without reproach.	Happy staff and members.	Systems are developed and implemented that enable all staff and members to contribute to and comment on all IFCA policies and business by Sept 2012; systems follow best practice/principles in investing in people.
		Staff and members are content that they can influence the development of policy for the IFCA demonstrated through annual feedback.

Success Criterion 2: Evidence based, appropriate and timely byelaws are used to manage the sustainable exploitation of sea fisheries resources within the district		
The decisions to introduce, amend or repeal byelaws are evidence-based, timely, based on appropriate consultation and can be shown to have a positive impact in line with their intended effect to manage, protect and promote the recovery of sea fisheries resources from the effects of exploitation.		
High Level Objective	Outcome(s)	Performance indicator(s)
By April 2015 demonstrate that: • key issues likely to impact on the sustainable management of the marine environment in the IFC District are identified and evaluated using the best available evidence and a range of management options is considered; • the impacts that different courses of action might have in managing those key issues are thoroughly evaluated; • proportionate regulation (for example introducing a legal mechanism such as a byelaw) is used as a last resort; • the effectiveness of interventions to improve the delivery of beneficial outcomes is continuously monitored; and • there is a clear IFCA Committee process for dealing with agreed interventions quickly, efficiently and effectively, particularly for emergency byelaws.	Agreed policies and processes in place to review and amend byelaws and make new ones as required. Process to decide on the most appropriate management measure to apply to address fisheries and wider sustainability concerns as they arise, including the making of emergency byelaws. Process to assess the effectiveness of management measures in the District.	The issues impacting sea fisheries resources within the IFC District have been identified, prioritised and, where appropriate, suitable management plans for them put in place by April 2015; management plans and progress against them are reflected in annual plans and reports.
		All byelaws made after April 2011 meet the requirements of Defra guidance.
		IFCAs have necessary records and database systems in place to inform decision making.
By April 2015, all legacy byelaws have been reviewed and evaluated against current evidence base; redundant and duplicate byelaws have been removed and gaps covered.	By April 2015, all legacy byelaws have been reviewed and evaluated against current evidence base; redundant and duplicate byelaws have been removed and gaps covered. Byelaws meet the management and enforcement goals of IFCA at all times.	The byelaw review and changes are on schedule to meet objective.
		All byelaws made after April 2011 meet the requirements of Defra guidance.

Success Criterion 3: A fair, effective and proportionate enforcement regime is in place		
A risk-based enforcement regime is in place, which is in line with the Regulators Compliance Code, legislative requirements, and which makes IFCAs an efficient and fair enforcer, managing the exploitation of sea fisheries resources, using a range of alternative enforcement methods and sanctions whose impact and effectiveness is regularly assessed and continually improved.		
High Level Objective	Outcome(s)	Performance indicator(s)
Demonstrate the use of a transparent, risk-based enforcement framework that meets the minimum standard set out in government guidance and is continuously reviewed and improved.	Develop and review annually an enforcement framework that is compliant with government best practice.	Annual enforcement risk register published on each IFCA's website and available for viewing at each IFCA's office by 30 April each year.
		The IFCA's enforcement risk register is peer reviewed annually by a national panel. The peer review comments are forwarded to the CFO and Chairman of the IFCA.
		The enforcement risk register is compiled in a standard format approved by all IFCAs and provided to the national peer review panel by 28 February each year.
Develop and apply a code of conduct for inspections that aligns IFCA activity and procedures with national standards.	IFCA officers conduct professional inspections in a manner consistent with inspections conducted by other enforcing authorities throughout England.	A code of conduct for inspections both ashore and at sea is created by 30 October 2011 and reviewed annually. The code of conduct is published on each IFCA's website and available from each IFCA's office by 30 April each year
		Establish a national IFCA/MMO team by 30 October 2011 to independently assess the overall quality of enforcement inspections conducted by each IFCA on an annual basis with the results reported back to the CFO and Chairman of the inspected IFCA by 30 April each year.
		Development of an SLA between IFCAs, MMO, NE and EA regarding the provision of standardised enforcement training and the secondment process for officers of each signatory by 30 April 2012.
		Each IFCO's enforcement knowledge and performance is assessed (to nationally determined standards - to be developed by 30 April 2012) on a bi-annual basis whilst attending the national enforcement training course.

Success Criterion 4: IFCAs work in partnership and are engaged with their stakeholders		
IFCAs will work across boundaries, engaging effectively with local and central government, other government bodies, other delivery bodies, industry and other NGOs, recreational users and individuals in the work that they do. Through this partnership approach to working, IFCAs will deliver the socio-economic and environmental outcomes they were created under the Marine and Coastal Access Act to deliver.		
High Level Objective	Outcome(s)	Performance indicator(s)
By April 2011, develop Memoranda of Understanding (MoUs) or Service Level Agreements with key partners, including Cefas, MMO, Natural England and the Environment Agency, that outline agreed ways of working and sharing information and, by April 2012, demonstrate that they are being utilised. Consideration should be given to having a Service Level Agreement with a lead local authority within the IFC District.	IFCAs and key partners have a clear understanding of their roles and joint responsibilities. The production of a comprehensive package of national and local Memoranda of Understanding (MOUs) and/or service level agreements (SLAs). Efficient and effective partnership working between all relevant parties and each IFCA.	Initial MOUs are agreed and adopted by end of April 2011.
		Discussions have been held with partner organisations with regard to SLAs; SLAs (if required) are agreed and adopted by April 2012.
		Identify and discuss with lead local authority requirement for SLA by October 2011.
		Each MOU and SLA is reviewed annually to ensure effective delivery of objectives as defined in the annual plan; progress against MoU action plans is reflected in annual reports.
By April 2012, develop a stakeholder engagement and communication strategy with corresponding plans that: • demonstrate transparency and a balanced approach to dealing with key stakeholders; and • enable consideration of stakeholder views when making decisions.	Develop a strategy for engagement with the wider public. Work with other agencies. Develop website to allow proper engagement with identified and agreed stakeholder groups. Develop database of identified and agreed stakeholder groups that would find it difficult to engage via the website.	Set-up database of stakeholders from current list by April 2011. Update list every 6 months. Review contacts list annually.
		Engagement strategy developed by April 2012.
		By April 2012 each IFCA to create a website to give access to current information; all regular forms and documents to be provided electronically by April 2013. Website is reviewed and updated monthly.
		Develop interpretation boards and presentations to allow greater interaction with stakeholders.
By April 2014, review stakeholder engagement and communication strategy/plans and implement any necessary improvements by April 2015.	Stakeholder and communication strategy/plans are kept up to date	Reviewed stakeholder and communication strategy/plans and stakeholder database completed by April 2014.

Success Criterion 5: IFCAs make the best use of evidence to deliver their objectives		
IFCAs, by acquiring and sharing their own internal data and by seeking and sharing those generated and recorded by others (including the MMO, Environment Agency, Natural England and Cefas), will have access to the necessary scientific, statistical and socio-economic information relating to inshore fishing and the marine environment to enable effective delivery of their duties.		
High Level Objective	Outcome(s)	Performance indicator(s)
By April 2012, put procedures, plans and appropriate records systems in place that demonstrate that the best available, quality-assured evidence, whether acquired in-house or externally, is used appropriately in decision-making at all levels. These procedures, plans and records systems must meet minimum standards as set out in government guidance and EU legislation.	IFCAs are provided with accurate and timely evidence-based information upon which to base their management decisions and the reasons for decisions are clear, transparent and communicated effectively.	By April 2012, committee to sign off strategic research plan, which has undergone consultation, covering the period until April 2015. Research plan is published each year. Previous year's research report published each year. IFCA annual report to demonstrate how evidence has been used in decision making processes.
By April 2012, have an agreed action plan of how key, mutually-beneficial information will be shared between IFCAs and with key delivery partners to improve efficiency and the delivery of beneficial outcomes.	IFCAs provide relevant information to and have access to relevant information from key delivery partners.	By April 2012 develop and agree MoUs with delivery partners and review annually. IFCA representative to take part in annual IFCA scientific conference. IFCA representative to proactively be involved in relevant evidence networks to share best practice, e.g. Technical Advisory Group.
By April 2013, demonstrate that there is the in-house capability to collect, analyse and interpret evidence to inform management policy decisions and meet the minimum requirements laid out in government guidance on evaluation and monitoring.	IFCAs have the technical capability to collect, analyse, interpret and manage evidence. IFCAs have personnel within the organisation with appropriate skills to ensure that management decisions make the best use of available evidence.	IFCA annual plan and report demonstrate use of evidence, resources and capability as per strategic research plan. Seek appropriate peer review of research reports [prior to publication]. IFCA annual plans and reports, including research plans and reports, are published online on the IFCA and Technical Advisory Group websites.
By April 2014, review evidence and knowledge sharing procedures and implement any necessary improvements by April 2015.	Knowledge sharing plans and procedures are effective and appropriate.	Develop knowledge sharing plans and procedures by April 2014. Knowledge sharing plans are reviewed and amended annually.

Success Criterion 6: IFCAs support and promote the sustainable management of the marine environment		
IFCAs will deliver responsive and flexible management of sea fisheries resources to meet local needs, in line with the legislative frameworks and guidance set by Central Government and others, such as the Marine Policy Statement (in place from Spring 2011) and subsequent Marine Plans. In doing this, IFCAs will be able to show that they are having a positive impact, leading to more sustainably exploited sea fisheries resources in their districts.		
High Level Objective	Outcome(s)	Performance indicator(s)
By April 2012, with partner organisations (such as the Marine Management Organisation, Environment Agency and Natural England) develop shared objectives for the sustainable management of the District's marine environment and ensure that they are reflected in annual plans.	Shared objectives for management of the marine environment have been identified with partner organisations and IFCAs meet their own objectives in conjunction with others, where possible.	Identify where there are shared objectives in managing the marine environment with partner organisations by April 2012 and identify how these impact on IFCAs' objectives.
		Shared objectives are set out in annual plans.
		Progress of shared objectives reported on in annual reports.
By April 2013, develop and implement action plans for communicating and educating coastal communities about sustainable management of the marine environment.	Raised awareness of IFCAs' work allows marine and coastal users to be better able to engage with the sustainable management of the marine environment.	Plans and processes for raising awareness of IFCAs' work in place by April 2013.
		Examples of engagement set out in annual reports.
		Feedback from relevant stakeholders regarding the effectiveness of engagement is routinely sought.
By April 2015, demonstrate adoption of the principles of best practice in sustainable management of marine environment for the District, as exemplified using tools such as Strategic Environmental Assessments.	IFCAs are aware of and adopt the principles of best practice in sustainable management of the marine environment for the District. IFCAs are adopting the principles of the UK's Marine Policy Statement and marine plans.	The issues impacting sea fisheries resources within the IFC District have been identified, prioritised and, where appropriate, suitable management plans for them put in place by April 2015; management plans and progress against them are reflected in annual plans and reports.
		Examples of proactive involvement in relevant networks to share best practice are reported in annual reports.
		The impact of the Marine Policy Statement and the process of marine planning on IFCAs' work are assessed and addressed annually from April 2011.
By April 2015 at the latest, but showing progress from April 2011, demonstrate adoption of minimum standards (for example in line with government guidance on sustainable development) and a precautionary approach for the management and protection of sites of special scientific interest, national nature reserves, Ramsar sites, European marine sites, and/or Marine Conservation Zones within the IFC District.	IFCAs are working in partnership with key delivery bodies to enable marine protected areas within their Districts to be managed sustainably. IFCAs are delivering the principles of sustainable development, as set out in Government guidance.	Assessment of the condition of marine protected areas by statutory bodies, where available, have been taken into account when developing suitable management plans.
		IFCAs can demonstrate effective representation on relevant management boards/steering groups for marine protected areas, where appropriate.
		IFCAs can demonstrate delivery of the principles outlined in Government guidance on sustainable development.

Success Criterion 7: IFCAs are recognised and heard		
Each IFCA, and IFC authorities as a group, have a vision and plan for future management of inshore fisheries and conservation. This will help them to be a recognised "brand", managing their public voice so that they are respected and trusted for the expertise they offer.		
High Level Objective	Outcome(s)	Performance indicator(s)
By April 2012, demonstrate ability to effectively engage with Local and Central Government and key partner organisations at a national level, to the benefit of IFCAs as a whole.	The IFCAs create an Association to represent their interests on a national and collective basis. The production of a comprehensive package of national and local Memoranda of Understanding (MOUs) and/or service level agreements (SLAs). Efficient and effective partnership working between all relevant parties and each IFCA.	By April 2012, each IFCA is actively involved, through membership, in the direction, good governance and running of the Association.
		Initial MOUs are agreed and adopted by end of April 2011; SLAs (if required) are agreed and adopted by April 2012. Each MOU and SLA to be reviewed annually to ensure effective delivery of objectives as defined in the annual plan.
		By April 2012 partnership working is embedded in each IFCA (and partner organisation), evidenced on an annual basis by regular liaison meetings and joint or collaborative activities as defined in the annual plan.
By April 2013, develop a strategy and corresponding action plan for promotion of the work of IFCAs and the benefits that they offer to the local community, and demonstrate implementation of the action plan by April 2015.	A strategy and corresponding action plan for the work of IFCAs is delivered by 2013. Promotional/Communications plans developed by each IFCA as a part of a "listening and learning policy". Each IFCA annual report contains evidence and information on progress of the IFCA in delivering the promotions strategy. IFCA staff fully trained to promote the aims and objectives of the authority.	By April 2013 a strategy for the promotion of IFCAs work is developed, including the development of promotional / communication plans which are to be reviewed annually.
		By April 2013 annual reports by IFCAs to include a specific element which has data on 'compliments, comments and complaints' from stakeholders and general public and significant events which have demonstrated the IFCA's PR strategy is operational.
		By April 2013, as a minimum, each IFCA to hold proactive biennial stakeholder meetings and events to inform and consult with all interested parties in the IFCA District.
		By April 2012 each IFCA to create a website to give access to current information; all regular forms and documents to be provided electronically by April 2013. Website is reviewed and updated monthly.
		By April 2011 all IFCA staff to be badged so as to be recognised as IFCA officers who following internal training, can speak with authority on the IFCA aims and objectives.
		By April 2012 annual staff appraisals will be undertaken to measure the standard of behaviour toward, and interaction with, stakeholders, general public and officers/staff of partner organisations.