



# A GUIDE FOR THE IMPLEMENTATION OF THE POLICY FRAMEWORK AND REFORM STRATEGY FOR FISHERIES AND AQUACULTURE IN AFRICA



JULY 2015



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## ACRONYMS

<b>AUC</b>	African Union Commission
<b>AU-IBAR</b>	African Union Inter-African Bureau for Animal Resources
<b>AU MS</b>	African Union Member States
<b>AFRM</b>	African Fisheries Reform Mechanism
<b>BMP</b>	Best Management Practices
<b>BFM</b>	Best Fisheries Management
<b>CAADP</b>	Comprehensive African Agriculture Development Programme
<b>CAMFA</b>	Conference of African Ministers of Fisheries and Aquaculture
<b>CBO</b>	Community Based Organization
<b>CC</b>	Climate Change
<b>CCA</b>	Climate Change Adaptation
<b>CCRF</b>	Code of Conduct for Responsible Fisheries
<b>CMT</b>	Customary Marine Tenure
<b>CSO</b>	Civil Society Organization
<b>DREA</b>	Department for Rural Economy and Agriculture
<b>DRM</b>	Disaster Risk Management
<b>DWFN</b>	Distant Water Fishing Nations
<b>EAA</b>	Ecosystem Approach to Aquaculture
<b>EAF</b>	Ecosystem Approach to Fisheries
<b>EEZ</b>	Exclusive Economic Zone
<b>FAO</b>	Food and Agriculture Organization of the United Nations
<b>FPA</b>	Fisheries Partnership Agreement
<b>FPI</b>	Fishery Performance Indicator
<b>HSG</b>	Heads of State and Government
<b>IEZ</b>	Inshore Exclusion Zones
<b>IUU</b>	Illegal Unreported and Unregulated Fishing
<b>MCS</b>	Monitoring Control and Surveillance
<b>MOU</b>	Memorandum of Understanding
<b>MPA</b>	Marine Protected Areas

<b>MTC</b>	Minimum Terms and Conditions
<b>NAFSIP</b>	National Agriculture and Food Security Investment Plans
<b>NEPAD</b>	New Partnership for Africa's Development
<b>NGO</b>	Non-Governmental Organization
<b>NPCA</b>	NEPAD Planning and Coordinating Agency
<b>NSA</b>	Non State Actors
<b>PFRS</b>	Policy Framework and Reform Strategy for Fisheries and Aquaculture in Africa
<b>PPPPs</b>	Price, Place, Promotion and Products
<b>PRSP</b>	Poverty Reduction Strategy Papers
<b>PSMA</b>	Port State Measures Agreement
<b>RAIP</b>	Regional Agriculture Investment Plans
<b>RBFM</b>	Rights Based Fisheries Management
<b>REC</b>	Regional Economic Communities
<b>RFB</b>	Regional Fisheries Body
<b>TURF</b>	Territorial User Rights in Fishing
<b>UNCLOS</b>	United Nations Convention on the Law of the Sea
<b>UNFSA</b>	United Nations Fish Stocks Agreement
<b>WEF</b>	World Economic Forum

## **ACKNOWLEDGEMENT**

This document has been developed with commitments of experts across a wide spectrum of fisheries management institutions, academia, development partners and donor institutions, private sector and other Non State Actors (NSAs), individual expertise etc. for which the African Union (AU) is immensely grateful. Special thanks are also extended to members of Working Groups of the African Fisheries Reform Mechanism (AFRM). The AU would like to extend appreciation to the European Union (EU) for the financial support to the process.

# 1. INTRODUCTION

The provisions of the Policy Framework and Reform Strategy for Fisheries and Aquaculture in Africa (PFRS) incorporate best practices for sustainable fisheries management and responsible aquaculture development which have been identified as priorities by stakeholders. The rational implementation of the PFRS entails identification of user-friendly appropriate strategies that would facilitate alignment of national and regional fisheries and aquaculture policies to these provisions of the PFRS.

This document has been developed as a complementary document to the parent PFRS to provide guidance for the implementation of the PFRS. It therefore describes the criteria/parameters for alignment of national and regional policies and strategies to the provisions of the PFRS, the indicators to monitor the progress of alignment of national and regional policies to the PFRS, implementation as well as the mechanism to support or facilitate its implementation of the PFRS. The Guide also includes indicators to measure medium and long-term impact of the anticipated reforms in the sector that are gendered by this pan African policy and other instruments.

The Guide has been developed through consultative processes involving stakeholders that included African Union Member States (AU MS), Regional Economic Communities (RECs), specialized regional Institutions in fisheries and aquaculture, NSAs, members of the AFRM, development partners, individual experts and key institutions. Towards the formulation of these guidelines, expert consultative meetings were organized in Kampala, Uganda; Nairobi, Kenya that culminated in a broader consultative Think Tank meeting in Abidjan, Cote D'Ivoire that validated the contents for operationalizing the PFRS.

## 1.1 Objective of the Guide

The document also known as the “**Guide for the implementation of the PRFS**” by no means replaces the PFRS; rather it is a companion document with an overall objective to facilitate the coherent and consistent implementation of the PFRS.

The specific objectives of the guide are to therefore facilitate:

- i. Alignment of national and regional policies to the PFRS;
- ii. Monitoring of the level of implementation of the PFRS;
- iii. Measuring the medium-term and long-term impacts of PFRS and other global instruments on the successful management of fisheries and aquaculture sector; and
- iv. Provide guidance for strategic implementation of the PFRS at national and regional levels.



## 1.2 The application of the Guide in policy review and formulation

The overall purpose of this guide is to strengthen and fast track the PFRS implementation at national and regional levels. The guide contains suggested tools or measures in the form of criteria and indicators to enable all actors charged with management and development of fisheries and aquaculture at national and regional levels effective implementation of PFRS. A mechanism for the implementation of the PFRS by engaging other stakeholders, including NSA and development actors, are also provided for in the Guide.

This Guide has been developed exclusively based on the provisions of the policy framework and reform strategy for fisheries and aquaculture in Africa. Thus the Guide is a companion document of the parent PFRS and is meant to provide guidance on how to align national and regional policies to the PFRS. The PFRS has policy areas identified as priority areas for introducing reforms in the management of the fisheries and aquaculture development. Each of the policy areas in the PFRS has expected outcomes. The Guide incorporates criteria and indicators that have been designed to assist stakeholders to align their national and regional policies to the outcomes of the PFRS. This is essentially the implementation of the PFRS that would ensure coherence in national and regional fisheries and aquaculture policies on the continent

The application of this Guide for policy review and analyses should therefore not be done conjointly with PFRS. The Guide should be used simultaneously with the PFRS and the relevant national instruments for gap identifications and also for formulating new policies in the sector.

## 1.3 Definitions

The following definitions will assist to have the same understanding of the terms used in this document. These may not be conventional definitions but those agreed upon by the stakeholders during the formulation process of the guidelines:

**Outcomes:** Key changes that are envisioned as a result of the reforms. As mentioned earlier, they do not replace the policy outcomes but are a user friendly wording or version of these. Thus some of the outcomes in the implementation Guide are as a result of the consolidation or synthesis of the outcomes in the parent PFRS.

**Criteria for alignment:** Consistency and coherence between national and regional policies and strategies with the PFRS; they are the elements that are used to assess the consistency or coherence.

**Indicators:** These are pointers to measure the progress in the implementation of the PFRS and its provisions and thereof towards its outcomes.



## 2. BACKGROUND

The African continent has vast fish resources that are a significant source of a variety of benefits including nutritional and food security, livelihoods, employment, exports and foreign currency as well as conservation and biodiversity value that are of global significance. Despite its vast fisheries resources (resources in marine, freshwater ecologies and aquaculture systems), the continent continues to be saddled with numerous problems that impedes long term resources and environmental sustainability and thus minimizing the prospects of increased sector contribution to food security, poverty alleviation and national economic growth.

The greatest challenge has been to fully realize these benefits by increasing productivity, profitability and sustainability of the sector. This has been impeded largely by incoherent and inadequate sector policies, weak or lack of coordination between key sector players and institutions, dysfunctional Monitoring Control and Surveillance (MCS) systems where they exist, and poor small-scale fisheries and aquaculture development.

These challenges have for decades stigmatized African fisheries and aquaculture, as a sector encumbered by poor governance frameworks. A glaring manifestation of these challenges is the disparity in rents to coastal states from exploitation of their fisheries resources. Due to incessant human population growth on the African continent, the contribution of small-scale fisheries and aquaculture to social welfare, livelihoods, food security and wealth creation is under serious threat. Appropriate policies and regulatory frameworks need to be put in place in order to reverse the threats posed to the realization of the full potential of this sector. Despite the challenges and some positive signs for improvement, vast opportunities still exist for tapping the enormous potential in the sector. Aquaculture development on the continent is manifesting reasonable growth over the last decade. There are also some positive developments towards regional cooperation in sector management and development.

Fortunately, several high-level initiatives on the continent recognized the challenges and opportunities in the sector. Prominent among these initiatives are the 2004 Sirte Summit Declaration, the Abuja 2005 fish- for- all declaration, the 2010 Banjul Conference of African Ministers for Fisheries and Aquaculture (CAMFA I) and recently the 2014 Addis Ababa CAMFA II. Subsequently, they have underscored the need for sectoral policy and institutional governance reforms that can catalyze increased sustainable contribution to the socio- economic development of the continent. The CAMFA I recommended that the African Union (AU) put in place a mechanism for broad-based participatory policy dialogue and fisheries management to ensure coherence of fisheries policies and initiatives. This recommendation was later adopted through an Executive Decision by the African Heads of State and Government (Doc. EX. CL/627(XVIII)). Thus the process of formulation of the Policy Framework and Reform Strategy for Fisheries and Aquaculture in Africa (PFRS) started in earnest in 2012. The PFRS was endorsed by the summit of African Heads of States and Governments (HSG) in 2014 through Executive Council Decisions No. EX.CL/Dec.831 (XXV) as a blue print for the sustainable positive reform of Africa's Fisheries and Aquaculture sector for increased benefits to Member States. The following recommendations were made thereof:

- Member States should prioritize and develop action plans to realize the implementation of the policy framework and reform strategy;
- Development partners and other stakeholders should align their interventions in fisheries and aquaculture sector to the policy framework and reform strategy in support of its implementation; and
- The African Union should put in place a mechanism to monitor the implementation of the policy framework and report regularly to Member States.

### 3. THE POLICY FRAMEWORK AND REFORM STRATEGY FOR FISHERIES AND AQUACULTURE IN AFRICA

#### 3.1 Purpose of the PFRS

The overall purpose of the PFRS is to catalyse the transformation of Africa's fisheries and aquaculture for food, livelihoods and wealth. Accordingly, it is intended majorly to:

- elaborate and make explicit essential guiding principles for good governance of Africa's fisheries for increased coherence and coordination of the sector;
- assist AU Member States, RECs and RFBs to develop realistic fisheries and aquaculture policies by suggesting standards and best practices that will realize benefits such as food security, employment and income;
- provide appropriate guidance on how to implement reforms for fisheries and aquaculture development; and
- help facilitate regional collaboration and integration in shared fisheries and aquaculture resources management.

### 3.2 PFRS Policy Areas

In view of the sectoral challenges and opportunities outlined earlier, the following policy arenas are prioritized as requiring reforms for enhancing the sector's contribution to socio-economic development of the continent. The policy arenas and the proposed strategic actions are the aggregate of several activities, including national and regional assessments for generation of evidence and a series of consultative processes (sequentially described in the parent PFRS document), conducted mainly at continental level.

The following are the policy areas of PFRS:

#### **POLICY AREA 1: CONSERVATION AND SUSTAINABLE RESOURCE USE**

**Policy objective:** To establish national and sub-national governance and institutional arrangements that ensure that the societal contribution generated by Africa's sectors have the greatest impacts at the most appropriate level.

#### **POLICY AREA 2: SMALL-SCALE FISHERIES DEVELOPMENT**

**Policy objective:** To improve and strengthen the contribution of small-scale fisheries to poverty alleviation, food and nutrition security and socio-economic benefits of fishing communities.

#### **POLICY AREA 3: SUSTAINABLE AQUACULTURE DEVELOPMENT**

**Policy objective:** To jumpstart market-led sustainable aquaculture through a variety of strategies and, where appropriate, support interventionist development approaches in aquaculture by strong strategic and implementation plans.

#### **POLICY AREA 4: RESPONSIBLE AND EQUITABLE FISH TRADE AND MARKETING**

**Policy objective:** To harness significantly the benefits of Africa's fisheries and aquaculture endowments through accelerated trade and marketing.

#### **POLICY AREA 5: REGIONAL AND SUB-REGIONAL COOPERATION**

**Policy objective:** To strengthen South-South (bilateral and regional) cooperation, and develop coordinated mechanisms among RECs, RFBs and LME-based commissions to ensure coherence of fisheries policies and aquaculture development and their adoption and adaptation.

#### **POLICY AREA 6: AWARENESS ENHANCING AND HUMAN-CAPACITY DEVELOPMENT**

**Policy objective:** To increase awareness of the potential and importance of the sector and enhanced capacity of people and institutions in the African fishery sector to ensure the sustainable development of capture fisheries and aquaculture based on current and emerging trends, challenges and needs.

#### **POLICY AREA 7: HIGH SEAS FISHERIES**

**Policy objective:** To increase and consolidate the African Voice in the governance and management of high seas fisheries.

#### **POLICY AREA 8: CROSS-CUTTING ISSUES**

This policy area has three dimensions which include resilience to climate change; gender and youth; and private sector investment.

## **a. Strengthening Resilience and Reducing Vulnerabilities to Climate Change in African Fisheries and Aquaculture**

**Main objective:** To address the sector's climate change and disaster risks in an integrated and holistic manner at the political level.

## **b. Gender and Youth**

**Main objective:** To include knowledge-based gender and youth considerations in policies, laws and plans.

## **c. Private Sector Investments and Financing Mechanisms for Fisheries and Aquaculture in Africa**

**Main objective:** To improve the financial services offered to SMEs in the fisheries and aquaculture value chains.

## 4. GUIDING PRINCIPLES FOR THE IMPLEMENTATION OF THE PFRS

Implementation of the reforms will be the joint responsibility of government ministries, departments or agencies in-charge of fisheries, donor agencies, technical institutions and other sector stakeholders. Effective implementation will require strong cooperation, collaboration, coordination and investment across a range of entities based on a visionary, sequencing and participatory approach and guided by the following principles:

### ***Adoption of a process approach in implementation:***

The PFRS is not a panacea for every MS; however it presents a blue print for facilitating successful sectoral management and development. Realism, flexibility and pragmatism must be key considerations in implementing reforms. Member States and regional institutions, based on relevant information and diagnosis, must develop and implement relevant interventions in response to opportunities identified and constraints which need to be overcome.

### ***Prioritization:***

The focus must be on the realistic attainment of specific objectives in line with national or regional priorities. Implementation of reforms is expected to be non-linear.

### ***Consultation, Cooperation and Participation:***

Effective consultations for decisions that may affect them must take place with stakeholders in order to obtain their views and informed consent for decisions that may affect them. Participatory decision-making must be vested at the lowest possible decentralized level and the inputs and support of those who could be affected by decisions taken into account. Institutional linkages must be established with other line ministries or agencies and partnerships and collaboration promoted between the private sector, international organizations, NGOs and CSOs.

### ***Equity and equality:***

Decision-making processes must be inclusive, fair and transparent, non-discriminatory to women, vulnerable and disadvantaged groups and subject to clear and consistent rules and procedures.

### ***Scalability:***

Activities, wherever possible, must be designed to be suitable for use at different scales, for example at local and national scales and regionally. Scaling must be attained by replication (in different places), and by modification and adaptation of initiatives for different contexts.

### ***Sustainability:***

Application of the precautionary approach and risk management will guard against undesirable bio-ecological and socio-economic outcomes.

### ***Accountability:***

States and non-state actors must be held responsible for their decisions and actions.

### ***Self-development:***

Policy frameworks are of little value in the absence of operational plans, supporting political will and financial resources. Governments must provide the enabling environment for stakeholders (of the sector) to contribute to the sustainable use and economic viability of the fisheries and aquaculture sector.

## 5. CRITERIA FOR ALIGNMENT OF NATIONAL AND REGIONAL POLICIES AND STRATEGIES TO THE PFRS

The realization of the objective of the reforms in the fisheries and aquaculture sector in Africa will only be achieved through the domestication and the implementation of the provisions of PFRS at national and regional levels. This therefore requires that national and regional fisheries policies, legislative frameworks and strategies be consistent with the PFRS for coherence in sector management. This section describes criteria that should be used to check the consistency of national and regional policies and strategies to the PFRS. The criteria and indicators have been grouped by policy areas consistent with the PFRS. Some repetitions may be found, but these are necessary to show how the policy areas are interlinked.

### 5.1 *The Process of Formulating the Criteria and Indicators*

The AU-IBAR, in collaboration with NPCA and AUC-DREA, set in motion a process of developing criteria and indicators that would make it easy for the implementations of the PFRS by AU member states, Regional institutions and development partners. Accordingly, expert and the continent-wide consultations were organized in Kampala, Uganda; Nairobi, Kenya and Abidjan, Cote D'Ivoire with purpose of formulating a consensus-based criteria and indicators for alignment of national and regional fisheries and aquaculture policies to the PFRS. The main achievements of these consultative processes were the development of criteria and indicators as well as the mechanism for implementation of the policy framework and reform strategy for fisheries and aquaculture in Africa which together constituted the document on Guide for the Implementation of the Policy Framework and Reform Strategy for Fisheries and Aquaculture in Africa.

The Expert Consultative Meeting on Development of Criteria and Indicators for Alignment of National and Regional Fisheries and Aquaculture Policies to the Policy Framework and Reform Strategy for Fisheries and Aquaculture in Africa at Kampala, Uganda (20-22 May 2015) examined and explored the PFRS and subsequently identified and formulated relevant criteria for aligning the national and regional policies to the Pan African Policy document.

Consequently a group of experts from the Working Groups of the African Fisheries Reform Mechanism further refined and harmonized the policy criteria and indicators for PFRS alignment at a Retreat held in Nairobi from 13 -15 June 2015. The retreat refined the Criteria and Indicators from the Kampala meeting. The summary of the outcome of this retreat constituted Draft Guide for implementation of the PFRS presented at the Think Tank Validation Workshop in Abidjan.

Finally, the Think Tank Validation Meeting for the criteria and indicators for Alignment of National and Regional Fisheries and Aquaculture Policies to the Policy Framework and Reform Strategy for Fisheries and Aquaculture in Africa as well as to Global Fisheries and Aquaculture Instruments was organized by AU-IBAR in collaboration with NEPAD Agency with the support from European Union in, Abidjan, Cote d'Ivoire from 9 to 12 of July, 2015. The meeting reviewed and subsequently validated the criteria to facilitate alignment of national and regional policies to policy areas in the PFRS and the indicators as tracking tools to monitor the progress of implementation of the PFRS by MS and REC's.

The outcome of these interactive consultations are put together to form **A GUIDE FOR THE IMPLEMENTATION OF THE POLICY FRAMEWORK AND REFORM STRATEGY FOR FISHERIES AND AQUACULTURE IN AFRICA.**

## THE CRITERIA AND INDICATORS FOR ALIGNMENT AND IMPLEMENTATION OF THE PFRS

### I. POLICY AREA: CONSERVATION AND SUSTAINABLE RESOURCE USE

#### **OUTCOME 1: *Policies, frameworks and tools in place to sustainably increase national benefits from fisheries and aquaculture***

To sustainably increase the contribution of fisheries to poverty reduction, food security and economic growth in AU MS, the sector should be governed by policies and strategies that are coherent with national, regional and continental development strategies and that are informed by internationally accepted best practices as contained in various regional, continental and international instruments.

##### ***Criteria for alignment***

- *Fisheries and aquaculture are mainstreamed into national development plans ensuring adequate finance and a conducive regulatory environment for investment*

This parameter envisages the inclusion of fisheries and aquaculture priorities in the national and regional agricultural investment plans through the CAADP process and/or into national and regional natural resources management plans and other national development plans in order to increase allocation of national budgets to the sector.

- *Globally accepted best practices integrated into national policy frameworks and tools*

The ratification and implementation of provisions of international instruments on sustainable management of fisheries is an important indication that policies are sensitive to accepted Best Management Practices (BMP) in fisheries and aquaculture.

- *Policy and management decisions are made based on the existence of reliable data and information management systems*

Evidence-based policy and management decision making should depend on the availability of reliable and valid data and information on the fishery resources and related activities. This entails the existence and implementation of mechanisms such as those for stock assessments, socio-economics, vulnerability surveys etc.

- *Adoption of participatory fisheries management mechanisms/approaches*

Policy, strategy and management decision making process should be inclusive; therefore national policies should provide de jure space for the active participation of community and other stakeholders in the decision making process.

#### **OUTCOME 2: *Effective and sustainable national and regional Monitoring, Control and Surveillance (MCS) systems in place to ensure that sustainable benefits are realized***

National and regional policies and strategies should provide the basis for integrated monitoring, control and surveillance of fishery operations including the catching, transporting, processing and marketing sectors. They should provide for information sharing between national agencies and between countries in order to both pool information and to verify information. Mechanisms for joint operations and actions should also be provided for.

##### ***Criteria for alignment***

- *National fisheries agencies have all aspects of MCS in place and functioning*

There should be adequate strategies and mechanisms to support integrated MCS to ensure that countries can monitor and enforce fishery regulations in their waters.

- *Mechanisms in place for efficient and effective regional cooperation on fisheries MCS*

National and regional policies and strategies should provide the basis for regional cooperation and information sharing to support joint actions against illegal operators in the fisheries sector.

**OUTCOME 3: Healthy ecosystems to support sustainable fisheries and aquaculture**

National and regional policies should include objectives on environmental, socio-economic and biological sustainability. They should also promote integrated research activities in the sector that support trade-offs in the attainment of management targets for biological as well as socio-economic sustainability in fish stocks.

**Criteria for alignment**

- *Scientific research (natural, social, economic and technological) that support fisheries management and aquaculture development in place*

There should be a functional mechanism in place to link research to fisheries management and aquaculture development.

- *Tools and programmes in place to protect fishery resources and their habitats*

National and regional policies and strategies should provide a comprehensive approach to fisheries protection.

## II. POLICY AREA: SMALL SCALE FISHERIES DEVELOPMENT

**OUTCOME 1: Role and importance (contribution) of fisheries for improved livelihoods, food and income of small scale fishing communities and related operators are evident, recognized and secured in Member States.**

National and regional policies should have targets that demonstrate the contribution of the sector to economic growth, rural income and employment as well as security of tenure for land, fisheries and forestry in fishing communities.

**Criteria for alignment**

- *Mechanisms and strategies highlight the economic and social importance of small scale fisheries development*

There should be reports at national and regional levels on studies that illustrate the value of the various subsectors (small-scale, industrial fisheries, processing etc.) as well as employment generated by sectors preferably disaggregated by gender and age.

- *Mechanism and strategies to unlock and unleash potentials of the sub-sector to generate socio-economic benefits are in place*

Existence of programmes such as infrastructure development (e.g. fish landing and receiving facilities), market facilities.

- *Ensure a system to facilitate organized value chain development in order to effectively derive the benefits from the small-scale fisheries.*

Programmes to strengthen the capacity of stakeholders' organizations in the sector, support to advocacy strategy for inclusiveness in decision-making. Capacity building of stakeholders along entire value chain, finance and business management, small and medium enterprise development etc.



- *Small Scale Fisheries prioritized in National Agricultural Investment Plans (NAIP), Poverty alleviation documents and National strategy documents, etc.*

This is in line with the recommendation of the Code of Conduct for Responsible Fisheries (CCRF) that fisheries should be integrated within wider poverty reduction national policies.

## **OUTCOME 2: *Bilateral and regional cooperation for effective management of shared fishery resources and ecosystems is strengthened***

Most coastal fish resources straddle in adjacent EEZs and hence become shared fisheries resources for neighbouring coastal states. Especially in inland water bodies, the challenges to fisheries management are transboundary in nature and these may include IUU, habitat degradation, and weak monitoring for exploitation of shared stocks. National and regional policies should thus provide for regional cooperation on issues such as combating IUU, harmonized data collection systems and minimum access conditions, and pollution abatement, inter alia.

### **Criteria for alignment**

- *Adoption and implementation of Regional and intra-regional minimum terms and conditions for access*

Policy provision for Regional Minimum Terms and Conditions (MTCs) for granting fishing access in order to contribute to a sound and coordinated fisheries resources management and empower States to engage with Distant Water Fishing Nations (DWFNs) for enhanced development and security of economic returns from the shared resources within their national jurisdiction, while ensuring resource sustainability.

- *Mechanisms in place for efficient and effective regional cooperation on fisheries management, including MCS, migratory and shared stocks*

Provision in the policy for effective participation of States and Regional institutions to facilitate collaboration mechanisms on efficient regional MCS to combat IUU and development of African positions on issues such as optimizing benefits from exploitation of Tuna and Tuna-like species, promoting implementation of rights based fisheries management (RBFM), fostering regional collaboration for shared fish stocks management and fish trade-related agreements among others.

## **OUTCOME 3: *Fishers are organized to foster good fisheries governance, sustainable development and responsible use of natural resources***

The low level of organization and weak capacity (human resources, access to finance) of small-scale fishers in most countries in Africa has hindered their participation in decision-making in fisheries governance systems on the continent. National and regional policies and regulations should include provisions on the roles of fishers and fisher-folk organizations in fisheries management.

### **Criteria for alignment**

- *International Guidelines for Securing Sustainable Small-scale Fisheries are appropriately applied.*

Policies provide for States to endorse, ratify and domesticate the FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication.

- *Capacity of fisheries stakeholders and institutions for participatory management of the fisheries are developed and nurtured.*

Building the capacity of stakeholders and institutional strengthening are important and should be entrenched in the policies. These developed capacities should be reflected in the decision-making and policy formulation processes of the sector.

### III. POLICY AREA: SUSTAINABLE AQUACULTURE MANAGEMENT

#### **OUTCOME 1: *Improved market-led aquaculture investments***

National and regional policy and strategy on aquaculture should adopt the value chain approach in aquaculture systems and link production to consumption, environment and safety. National and regional policy and strategy on aquaculture should adopt the value chain approach, encompass all systems of production and link production to consumption, environment and safety.

#### ***Criteria for alignment***

- *Markets (awareness creation, PPPPs – Price, Place, Promotion and Product)*

Inclusion of market campaigns for aquaculture products with a close watch on quality assurance and availability and diversity of market information and prices on the public arena. In addition, include market infrastructure (access routes, cold chain development, market improvement and development), value addition by promoting innovation to improve shelf life and diversification of products.

- *Aquaculture infrastructure*

Provision of measures for states to provide basic infrastructure for aquaculture development such as roads, electricity to fish farming areas, water, schools, hospitals and telecommunication and radio network systems including aquaculture infrastructure for production and feed manufacturing and other aquaculture equipment as well as accessibility to aquaculture sites.

- *Financing/investment strategy*

There should be provision for the promotion of financial instruments such as guarantee funds, micro-credit institutions and through the non-financial private sector investments. There should also be financial frameworks and incentives to aquaculture including tax holiday, tax rebates, minimum of one year moratorium on loan repayment and subsidies. Other frameworks should include insurance regimes for aquaculture.

- *Quality assurance and standards*

There should be provision for aquaculture product labelling and traceability through certification programme for good aquaculture practices. These should be supported by appropriate legal framework while in harmony with other instruments within the region. There should be quality control infrastructure and training for certification processes.

- *Skills development plan*

Provision in the policy for aquaculture development plan and strategies to appropriately address competencies and skills development. Skills development plans should embrace entrepreneurship at all levels with an elaborate certification framework to link skills enhancement from technical vocation to tertiary.

- **Research and Extension Services**

Research should be provided adequate funding to enhance technology development and innovation. Research into breeding, introduction of new aquaculture species, feed development and other areas is still fundamental for aquaculture development. Private sector extension service providers including support to internships should be encouraged.

- **Fish farmers associations or cooperatives**

There should be an institutional framework to allow Fish farmers associations and cooperatives to flourish.

- **Enabling environment**

There should be provision of policy and institutional framework as well as one stop shop to facilitate registrations and investments by the private sector.

- **Growth in trade of locally produced aquaculture products**

There should be protection of aquaculture products from imported products. Programs to increase competitiveness of locally produced aquaculture products.

## **OUTCOME 2: Improved regional cooperation in shared ecosystems**

AU member states and regional institutions need to accommodate policy provision in accordance with Code of Conduct for Responsible Fisheries (CCRF) and PFRS for the protection of transboundary aquatic ecosystems by supporting responsible aquaculture practices; cooperation in the promotion of sustainable aquaculture practices in accordance with international regulations, globally, regionally accepted best practices; and development of appropriate mechanisms to monitor the impacts of inputs used in aquaculture.

### **Criteria for alignment**

- **Common strategies on management and research on transboundary resources**

Provision for existence of harmonized coherent policies, institutional and legal frameworks for aquaculture shared ecosystems. There should be a regional office or institution that monitors, documents and provide database on transboundary resources.

- **Consistency with best ecosystems management approaches (e.g. FAO EAF EAA, CCRF)**

Integration of the FAO 1995 CCRF with EAA principles into National Instruments. There should be provision for transboundary disease control and monitoring and invasive species monitoring.

- **Conformity with accreditation mechanisms**

Inclusion of Best Management Practices (BMPs) required for certification and standardization for sustainable aquaculture practices in the policies.

## IV. POLICY AREA: RESPONSIBLE AND EQUITABLE FISH TRADE AND MARKETING

### **OUTCOME 1: *Improved intra and inter regional trade***

Address the constraints related to certification, standardization, capacity, policies for promoting intra-regional and inter-regional fish trade.

#### ***Criteria for alignment***

- *Compliance with agreed regional trade protocols and regulations*

Entrench mechanisms that address the underlying factors deterring regional trade at REC and domestic levels.

- *Coherence of fish trade policies with other policies*

Ensure that specific fish trade policies are in line with other policies and regulations that support trade.

- *Compliance with sanitary standards and market requirements*

Ensure that products conform to international sanitary standards trade requirements e.g. WTO.

### **OUTCOME 2: *Increased competitiveness for African fish and fishery products***

National and regional trade policies should provide enabling environment to support the fisheries sector (capture and farmed) ensuring efficiencies, value addition and application of globally and regionally accepted best social and environmental practices.

#### ***Criteria for alignment***

- *Economically efficient fisheries sector*

Ensures that fisheries are sustainably managed and supported by appropriate infrastructure and prudent macroeconomic management.

- *Standards and supportive technology*

Infrastructure, such as National fisheries quality control laboratory for standardization of fishery products is in conformity to international guidelines for certification of fishery products meant for export and local consumption. There should be an accredited competent authority.

- *Competitiveness through increasing value chain efficiencies*

Inclusion of appropriate pricing conditions for value addition across value chain segments including safety and quality requirements, market-led measures, eco-labelling, and certification.

- *Coherence of trade policies (harmonization)*

National trade policies should be coherent and harmonized at sub-regional or regional levels. Conversely sub-regional and regional trade policies should aligned to national policies.

- *Consumer Information*

Ensure that that there is symmetric information between buyers and sellers to map out market distortions due to information asymmetry.

## V. POLICY AREA: REGIONAL AND SUB-REGIONAL COOPERATION

### **Outcome 1: *International fisheries issues at regional levels are coherent and harmonized***

Fisheries management is generally conducted within a global context underpinned by international instruments and conventions, which include UNCLOS, UNFSA, PSMA, among others. National and regional instruments should therefore at best be consistent with international fisheries issues contained in relevant provisions of these global documents. Thus regional policies should take into consideration provisions of the PFRS and the global instruments to ensure coherence and consistency.

#### **Criteria for alignment**

Review of existing and drafting of new regional instruments and processes on fisheries and aquaculture are informed by the PFRS:

- *Entrench awareness of important international instruments for sustainable fisheries management and frameworks that identify the need for their domestication in realizing sustainable fisheries management.*

Regional fisheries organization's strategy documents should be aligned with globally accepted best practices.

- *PFRS policy options reflected in international policy instruments*

Ensuring revisions of aspect of international instruments recognize and incorporate provisions of the PFRS.

- *PFRS act as a reference in international policy influence including existing and upcoming policies*
- Ensuring that provisions of PFRS are recognized and reflected in new international policies.

- *Transparency, accountability and effective participation of stakeholders are hallmarks of RECs and RFBs in Africa*

Provision should be made for application of Elements of Good Governance in the identification, engagement and participation process of relevant stakeholders in regional fisheries and aquaculture.

### **OUTCOME 2: *RECs and RFBs are positive forces for fisheries management within the framework of regional economic and political integration agenda***

At regional level there should be a functional mechanism for cooperation between the RECs and RFBs as fisheries are shared resources in nature; regional integration agenda should provide for harmonization of policies and management measures at regional level

#### **Criteria for alignment**

- *Mechanisms for linkages between REC's and RFB's exist*

Need for a strong partnership between REC's and RFB's to facilitate regional integration.

- *The role of REC's and RFB's as vehicles to promote fisheries and aquaculture is defined*

REC's and RFB's are the recognized entities mandated to promote and develop fisheries and aquaculture at regional level. The roles and values of fisheries and aquaculture are defined as important sources of social and economic development.

- *Strategies and Mechanisms for preventing and resolving regional conflicts are in place*

Anchor modern principles of fisheries management including recognition of rights of different fishers and rules to avoid conflicts between different fisheries.

## **VI. POLICY AREA: AWARENESS ENHANCING AND HUMAN CAPACITY DEVELOPMENT**

### **OUTCOME 1: *Enhanced sectoral competencies and proficiencies***

The intentions to improve the quality of life for the fishing and fish farming communities by developing policies, frameworks and skills programme in fisheries management, sectoral analysis and aimed at enhancing management competencies, renewing and diversifying the natural resource base effective management and sustainable resource utilization.

#### ***Criteria for alignment***

- *Continuous professional education, mentorship and training*

Provision for facilitating continuous awareness and enabling environment to seize and utilize opportunities for sectoral development (such as formal training requirements development of adequate and up-to-date syllabus and curriculum for programs in fisheries and aquaculture studies, organizational strengthening (leadership, training and management).

- *Accreditation of practitioners and institutions*

Entrenching mechanisms that ensure appropriate human capacity development and institutional strengthening of personnel and institutions of fisheries and aquaculture.

Facilitate centres of excellence of fisheries and aquaculture.

### **OUTCOME 2: *Improved evidence based decision making***

Data collection priorities and processes for fisheries management and aquaculture development at national and regional levels should be predicated on a consistent approach through appropriate research and data collection strategy to ensure that evidence-based decision making is embedded within the fisheries management system.

#### ***Criteria for alignment***

- *Information based policy decision making*

Provision for strengthening the fisheries data management for adequate planning and decision making processes.

- *Information sharing between policy makers and policy consumers*

Networks and platforms for development of skills, knowledge base and information sharing targeting policy makers.

- *Responsive to real community needs*

Provision of improved enabling conditions in fish producing communities to enhance competence in taking advantage of opportunities and overcome challenges.

## VII. POLICY AREA: HIGH SEAS FISHERIES

### **OUTCOME 1: Greater African Voice in high seas fisheries**

Increasing and consolidating the African Voice in the governance and management of high seas fisheries. This will substantially enhance the benefits accruing to the Member States associated with exploitation of high seas resources. This entails instituting mechanisms to coordinate the African position in international fora.

#### **Criteria for alignment**

- *Effective participation of African states in international deliberations, meetings, etc and increased access to high seas fisheries.*

Ensure participation of African countries in international conventions to improve their capacity to understand and implement the provisions.

- *Strengthen alignment of donor and partner effort with PFRS.*

Existence of a mechanism for donor coordination at continental and regional mechanism.

- *Alignment to and co-ordination of development partners' efforts with PFRS strengthened*

Provision should be made in the policy for states to be guided by the principles and provisions of the PFRS in establishing relationship and engagement with donors and partners. The existence of guidelines for implementation of PFRS.

### **OUTCOME 2: Increased participation and benefits for MS in high seas fisheries**

A strategy in place to harness significantly the benefits of Africa's fisheries through a mechanism that promotes effective and wider participation and investment for high seas fisheries.

#### **Criteria for alignment**

- *Increased access to high seas fisheries*

Provision should be made in the policy to ensure high seas resource exploitation by MS, including appropriate local fleet development strategies.

- *Accrued benefits to concerned MS increased*

Existence of programmes and strategies to increase investment for economic value addition (such as harbour) that accrue significant revenues, sustainable resource utilization and equitable distribution of fisheries benefits among Member States.

### **OUTCOME 3: Active participation of MS in RFMOs processes and agenda**

Arrangements in place to strengthen the capacity of member states for active participation and contribution in meetings of RFMOs with regard to issues such as quota allocation processes, benchmark for issues such as formation of resolutions, compliance, inter alia, including also making significant inputs to revisions of conventions and agenda of meeting of RFMOs.

#### **Criteria for alignment**

- *Cooperation for high sea fisheries management.*

There should be provision to facilitate management decisions for active roles in facilitating intergovernmental cooperation for issues relating to high seas fisheries management.

## VIII. POLICY AREA: CROSS CUTTING ISSUES IN AFRICAN FISHERIES AND AQUACULTURE

### A. Strengthening resilience and reducing vulnerabilities to climate change in African fisheries and aquaculture

#### **OUTCOME 1: Adaptive capacity and resilience at the local level built**

A programme for human resources and institutional capacity development and awareness creation for climate adaptation and disaster risk management should be available in fishing communities. Fisheries management systems should incorporate provisions for community empowerment programmes such as alternative livelihoods and early warning systems in place, as a forecast to disaster.

#### **Criteria for alignment**

▪ *Capacity building programme on climate smart fisheries*

Policy provision to promote capacity building in the sector for enhanced knowledge base, information sharing and skills in programmes on climate change.

▪ *Communication systems- Participatory Climate Change (CC) and Disaster Risk (DR) vulnerability assessment and aquaculture development*

There is need for policy provision to address the communication dynamics and ideologies involving decision making for well-equipped capacity to facilitate appropriate participatory process structures and strategic to address and assess CC and DR vulnerability.

▪ *Facilitate the creation of alternative livelihood*

Opportunities should be available for at least temporary shifting to alternative occupation in the event of shocks (and other management measures pointing to stock recovery) in the fisheries and aquaculture sector.

▪ *Early warning system in place as a focus for disaster*

Mechanism should exist at national and regional levels for early warning systems as a strategy for enhancing preparedness of stakeholders.

#### **OUTCOME 2: Policy coherence and coordination at the national and regional levels improved**

#### **Criteria for alignment**

▪ *Disaster risk management (DRM) and climate change Adaptation (CCA) policies include fisheries and aquaculture.*

Policy should aim to develop a strategy and action plan for integrating disaster risk management (DRM) and climate change adaptation (CCA) relating to fisheries and aquaculture with the National and Regional Plan of Action on DRM and CCA.

▪ *Fisheries and aquaculture policies include DRM and CCA*

The resolutions of international instruments, conventional principles and guidelines practices and approaches to mitigate effects of disaster risk management (DRM) and climate change adaptation (CCA) relating to fisheries and aquaculture should be appropriately accommodated and reflected in the national and regional policies.



## B. Gender and Youth

### **OUTCOME 1: *Increased access to resources***

Application of appropriate tools such as Customary Marine Tenure (CMT) and Territorial Use Rights in Fishing (TURFs) in developing the capacities of producers and operators including women and youth for improved, effective and wider participation in sector activities in fisheries and aquaculture.

#### **Criteria for alignment**

- *Access to suitable land, water and capital*

Policies and interventions aimed at attracting women and youth should address key barriers and constraints to entry and access to land and water and other productive resources for fisheries and aquaculture investments.

- *Security of investment and access rights and ownership*

Policy provisions for the system to ensure security of investments and create market certainty for long-term investments including tenure that is tradeable with strong property right. Customary and traditional rights issues were raised.

### **OUTCOME 2: *Improved working conditions***

The labour laws should include standards and regulations related to fisheries and aquaculture sector

#### **Criteria for alignment**

- *Realistic standards of practice as detailed by International Labour Organization*

Provision for compliance with national and international labour laws and fishers and fish farmers rights.

- *Women, youth and vulnerable groups needs are addressed*

Provision of a safer and more conducive working environment for women, youths and the vulnerable.

- *Consistency with national and international labour laws and fishers rights.*

Policy provision for comprehensive compliance with national and international labour laws and fishers rights.

## C. Private Sector Investments and Financing Mechanisms for Fisheries and Aquaculture in Africa

### **OUTCOME 1: *Improved enterprise performance within the fisheries and aquaculture sector.***

Provisions in the policies should seek to provide financial support program for the development of the commercial fisheries and aquaculture sector. This will foster the growth of sustainable enterprises that ensure improved profitability, diversification and versatility.

### **Criteria for alignment**

- *World Bank ease of doing business index*

Compliance with WB for creating an efficient and inclusive ethos for enterprise and business in the interest of improved performance of the fisheries and aquaculture industry such as aquaculture enterprise permit, permits for electricity and doing the paperwork for exports and imports aquaculture products.

- *Global competitiveness report of World Economic Forum*

Conformity with the Global Competitiveness Report of World Economic Forum (WEF) which assesses the competitiveness landscape of economies, drivers for productivity and provide a platform for dialogue between government, business and civil society about the actions required to improve sectoral economic prospect.

- *World Bank Fisheries Performance indicators*

Alignment with the WB Fishery Performance Indicators (FPIs) which is a broadly applicable and flexible tool for assessing performance in individual fisheries and for establishing cross-sectional links between enabling conditions, and management strategies.

- *Awareness of diversity of business structures*

Provision for awareness creation that enable practitioners and enterprise owners of the various organizational structures available to them and structured to equitably spread along the fisheries and aquaculture value chain.

### **OUTCOME 2: Improved private sector governance**

The policy, legal and institutional frameworks component need provisions that work towards the establishment of areas specific for enhanced private sector governance and management plans in the fisheries and aquaculture and building institutional capacity for their implementation.

### **Criteria for alignment**

- *Consistency with industry best practices*

Polices need consistent and efficient structure that enables effective and well-documented best practices measures while also maintaining strict legal compliance such as a guide that provides basic information on reforms for fisheries and aquaculture sectors to ensure sound and effective development, environmental sustainability, economic profitability and social responsibility.

## 6. INDICATORS FOR MONITORING IMPLEMENTATION AND PERFORMANCE OF THE PFRS

### 6.1 Indicators to monitor the implementation of the policy framework

These are mainly process indicators used to measure progress in the processes of change. They are used to investigate how something has been done, rather than what has happened as a result.

### 6.2 Indicators to assess the fisheries reform and performance of the PFRS at national and regional levels

Performance indicators are measures of project impacts, outcomes, outputs, and inputs that are monitored during project implementation to assess progress toward project objectives. They are also used later to evaluate a project's success.

## I. POLICY AREA: CONSERVATION AND SUSTAINABLE RESOURCE USE

### Indicators to monitor the implementation of the policy framework

- *Fisheries and aquaculture prioritized in national development plans:* To ensure that issues of fisheries and aquaculture are embedded in CAADP Compacts, National Agriculture and Food Security Investment Plans (NAFSIPs), Regional Agriculture Investment Plans (RAIPs) and other agricultural and fisheries strategies.
- *Percentage of national budget allocated to fisheries and aquaculture (recurrent and development):* Used to monitor compliance to the 10% allocation to agriculture as committed by the Heads of State and Government in Maputo 2003 under the CAADP framework and recommitted by the Heads of State and Government in Malabo, 2014.
- *Existence of investment conducive regulatory frameworks for the fisheries and aquaculture sectors:* To ensure that policies and institutional and legal mechanisms exist to encourage and facilitate domestic and foreign investment for sustainable development in the fishery sector.
- *Best Fisheries Management (BFM) tools introduced (User rights, RBM, Ecosystem Approach to Fisheries/Aquaculture (EAF/EAA), Co-management etc.):* to ensure best practices in fisheries and aquaculture management are incorporated in policies, such as taking into account knowledge and uncertainties about ecosystems (which includes humans), and strives to balance society goals; and ensuring stock sustainability.
- *Existence of functional institutionalized mechanisms for mutual accountability and peer review:* to ensure that all actors take responsibility in the implementation of the policy framework, share information to support the implementation and are transparent in the way they conduct themselves.
- *Existence of decisions, policies, research, programmes and tools in the fisheries and aquaculture sector informed by scientific evidence:* to ensure that the decision making process is informed by clear evidence and regular data collection and research activities are in place.
- *Readily and publically available system for allocation of fishing access/rights, vessel license list etc.:* to ensure wide stakeholder participation in fisheries by reducing unnecessary barriers and ensure public access to information regarding license list, license fees, vessel register and registration procedures, access rights, inter alia.

- *Existence of consultative and co-management mechanisms:* Fisheries, being a public good are non- excludable and non-rival, and thus need to be co-managed by wider participation and regular consultations. This ensures that there are common efforts to control, protect and bear liability for damage.
- *Reflection of participatory mechanisms in the policy and legal frameworks:* this ensures that the citizenry and other stakeholders are institutionalized to be part of the policy and decision making processes that affect the fisheries sector.
- *Fisheries management plans informed by science:* this ensures logical decision making process that is well supported by evidence.
- *Periodic stocks and ecosystems status reports produced:* this ensures that stakeholders are aware of the fish stock size, status of exploitation and of the ecosystem and are able to make informed decisions about the management of fisheries and ecosystems.
- *Annual statistical, economic and social reports on fisheries and aquaculture:* this ensures that appropriate data and reports are available frequently for use by stakeholders.
- *Appropriate tools in place e.g. MPAs, EAF, EAA, technical and economic management easures (e.g. seasonal closures, zoning, spatial planning, taxes, indigenous knowledge etc.):* ensures the availability of technical control measures that support structured protection of fishery resources from being overfished and habitat degradation.
- *Appropriate programmes in place e.g. Coastal zone management, pollution control, CC adaptation, blue growth initiative, by-catch controls, MCS etc.:* ensures the availability of programmes that support integrated management of coastal resources, including fisheries, associated habitats and pollution controls.
- *Availability of stock rebuilding and alternative livelihoods plans:* ensures continued availability and sustainability of fish stocks though alternative programmes such as aquaculture, agriculture, other enterprises etc.
- *National MCS Systems:* this ensures that there are;
  - Effective and sustainable MCS systems are operating.
  - Specialized unit dedicated to MCS covering all water bodies functioning.
  - Adequate institutional frameworks in place to support integrated MCS.
  - National vessel registers and fishing license lists publically available.
- *Regional MCS Systems:* this is to ensure that;
  - Regional protocols are in place to support regional cooperation in MCS.
  - Regional mechanisms for cooperation and cooperative actions are in place e.g. regional observer programmes, regional patrols, regional VMS.
  - Regional dedicated units/task forces to coordinate regional cooperation in information and intelligence exchange exist.
  - Regional registers for vessel registration and fishing licenses exist.

## II. POLICY AREA: SMALL SCALE FISHERIES DEVELOPMENT

### Indicators to monitor the implementation of the policy framework

- *Specific policies and legal framework supporting small scale fisheries*: ensures that policies and regulations are part of the mechanisms to unlock potentials of the small-scale fisheries sector.
- *SSF visible and prioritized in PRSP, CAADP, National investments frameworks, national CCA documents etc.*: used to monitor the prioritization of small scale fisheries in NAFSIPs; PRSPs, poverty alleviation documents and other national strategy documents.
- *Minimum terms and conditions exist and are implemented*: used to monitor bilateral and regional cooperation for effective management of shared fishery resources.
- *Existence of transboundary water body authorities and RFBs*: ensures that transboundary water body authorities and RFBs exist as part of mechanisms for efficient and effective regional cooperation on fisheries management.
- *Existence of harmonized policies and legal frameworks*: ensures that harmonized policies and legal frameworks exist as part of mechanisms for efficient and effective regional cooperation on fisheries management of coastal resources.
- *Existence of bi- and multilateral fisheries agreements*: ensures that bi- and multilateral fisheries agreements exist as part of mechanisms for efficient and effective regional cooperation on fisheries management.
- *Elements of the Guide in national policies*: ensures that elements of the provisions of the International Guidelines for securing sustainable small-scale fisheries are embedded in national policies.
- *Fishing communities and fish-workers have decent working conditions, live with dignity and realize their rights to livelihoods (level of education, provision of health services, social protection mechanism; access to alternative livelihoods etc.)*: this monitors protection of human rights of small-scale fisherfolks, their safety at seas, their fishing areas, also whether fishing communities are able to leverage the benefits from fishing to make significant improvements in the attainment of basic livelihoods.
- *Existence of capacity building programmes at national and regional levels*: this monitors whether capacity is being built for fisheries stakeholders and institutions for their empowerment to ensure effective participatory management of the fisheries.
- *Existence of fishers organizations/associations*: this monitors whether fisheries organizations and associations exist for participatory management of the fisheries.
- *Availability of appropriate vocational institutions*: this monitors whether appropriate vocational institutions are available to enhance participatory management of the fisheries.

## Indicators to assess the fisheries reform and performance of the PFRS at national and regional Levels

- *Per capita consumption of fish and fishery products*: this is the average consumption of fish and fishery products per person within a population.
- *Level of annual income of the fishing communities*: the total yearly income reported by fishing communities.
- *Level of annual employment in the small scale fisheries sector*: intended to monitor yearly employment generated by the small-scale fisheries sector.
- *National fisheries expenditure (% of fisheries value added)*: Used to monitor compliance to the 10% allocation to agriculture as committed by the Heads of State and Government in Maputo 2003 under the CAADP framework and recommitted by the Heads of State and Government in Malabo, 2014.
- *Percentage of small-scale fisheries in comparison to national fisheries expenditure/income*: The percentage contribution of small-scale fisheries to total national fisheries expenditure / income can indicate improved performance of the small-scale fisheries subsector.
- *Percentage of post-harvest losses*: The reduction in post-harvest loss is a good of improved performance or reform of the sector.

### III. POLICY AREA: SUSTAINABLE AQUACULTURE MANAGEMENT

#### Indicators to assess the fisheries reform and performance of the PFRS at national and regional Levels

- *Change in value derived from aquaculture*: used to monitor monetary benefits accruing to engagement in aquaculture.
- *Proportion of aquaculture contribution to agricultural/ national GDP*: used to monitor the contribution of aquaculture to national income.
- *Change in conflicts occurrence*: used to monitor stability of the sector regarding shared ecosystems.
- *Change in production levels*: used to monitor whether production is decreasing, static or increasing.
- *Change in disease incidence*: monitors reduction or increase in disease occurrence.
- *Change in environmental integrity*: monitors whether aquaculture is practiced sustainably.

## IV. POLICY AREA: RESPONSIBLE AND EQUITABLE FISH TRADE AND MARKETING

### Indicators to assess the fisheries reform and performance of the PFRS at national and regional Levels

- *Intra-regional trade share*: Intra-regional trade as a percentage share of the region's total trade (regional total imports plus regional total exports):
- *Growth in trade of fish products from sustainable and equitable sources*: Percentage change in value of trade of fish products from sustainable and equitable sources relative to the previous year.
- *Trade growth*: percentage change in the value of total trade relative to the previous year. Increased number of countries implementing international sanitary standards and quality requirements.
- *Growth in transition from informal trade to formal trade*: Number of fisheries and aquaculture enterprises transitioning into formal trade relative to the previous year;
- *Change in FCI ranking*: The Fisheries Competitiveness Index (FCI) identifies factors that affect the competitiveness of the fish industry within different countries. The index allows authorities within each country to identify where action should be taken to improve competitiveness in its fish industry.

## V. POLICY AREA: REGIONAL AND SUB-REGIONAL COOPERATION

### Indicators to monitor the implementation of the policy framework

- *Proposals tabled by African group in international processes*: Integrated MCS systems in place; this ensures that the African group is able to contribute, through common proposals, to the coherence and harmonization of international fisheries issues.
- *African positions recorded in meeting proceedings*: this ensures that the African group is able to contribute through common positions to the coherence and harmonization of international fisheries issues and recorded in proceedings.
- *Ratifying, adopting and complying with international conventions and instruments*: this ensures that the African group is able to contribute through ratification and adoption of conventions, to the coherence and harmonization of international fisheries issues.
- *Regional policies adjusted or reviewed in line with the PFRS*: this ensures that stakeholders are able to participate in the review of regional policies in a transparent, accountable and effective manner.
- *RECs and RFBs review national policies in line with regional integration agenda*: this ensures the active participation of RECs and RFBs in the review of regional policies in a transparent, accountable and effective manner.
- *NSAs involved in regional/national thematic taskforces on issues (e.g. aquaculture, IUU, trade etc.)*: Fisheries management (regional shared stocks and national levels); this ensures the active participation of NSAs in fisheries and aquaculture issues in a transparent, accountable and effective manner.

- *Agreements (e.g. MOUs) for technical cooperation between RECs and RFBs; between RFBs:* this monitors specific steps towards the role of fisheries and aquaculture in regional and political integration.
- *Fish included as a regional trade commodity:* this monitors the placement of fish as a critical commodity in international trade by national and regional institutions in Africa.
- *Regional arrangements for fisheries access (e.g. MTC for FPA):* this monitors the regional arrangements that facilitate fisheries access.
- *Existence of regional mechanism (tribunals) for arbitration which includes fisheries and aquaculture issues:* ensures minimization of regional conflict that may affect effective management of fisheries at regional levels.
- *Regional strategies for migration fishermen:* ensures the development of regional strategies as a way for preventing and resolving regional conflict related to migration of fishermen.
- *Demarcation areas (Inshore Exclusion Zones):* ensures the conservation of fish stocks and protection of small-scale fisher-folks and as a strategy for preventing regional conflicts.

## **VI. POLICY AREA: AWARENESS ENHANCING AND HUMAN CAPACITY DEVELOPMENT**

### **Indicators to assess the fisheries reform and performance of the PFRS at national and regional Levels**

- *Change in the level of competency and proficiency:* monitors levels of competence and proficiency of the stakeholders in the sector.
- *Change in operational costs:* monitors efficiency in operations of the sector.
- *Per capita labour productivity:* measures the amount of goods and services produced by each member of the labour force or the output per input of labour.
- *Change in the effectiveness of policy outcomes:* monitors improved evidence-based decision making.
- *Existence of diversity of source of policy inputs:* monitors levels of information produced, knowledge sharing and utilization.
- *Existence of scientific and management informed decisions:* monitors the ability to use data, information for effective decision-making.
- *Existence of centres of excellence for fisheries and aquaculture:* monitors the number of centers of excellence in existence for sectoral development.
- *Change in recruitment and retention of people:* monitors reduction in job mobility within fisheries and aquaculture sector.



## VII. POLICY AREA: HIGH SEAS FISHERIES

### Indicators to monitor the implementation of the policy framework

- *Common positions developed on high seas fisheries:* this ensures the effective participation of African States in international conventions and access to high seas through the development of common positions on high sea fisheries.
- *Donor programmes and portfolio aligned with PFRS:* this ensures that programmes of developing partners and portfolios are in line with the PFRS.
- *Increased AU MS fleet in High seas fisheries:* This monitors the progression of number of fleet owned by AU member states participating in High seas fisheries.
- *Increased returns from high seas fisheries (fees, port and ancillary services):* this monitors the benefits accruing to Member States in terms of returns from high seas fisheries.
- *Quota allocation criteria:* This intends to monitor whether information on quota allocation is available and helps what and how decisions can be made regarding the information on quota allocation to stakeholders.
- *Proposals sponsored by AU MS and adopted in RFMO's meetings:* this monitors the proposals tabled by participating MS for adoption in RFMO's processes and agenda and recorded in meeting proceedings.
- *Increased membership of African countries in RFMOs:* this ensures measures the level of membership MS to RFMOs and their active participation in RFMOs processes and agenda.

## VIII. POLICY AREA: CROSS-CUTTING ISSUES IN AFRICAN FISHERIES AND AQUACULTRE

### A. Strengthening Resilience and Reducing Vulnerabilities to Climate Change in African Fisheries and Aquaculture

#### Indicators to monitor the implementation of the policy framework

- *Initiatives and programmes to strengthen community resilience are in place (Early warning systems, Access to public and private insurance, harvest strategy, insurance scheme, capacity development and community empowerment, funding opportunities etc.):* this ensures the building of adaptive capacity and resilience at the local level through relevant initiatives and programmes.
- *Strengthening value approach (local conditions respected) and diversifying fisheries and other products:* this ensures the building of adaptive capacity and resilience at the local level through value chains and mechanism suitable to their (community) conditions (value approach).
- *A platform for knowledge management and information sharing linked to AU disaster risk management strategy (DRR):* this ensures the building of adaptive capacity and resilience at the local level through linking platforms for knowledge management.

- *Availability of financial resources for CCA and DRM:* ensures that resources are available for development and implementation of DRM and CC policies for the improvement of coherence and coordination at national and regional levels.
- *No. of NAPAs and national plans that include fisheries and aquaculture:* this ensures policy alignment with PFRS to support coherence and coordination at national and regional levels.
- *No. of RECs with CCA and DRM strategy and plans that include fisheries and aquaculture:* this ensures participation of RECs in policy coherence and coordination processes with particular reference to CCA and DRM.
- *No. of NAIP with Climate smart fisheries and aquaculture:* this ensures participation of countries in implementation of agricultural policies with emphasis on climate smart fisheries and aquaculture.
- *No. of FM plans that incorporate CC A and DRM:* this ensures that FM plans are consistent with the PFRS by including issues on CCA and DRM.

## **B. Gender and Youth**

### **Indicators to assess the fisheries reform and performance of the PFRS at national and regional Levels**

- *Proportion of women and youth accessing and utilizing resources:* monitors effective and equitable participation of women and youth in fisheries and aquaculture.
- *Change in value (USD) of assets owned by women and youth:* monitors benefits accruing to women and youth regarding ownership of assets.
- *Proportion of women and youth owned enterprises:* monitors benefits accruing to women and youth regarding ownership of enterprises.
- *Change in productivity:* monitors changes in labour productivity related to activities of women, youth, and vulnerable groups.
- *Change in gender based violence occurrences:* monitors gender-based violence that may destabilize the operations, labour productivity and efficiency of the sector.
- *Change in worker's health status:* monitors the health status of women, children and other vulnerable groups to assess improved working conditions.
- *Change in school enrolment among fish producing communities:* monitors school attendance of the fishing communities.
- *Change in child labour:* monitors level of compliance with international labour law on child labour.

## C. Private Sector Investments and Financing Mechanisms for Fisheries and Aquaculture in Africa

### Indicators to assess the fisheries reform and performance of the PFRS at national and regional levels

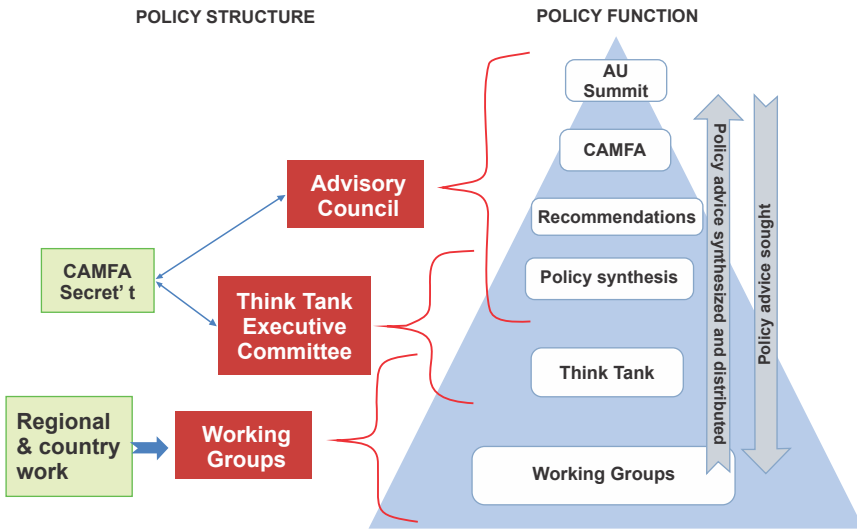
- *Change in absolute indices score and relative ranking:* monitors improvement in enterprise performance using indices such as World Bank Ease of Doing Business.
- *Change in business models:* monitors innovation through diversity of business models.
- *Change in number of entrants:* monitors enterprise performance of the sector by checking the number of entrants the sector attracts.
- *Change in return on investments:* monitors returns on investment by the private sector.
- *Change in associated economic activities:* monitors improvements in economic activities associated to improved private sector governance.
- *Change in number from small to medium scale operation:* monitors growth, improvement and expansion of fisheries and aquaculture investments.

## 7. IMPLEMENTATION MECHANISM AND ROLES OF INSTITUTIONS

### 7.1 The African Reform Mechanism

The mechanism for implementation of the PFRS will be facilitated within the framework of the African Fisheries and Reform Mechanism (AFRM). The AFRM is an African Union platform that was endorsed concurrently with the PFRS by the 2014 Summit of Heads of States and Government (HSG) in Equatorial Guinea.

### African Fisheries Reform Mechanism



The PFRS implementation guide provides guidance with respect to the implementation of the provisions of the PFRS by member states and regional institutions as well as monitors the success in the fisheries and aquaculture sector engendered by the reforms impacted by the PFRS and other initiatives. The guide therefore contains criteria for alignment as well as indicators as tracking tools to measure extent of alignment as well as impact of reforms.

### 7.2 Facilitating implementation of the PFRS

#### Working Groups constituted as PFRS Implementation Expert Pools

To enhance the capacity of member states and regional institutions to implement the PFRS, there is a need for analysis of the existing policies and strategies for identification of gaps vis a vis the PFRS. Within the framework of the AFRM, there are provisions for continental and regional working groups. The African Union has established seven continent-wide groups for various issues in the fisheries and aquaculture sector. The regional working groups are yet to be constituted but may be constituted by RECs to support their member states within the RECs respective domains. A core group of experts would be constituted from the AU WGs (and later the RECs WGs) as expert pools to support member states with the process of PFRS implementation.

## **Reporting progress of implementation**

The AFRM has a CAMFA Secretariat which is located within AU-IBAR. The primary responsibility of this organ is to monitor the implementation of CAMFA Decisions, liaise with national, regional institutions and development partners. The CAMFA Secretariat would monitor the progress of implementation of the provisions of the PFRS at two levels; the constituted pool of experts would report directly to the CAMFA Secretariat on outcome of the national and regional policies whilst the Departments responsible for fisheries and aquaculture would report to the CAMFA Secretariat on the progress of implementation of the PFRS. The same mechanism would be adopted for the RECs where these institutions would also report progress on implementation to the CAMFA Secretariat.

Through the Advisory Council of the AFRM, the alignment donor interventions with the PFRS would be discussed and monitored through that council which has representatives of donors. The Advisory council would establish a forum for donor coordination in the fisheries and aquaculture sector.

## **7.3 Institutional Roles**

### **Member States**

The primary responsibility for implementing the PFRS lies with the Member States. The ministry, department or agency in-charge of the sector in each country will regulate, promote, support, guide, and coordinate the implementation of reforms through broad consultative processes with other stakeholders. Based on the provisions of the PFRS, the MS formulate better practices and ensure fishers, farmers and operators receive the technical guidance and advisory services on better practices. Member States and regional institutions must encourage donors to consider the priorities outlined in the PFRS when examining country, sector and regional priorities.

### **Regional Institutions**

The RECs, in cooperation with RFBs, should finance priority actions in the PFRS and in concert with RFBs and such other arrangements coordinate and deliver programmes on region-wide needs of common interests. The RECs should strengthen cooperation and human capacity building in participating Member States by, for example constituted regional Working Groups as Expert Pools, to provide technical back-stopping to MS. These regional working groups should be linked to the continental WG within the AFRM.

### **Development Partners**

Donors have a critical role to play both in facilitating reforms and in creating the institutional conditions to ensure the benefits of appropriate policies and reforms highlighted in the PFRS are sustained. They should align their interventions with the PFRS as recommended by CAMFA II.

### **NGOs, CSOs and CBOs**

The NSAs should develop and implement public awareness campaigns and demonstration actions on specific issues as well as facilitate multi-stakeholder activities and events such as round table discussions, engaging the public and private sector.

### **African Union**

The role of the AU in the implementation of the PFRS would primarily be to monitor the progress of each Member State in the implementation of the PFRS and reporting to CAMFA.







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