

# Report of the Regional Training of Trainers Workshop for Mentors

Held as part of the project

*Strengthening Caribbean Fisherfolk to Participate in Governance*



**November 19-22, 2013**

***Saint Lucia***

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## 1 Introduction

The Caribbean Natural Resources Institute (CANARI) facilitated the first regional training of trainers workshop for mentors, as part of the project “Enhancing food security from the fisheries sector in the Caribbean: Building the capacity of regional and national fisherfolk organisation networks to participate in fisheries governance and management”<sup>1</sup> This project, funded by the European Union Europe Aid Program<sup>2</sup>, is being implemented over a four year period (2013 - 2016).

The project is being implemented by CANARI in partnership with the Centre for Resource Management and Environmental Studies (CERMES) of the University of the West Indies (UWI) and Panos Caribbean, in association with the Caribbean Network of Fisherfolk Organisations (CNFO) and the Caribbean Regional Fisheries Mechanism (CRFM).

The goal of the project is to improve the contribution of the small-scale fisheries sector to food security in the Caribbean through building the capacity of regional and national fisherfolk organisation networks to participate in governance.

The project spans 17 Caribbean countries: Anguilla, Antigua and Barbuda, the Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Montserrat, Saint Lucia, St. Kitts and Nevis, St. Vincent and the Grenadines, Suriname, Trinidad and Tobago and Turks and Caicos Islands.

This report of the regional training of trainers workshop for persons who were nominated to serve as mentors to fisherfolk leaders and organisations provides an overview of the objectives, methodology, highlights and main findings from sessions, and next steps. It will serve as a reference for the mentors as they seek to develop close working relationships with the mentees to provide the sustained and responsive support needed for the development of the fisherfolk organisations. The workshop was held in Saint Lucia from November 19 - 22, 2013.

## 2 Objectives of the workshop

The objectives of the workshop were for persons proposed by fisherfolk leaders from the participating countries and project partners to serve as mentors in their locations (hereafter called ‘fisherfolk mentors’) to:

- understand about key principles for participatory fisheries governance and management;
- become aware of key capacity needs to support Caribbean fisherfolk to play an effective role in fisheries governance and management;
- understand about mentoring roles and key competencies needed;

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<sup>1</sup> <http://www.canari.org/cm2.asp>

<sup>2</sup> [http://eeas.europa.eu/delegations/guyana/index\\_en.htm](http://eeas.europa.eu/delegations/guyana/index_en.htm)

- gain knowledge about and practice application of approaches and tools for mentoring fisherfolk organisations on development of their organisations in the areas of strategic and operational planning, financial management, fundraising and structures, policies and processes for good governance;
- know more about the positions of Caribbean fisherfolk on key global and regional policies and how these affect small scale fisheries, fisherfolk livelihoods and food security;
- obtain knowledge about and practice application of approaches and tools for mentoring fisherfolk organisations on networking and communication for policy influence; and
- establish a strategy for mentoring the fisherfolk organisations in the respective countries.

### **3 Participants**

Nineteen mentors from 17 countries and five resource persons participated in the fisherfolk mentors' workshop. The mentors were drawn from public and private sector agencies, fisherfolk organisations, civil society organisations and academia, while the resource persons were representatives from the partner agencies (CANARI, CNFO, CRFM and UWI-CERMES). The list of participants is shown in Appendix 1.

### **4 Methodology**

The approach to delivering the workshop was participatory and interactive, using a variety of facilitation techniques such as plenary presentations and discussions, brainstorming, small group work, panel discussions and a field trip. Throughout the various sessions, the facilitators sought to draw on participants' knowledge and experiences. A field visit to Laborie was undertaken to conduct a practical mentoring exercise with FFO representatives from Saint Lucia, using an organisational needs assessment approach. The presentation slides and brainstorming and small group work outputs are provided in the body of the report and at Appendix 2.

### **5 Highlights from sessions**

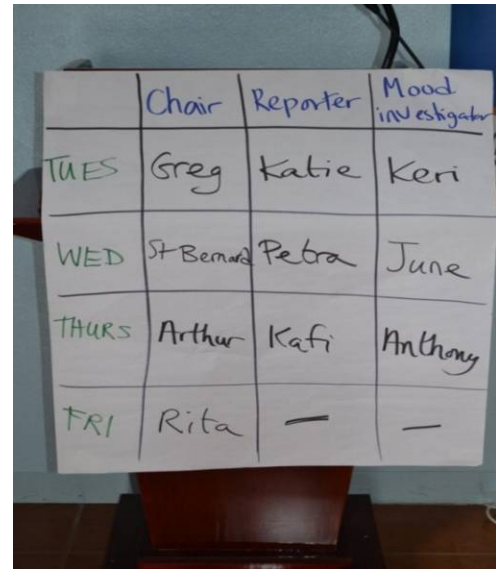
#### ***5.1 Welcome, introductions, agenda***

Mr. Terrence Phillips, CANARI's *Coastal and Marine Governance and Livelihoods* Programme Manager, welcomed participants to the workshop, noting the diversity of the group drawn from various public and private sector organisations from across the CARICOM region, who had come to improve their mentoring skills in order to assist the leadership of fisherfolk organisations in building their capabilities for fisheries governance and management. Participants were then asked to introduce themselves by name, organisation (if any) and experience in providing

support to CSOs/stakeholder organisations. Participants shared their mentoring/coaching experiences as noted below:

- Training / capacity building in microfinance
- Capacity building of youth groups for biodiversity conservation
- Working with fisherfolk as part of managing MPA
- Roped in as part of cooperative, and became part of the Board
- Supporting community groups
- Providing technical assistance and advice
- Capacity building for rice farmers and fisherfolk
- Engaged in fisheries extension
- Developing fisherfolk cooperatives.

The participants and facilitator reviewed the agenda (Appendix 3) and logistics for the workshop, established ground rules for the conducting of the sessions and solicited volunteers for the roles of chair, reporter and mood investigator over the four days of the workshop (Figure 1).



	Chair	Reporter	Mood investigator
TUES	Greg	Katie	Keri
WED	St Bernard	Petra	June
THURS	Arthur	Kafi	Anthony
FRI	Rita	—	—

Figure 1. Chart showing workshop roles

## 5.2 Key principles for participatory fisheries governance

During an interactive session using slide presentations and open discussions, the term ‘participatory fisheries governance’ was broken down (Presentation 1 Appendix 2). Fisheries were described as dynamic systems that not only involved fish but fisherfolk and others too, and participants were urged to consider the entire fishing and marketing process or value chain i.e. ‘from boat to throat’.



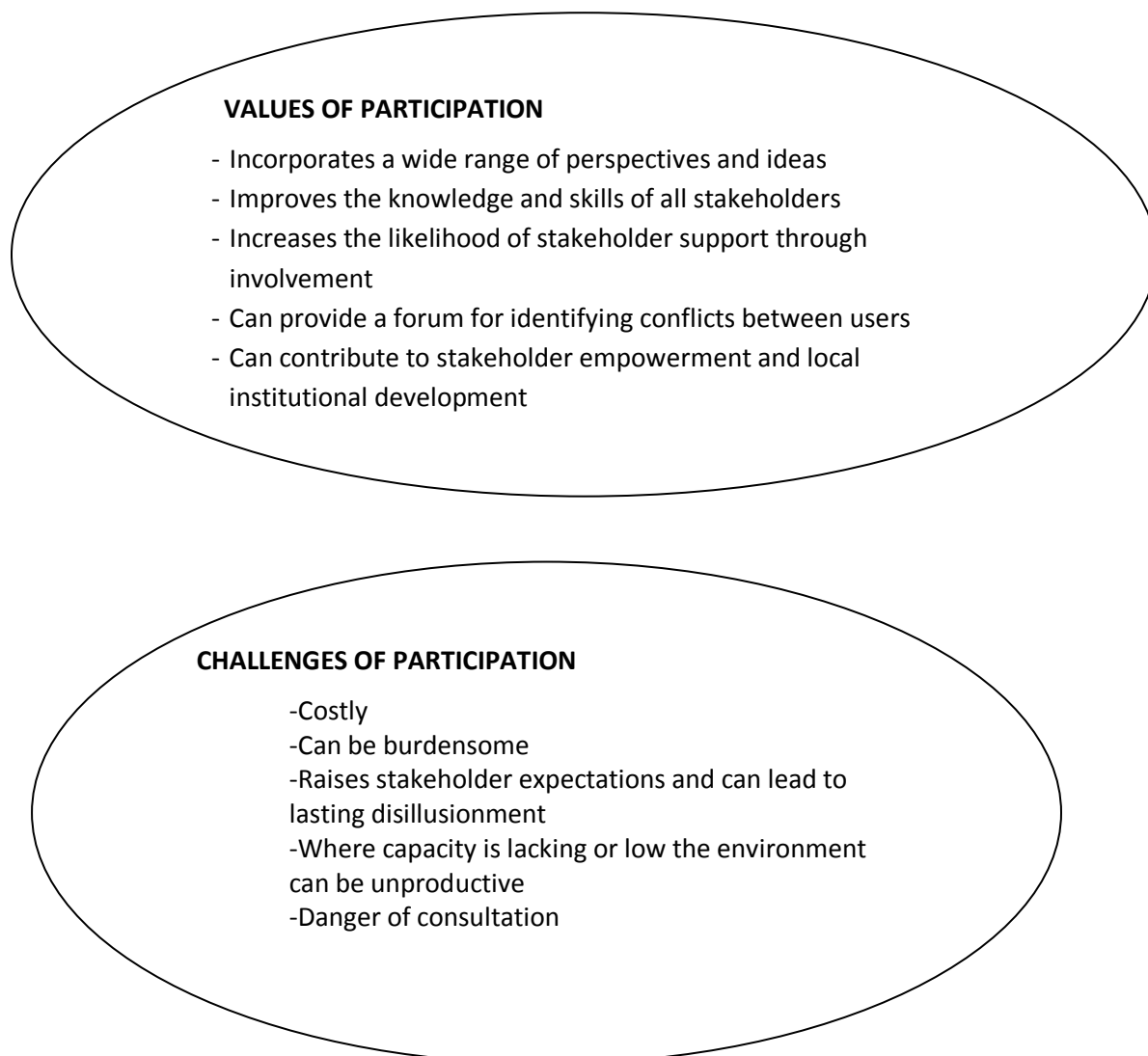
Figure 2. Mentors Glenn Clarke and Latoya Farina at the participation wall

In small groups of 3-4 persons, mentors discussed what participation meant. Each group listed three words that represented “participation” on notepaper. All the papers were gathered and arranged into clusters based on similarity on a wall (Figure 2).

Participants voted on the key principle (bolded) that best illustrated participation in each cluster:

1. Physical and mental involvement, To be an active part of, Active - **Involvement**
2. Sharing ideas, Sharing, Team work or working together - **Team work**
3. Engagement, Engaging, Interaction, Understanding - **Interactive**
4. To be a part of, Been part of, Make a valuable contribution to - **Ownership**

Facilitators reviewed what had emerged from the mentors as the values and challenges of participation (see Figure 3).



*Figure 3. Values and challenges of participation*

Mentors pondered on the values of participatory fisheries management and governance and discussed the associated challenges.

The consensus among participants was that if fisherfolk were not shown benefits of participation it would be difficult to engage them. Mentors reflected on existing challenges to participatory fisheries governance in the Caribbean as detailed below:

- Capacity to manage is often low
- People do not see fishing as a business
- Hard to convince non-fisherfolk that fishing is worth it and important
- Fisherfolk organisations are not getting support
- Conflicts exist between coastal land uses, and they impact upon fisheries
- There is conflict among fisherfolk – nobody wants to work together
- Fisherfolk were stereotyped as being “indisciplined”
- The fishing industry is not cohesive
- Fisherfolk are not saving from their earnings
- Management and control of fishing by state authorities is weak
- Political will of government is too weak to build the fishing industry into “one to be reckoned with”.

The continuum of participation in natural resource management was introduced using the co-management of the sea egg fishery in Barbados as an example for providing the framework to involve fisherfolk in managing the fishery. This case illustrated a situation where engaging fisherfolk in fisheries governance helped to build confidence, encouraged ownership and created a shift to a more “bottom-up” approach to fisheries management despite several lingering limitations to progress.

In a plenary discussion about factors that shape participation, mentors identified the following practical challenges to participation:

- If we cannot show value to fisherfolk of participation then we won’t get involvement.
- Economic and social contributions are not well documented, as without being able to present revenues/earnings and number of jobs provided it would be difficult to fully understand the importance of the sector.
- Tourism appropriates the value of the fisheries sector, and fisheries stakeholders need to address this.
- Perception of fisherfolk as low level, poor, smelly workers has to change. Need to change that mind-set and perception.
- Government authorities need to take lead on improving data collection, economic analyses, etc.

Participants were urged to think of buying into processes for influencing fisheries governance as an investment. The following practical points were reinforced:

- It doesn’t end when we catch fish: “*boat to throat*” consideration
- Involving people is current best practise

- Governance sets context
- Participation in fisheries is a means not an end
- Participation is not a placebo
- Power and responsibility are important

The session concluded that if we don't have participatory approaches to fisheries management and governance we have a problem.

### 5.3 Introduction to the Strengthening Fisherfolk to Participate in Governance project and its mentoring component

The facilitator gave an overview of the project on Strengthening Caribbean Fisherfolk to Participate in Governance, highlighting the target group, goal, developmental and implementing partners, specific objectives and activities (Presentation 2 Appendix 2), achievements and mentors component, so participants could obtain a better appreciation for the regional workshop for mentors and the role the mentors would play in project delivery.

Mentors were identified as being critical to the achievement of the project's objectives, especially for objectives (ii) building capacity of FFOs and (iii) enhancing communication within and between FFOs. Mentoring in the scope of the project was then defined as *providing direct support and guidance to FFOs to become effective partners in fisheries governance at the regional and national levels.*

A mentor diagram (Figure 4) was presented to show participants the dynamic functions a mentor performs to contribute to success. The mentors opined that they had already been practising mentoring without labelling it as such.



Figure 4. Mentor diagram

Source: <http://www.totalinnovationgroup.com>

In plenary discussions following the presentation, the following comments were made.

- Jamaica experience: Fisheries were not being recognised in Jamaica. Tourism seemed to be more beneficial to the economy.
- Belize experience: In Belize fisherfolk co-operatives were well organised and were able to provide good fisheries data which helped to inform management decision-making.

Participants recognised that fisherfolk participation varied widely in the Caribbean and saw the exchange of ideas as an opportunity to learn from cases where FFOs were working well. Participants also noted the following ways forward:

- Make fisheries managers understand that good data collection is important; otherwise we have nothing to present to policy makers.
- If fisherfolk are strong they will be in a better position to engage fisheries managers, tourism board, ministers, etc.

Facilitators described how fisherfolk are increasingly being brought to the policy table, so there is a strong need to provide them with the skills to speak informatively. Mentors were urged to take the lead in national workshops, to bring the government departments on board and engage them at a technical level.

#### ***5.4 Priorities for capacity building to support Caribbean fisherfolk to participate in fisheries management and governance***

The needs assessment, completed in August 2013, was reviewed. This had as its purpose to identify the gaps that exist in the capacity of the fisherfolk organisations in the region to participate in governance in the fishing sector at both the national and regional levels.

The priorities for capacity building at the national and regional level for internal governance, financial sustainability, communication, relationships and needs at the local, national and CNFO levels were highlighted, and participants began a discussion on existing areas for capacity building of the FFOs in their countries:

- National Fisherfolk Organisation (NFO) in Jamaica:
  - Primary fisherfolk cooperatives' challenges were monitored on a weekly basis and action taken to assist e.g. take over administration of the cooperative for a few months and address problems (e.g. install computers and train people, remove persons) then hand back over
  - Lessons:
    - Work in partnership with cooperative division
    - Conduct very regular monitoring to identify problems
    - Have credibility, mandate and capacity to step in to address problems.
- Belize experience:
  - Worked to organise membership – have about 400 members
  - Developed partnership with government and NGOs – very collaborative –

- contributes to self esteem of fisherfolk to speak up at meetings – environment conducive to participation
  - Got help from government with marketing – exporting lobster, conch, fish
  - Lobby government
  - Hold quarterly meetings with members and AGMs to share information and find out what are their needs.
- Barbados National Fisherfolk Organisation (BARNUFO):
  - Internal governance workshops – experience that when focused interventions on writing plans (strategic, short term) the benefits were short term.
  - Lessons:
    - took on too much
    - few people involved and it was a challenge to engage others as well as spread skills to others who weren't involved
    - planning was not continuing.
- St. Kitts and Nevis experience:
  - Challenge for voluntary leadership roles to be sustained. There is the need for funding for administrative costs and also need to put systems in place for continuity.
- St. Vincent (mainland) experience:
  - There were a few dominant individuals in the organisations and so others were marginalised. There is need to coach and give them opportunities to get involved and feel ownership.

Mentors recognised just how much work there was to be done. The eight countries selected to host national workshops were mentioned (Anguilla, Barbados, Dominica, Grenada, Jamaica, Saint Lucia, St. Vincent and the Grenadines, and Suriname), and mentors from those countries were urged to start planning national workshops. It was anticipated that the field trip experience would help mentors to develop agendas for national workshops since the needs assessment would highlight core organisational weaknesses and the capacities required to address them and to engage in policy influencing.

### **5.5 Introduction to mentoring**

Participants were introduced to the activity and skills of “mentoring” (Presentation 3 Appendix 2) and were asked to name some characteristics associated with the term “mentor”. The following words were noted:

*Advice, Move, Supervise, Provision, Learning, Train, Caring, Talk, Sharing, Change, Teacher, Example, Trust, Coaching, Inspire, Guidance, Support, Love, Motivate, Embrace, Everything*



Figure 5. Mentoring is many things flip-chart. Mentors take pride in their body map drawing.

Participants formed small groups (of five to six people) and worked together to do a ‘body-map’ exercise in which they created drawings of the ideal mentor. Participants were challenged to be creative and original in their representations as no words were allowed in the representations (see Figure 5). Participants discussed the various capacities of effective mentors and rated their mentor capacities using an inventory provided (see Appendix 4).



Figure 6. Flipchart sheet showing differences between governance and management identified by participants

Many common features appear in mentor body maps:

- Heart – to symbolise caring nature
- Big ears- to symbolise good listening
- Many hats – to symbolise knowledge in several areas

Participants reflected on their own personal strengths and weaknesses and wrote down the capacities they wished to develop further as mentors e.g. self-management, motivation and balance.

### 5.6 Organisational development and good governance for fisherfolk organisations

Key areas for organisational development were reviewed. This led to an in depth discussion on governance and management. Participants brainstormed and decided that governance dealt with institutional frameworks and societal values while

management dealt with day-to-day operations (Figure 6).

The facilitator reviewed some key principles for good governance (Presentation 4 Appendix 2) and mentors shared their practical experiences with each principle:

1. Participation: engaging stakeholders

- Saint Lucia: Gros Islet fisherfolk invited fisherfolk from a neighbouring village to voice their concerns since they also had a stake in whether a conservation area was established.
- Belize: Fisherfolk are collaborating with NGOs to make decisions on how a marine resource is managed.
- Grenada: Fisherfolk are providing the technical expertise on where JICA funded FAD's are placed
- St. Kitts and Nevis: Consider the day/times when fisherfolk are available and provide refreshments to encourage good attendance.

2. Accountability: being answerable for decisions

- Reporting to membership at annual general meeting
- Holding boards accountable for decisions
- Working in harmonisation with regional fisheries organisations e.g. CRFM, CNFO
- Lack of accountability → lack of trust → low membership

3. Transparency: clear and open procedures for making decisions and exercising power

- Learn from other systems where reporting to members is working well

4. Integrity: acting impartially, ethically and in the interest of the organisation

- Ensure there is a system in place for identifying trustworthy leaders e.g. Belize
- Beware of the danger of corruption when boards have 2 or more members that are relatives e.g. St. Kitts and Nevis

5. Leadership: organising a group of people to achieve a common goal. What capacities do good leaders have?

- Beware that the person with the most power might not be the best to represent the FFO
- Think about creating a set of criteria for identifying good board members

6. Stewardship: enhancing value of assets and institutions

- Is stewardship a core value or is it something you afford once you have other things in place?

7. Efficiency: productive with minimum waste. How to make resources last?

- Take experiences from own life e.g. borrowing money, lending money, saving money and apply it to the FFO

Key elements of good management were considered and participants proposed other attributes not already listed, for example:

- Team work
- Passion
- Long term vision- look ahead and be able to adjust
- Flexibility/ adaptability
- Succession planning – plan for the replacement of leaders over time.

The roles performed by FFO boards were reviewed and mentors learned about the various functions a FFO board can and cannot perform (Table 1).

*Table 1. The "DOs and Don'ts" of board functions*

BOARD "DOs"	BOARD "DONT'S"
Engage with stakeholders	Engage in day-to-day operations of the organisation
Set policies for operations	Hire staff other than the chief executive
Ensure adequate resources i.e. resource mobilisation	Make detailed project or programme decisions



*Figure 8. Group of mentors and resource person reviewing the organisational needs assessment guidelines*

An Organisational Needs Assessment for NGOs approach was introduced (Presentation 5 Appendix 2), and participants formed five teams (of four to five people), based on their strengths and interests, to review and modify the various components in the Organisational Assessment for NGO's guidelines (Appendix 6). The results from this exercise, which were presented in plenary, are summarised in Table 2.

*Table 2. Summary of the suggestions and modifications for the Organisational Assessment for NGOs guidelines*

<b>Policies and control</b>	<b>BOARD activities</b>	<b>Leadership</b>	<b>Partnerships/Public relation Communication</b>	<b>Fundraising</b>
Group 1	Group 2	Group 3	Group 4	Group 5
<p>How is feedback obtained?</p> <p>Is there a regulatory framework?</p> <p>Are board meetings held on a timely basis?</p>	<p>What policies and mechanisms are in place?</p>	<p>Are there evaluation criteria for selecting leaders?</p> <p>What are the systems in place to facilitate succession?</p> <p>Are there mechanisms in place to ensure institutional memory?</p>	<p>Who are the existing partners?</p> <p>Who are the stakeholders?</p> <p>Is there a communication unit?</p> <p>What is the feedback mechanism?</p>	<p>Does the organisation have the authority to borrow?</p> <p>What are the challenges in fundraising?</p> <p>Is there any government funding?</p>

### **5.7 Positions of Caribbean fisherfolk on key global and regional policies**

The facilitator encouraged mentors to view fisheries policy as an opportunity to (1) understand and (2) engage fisherfolk in fisheries governance and management. Participants were provided information about current global and regional fisheries policies (Presentation 6 Appendix 2) and shared experiences.

The FAO Code of Conduct for Responsible Fisheries, a voluntary guide to sustainable fishing was discussed. Most participants were already aware of the code and its use. The mentors representing the Barbados FFO illustrated their experience producing a video of best fishing practices. They used the FAO code to further develop a customised “Consette Bay” code. All fisheries partners were involved in the very inclusive and collaborative review process.

The International Guidelines for Securing Small-scale Fisheries (SSF Guidelines) were discussed; however mentors were less aware of this instrument. The representative from CNFO set the

intention that for the upcoming FAO conference in February 2014; at least 6 Caribbean countries would attend and have a common position.

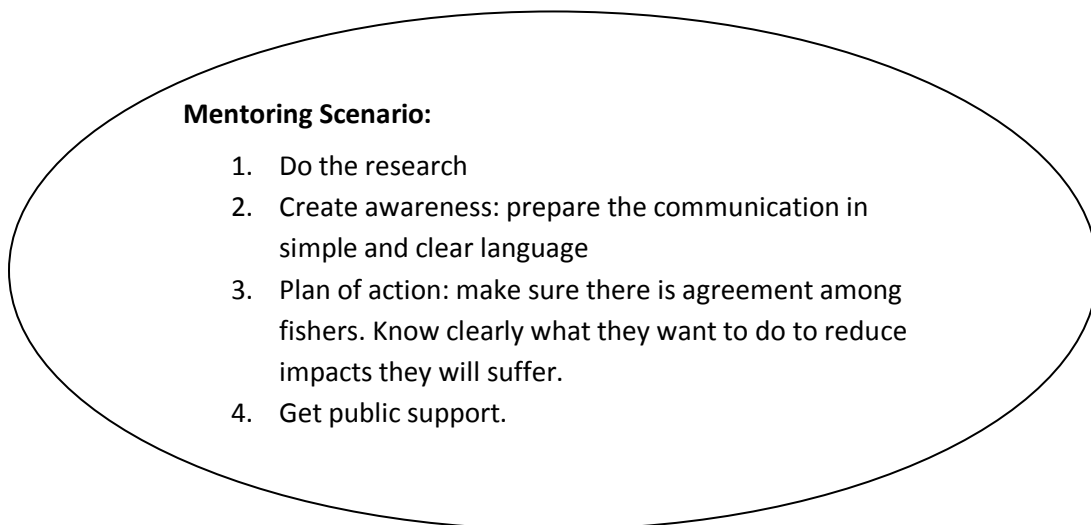
The global problem of Illegal, Unregulated and Unreported fishing was described and participants were made aware of the regional declaration on IUU fishing. CRFM countries had committed to preventing and reducing IUU fishing in July 2010, with the Castries Declaration in Castries, Saint Lucia.

Participants were asked to give examples of problems that FFOs in their islands were facing, and brainstormed possible mentoring scenarios in small groups (4-5 people).

**PROBLEM 1:** How to deal with compensation when fisherfolk were not formally organised?

**PROBLEM 2:** After Hurricane Sandy a boat was beached. Owners were away. What role can a mentor take in expediting removal, as well as address the damages sustained by the fishing vessels?

**PROBLEM 3:** A piece of land with an active fisheries landing site changed ownership. Fisherfolk felt threatened and removed the construction equipment.



*Figure 9. Mentoring scenario*

Facilitators outlined the following advice for mentors:

1. Mentors need to help fisherfolk to investigate an issue and collect all of the facts to understand all perspectives on the issue, so that fisherfolk can make an informed decision and take informed positions
2. Mentors need to be clear on mentoring role and what it means and where the boundaries are (e.g. not to act as representative)
3. Important for mentors to help fisherfolk to assess the results of decisions made and actions taken to determine what worked and what didn't – and need to document this

to ensure learning in the organisation.

The session concluded that as a mentor you don't solve problems, you enable people to solve their own problems.

### **5.8 Field Trip to practise mentoring**

Participants took a scenic bus-ride to the south of the island to visit the fishing village of Laborie for an interactive mentoring session with local fisherfolk and other representatives of fisherfolk co-operatives from around Saint Lucia (See Appendix 1 for participant list).

Fisherfolk and FFO representatives each described one major challenge they were facing, and facilitators helped to cluster issues based on similarity. Clusters were then classified by organisational need e.g. policy, communication, fundraising, etc., then fisherfolk together with mentors engaged in a short breakout session to address problems and start developing solutions (Figure 11).



*Figure 10. Practical mentoring session with fisherfolk in Laborie Saint Lucia*

Then, each group presented a brief summary of the breakout sessions: problems and solutions (Table 3 below). Participants from 17 countries realised that they shared similar issues and so the field trip provided an incredible opportunity to learn from one another. Fisherfolk commended mentors on their friendliness and mentors commended Saint Lucian fisherfolk on having already formed a co-operative to have “strength in numbers”.

Table 3. Summary of the problems identified and addressed in the working sessions

	Group 1	Group2	Group 3	Group 4	Group 5
Problem	Low interest by members	Inadequate vessel insurance	Lionfish invasion	Vandalism of fishing gears	Inability to purchase fishing wire at a fair price
Solution	<ul style="list-style-type: none"> <li>• Older fisherfolk can “adopt” younger fisherfolk.</li> <li>• Share successful co-op stories on ‘YouTube’</li> <li>• Bring message to schools</li> </ul>	<ul style="list-style-type: none"> <li>• Gather evidence of total damages</li> <li>• Put economic value to damages done</li> <li>• Present case for more comprehensive insurance package to insurance companies</li> </ul>	<ul style="list-style-type: none"> <li>• Encourage fisherfolk to harvest and market e.g. learn from the Belize experience</li> </ul>	<ul style="list-style-type: none"> <li>• Get evidence</li> <li>• Evaluate the damage</li> <li>• Get the word out</li> </ul>	<ul style="list-style-type: none"> <li>• Explore the option of networking cooperatives to benefit from bulk purchasing</li> </ul>

## 5.9 Effective networking and communication for policy

A brief presentation was made to introduce mentors to effective networking (Presentation 7 Appendix 2) since fishing enterprises are a network and a fisherfolk organisation is a collection of many such networks.

### Networking lessons:

- Important roles for a mentor
  - Maven role – knowledge sharing
  - Connector role – brokering a relationship between fisherfolk together with government agency
- Networks can evolve
- Networks of relationships are important to understand as they influence decisions and actions, so mentors need to:
  - Understand social networks of fisherfolk organisations
  - Understand the networks in the fishing industry to be able to advise fisherfolk
  - Identify key persons in the FFO network who influences others, though he/she may not be the official head
  - Build and strengthen relationships within the network in the FFO to enable collective action.

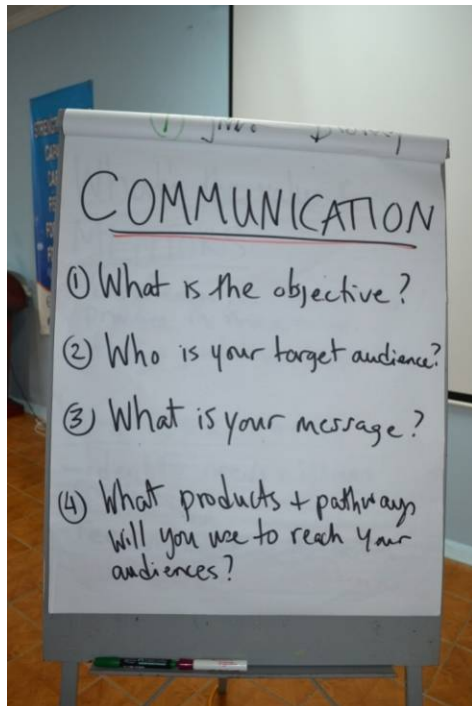


Figure 12. Flipchart sheet with questions to achieve effective communication

- National networks are effective when they bring together the network of PFOs
- CNFO as a regional network is effective when it brings together the network of NFOs.

Mentors were challenged to think about where they fit in their network. A brief presentation on communication for policy followed (Presentation 8 Appendix 2) which led participants through the steps of effective communication.

### Communication lessons:

- Be clear about what you are looking for
- Understand who are the players (network map)
- Design effective communication message: one sentence not a whole report
- What media pathway you choose has to be tailored for your target audience.

### **5.10 Debrief of field trip and analysis of lessons learned on mentoring**

The mood investigator commented on the field-trip to Laborie as being relaxed, friendly and insightful. A presentation on lessons learned on mentoring followed (Presentation 9 Appendix 2) and mentors briefly shared their experiences and facilitators and participants commented on the positive and negative behaviours displayed by the mentors.

#### **Mentors perspectives of field-trip:**

- Mentors need to be adaptive
- Fisherfolk have capacities in their field and this needs to be communicated to the public
- Essential to strengthen PFOs in order to have a strong NFO

#### **Mentors behaviours from field trip**

##### *Negative:*

- Mentors were attempting to represent the mentees, saying what they think, what they recognise, what their positions are
- Not providing opportunity for check-in
- Defending the position of their own organisations. Speaking as if coming in as an evaluator “we feel this FFO is well positioned to...” and “they seem well organised.”

##### *Positive:*

- Questioning
- Sharing experiences of others – giving new ideas
- Asking for whole group as a team to present
- Coaching – “do you mind telling them so we don’t tell any lie on you”
- Moderating/facilitating – “I am sorry that we were not entertaining any questions as the gentleman is presenting” – respect, deferring
- Providing "back-up" and guiding on what points to raise

### **5.11 Review of mentoring activities planned under the Strengthening Caribbean Fisherfolk to Participate in Governance project**

The TOR for mentors to support fisherfolk to participate in fisheries governance and management (Appendix 5) was reviewed and adopted by all participants.

The national workshops planned for December: Saint Lucia, Barbados, Jamaica, Dominica were noted and a tentative 2-day agenda was outlined:

- Day one: Problem identification and analysis, organisational needs assessment, plan for organisational strengthening.

- Day two: Matching problems with policy areas, identifying policy objectives, mapping people in policy networks, developing policy messages.

Mentors engaged in an evaluation of the completed workshop (Presentation 10 Appendix 2) and contemplated ways to stay in contact until the next regional mentors workshop scheduled for 2014/2015.

## 6 Evaluation

In general participants felt that the workshop built awareness of the importance of fisherfolk participation in fisheries governance, increased knowledge of the existing challenges being faced by Caribbean FFOs, and clarified the role of the mentor to guide FFOs through challenges in order to strengthen and empower FFOs. Mentors were pleased that they gained insight into conducting an organisational needs assessments with FFO representatives through a practical fieldtrip, but felt a longer session on fisheries policy would have been useful.

## 7 Next Steps

Mentors will:

- Find out how organisational strengthening can happen: identify capacity needs and develop a plan
- Prioritise and seek to address core issues
- Determine how best the mentor and/or project can assist
- Seek to work as a team with fisherfolk leaders in a country
- Consult with the executive of the NFOs in Dominica, Saint Lucia, Barbados, Jamaica, Anguilla, Grenada, St. Vincent and the Grenadines and Suriname to decide on dates for the respective national consultations and inform CANARI.

CANARI will:

- Make all workshop materials available to mentors by way of Dropbox
- Make a request to the CNFO for mentors to join their Yahoo group
- Provide a formal letter of introduction between mentors, action learning group and national fisherfolk organisations
- Explore the possibility of hosting a workshop or webinar series on fisheries policies and policy influencing for mentors.

CNFO will:

- Provide information on the CNFO (mission, plans, policies, etc.) to the mentors.

## **8 Appendices**

### **Appendix 1 List of participants**

**Participants list**

No.	First Name	Last Name	Job Title	Dept	Organisation	Address 1	State/ Province	Country	Tel (W)	Tel (M)	Fax	Email 1	Email 2
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## Appendix 2 PowerPoint Presentations

## KEY PRINCIPLES FOR PARTICIPATORY FISHERIES MANAGEMENT AND GOVERNANCE

AN INTRODUCTION TO A VERY BIG TOPIC

### “Brek it down fuh muh skipper!”

- Key principles
  - Important few high-level guiding concepts
- for participatory
  - Involving people at some level and point
- fisheries
  - Not only the resource, but the people too
- management
  - The day to day orderly running of things
- and governance
  - Societal level values and decision-making



### Values of participation

- Incorporates a wide range of perspectives and ideas and sources of knowledge
- Improves the knowledge and skills of all stakeholders
- Increases the likelihood of stakeholder support through involvement in decision-making
- Can provide a forum for identifying conflicts between users and negotiating solutions
- Can contribute to stakeholder empowerment and local institutional development, especially when sharing of management responsibility is involved

Arnstein (1969) Ladder of citizen participation



[www.georgejulian.co.uk](http://www.georgejulian.co.uk)

### Levels of participation

a common picture






[wenger-travner.com](http://wenger-travner.com)

### A continuum of participation in natural resource management

<i>Full control by agency with authority: Top-down decision making where some stakeholders may be informed of some decisions</i>		<i>Control and decision-making shared between stakeholders</i>		<i>Full control by natural resource users: All stakeholders fully involved in decision-making</i>
CONSULTING	ACTIVELY SEEKING CONSENSUS	DEVELOPING AND DECIDING ON SPECIFIC AGREEMENTS	SHARING AUTHORITY AND RESPONSIBILITY FORMALLY	TRANSFERRING AUTHORITY AND RESPONSIBILITY COMPLETELY

From Borrini-Feyerabend (1996)

Three main types of co-management		
<b>Consultative co-management</b>	<b>Collaborative co-management</b>	<b>Delegated co-management</b>
Government interacts often, but makes all of the decisions	Government and the stakeholders work closely, and share decisions	Government lets formally organised users or stakeholders make decisions
<i>Government has the most control</i> ←————→ <i>People have most control</i>		
		

Meaningful participation from research to reaping based on policy of sustainable utilisation, livelihoods



Barbados sea urchin fishery co-management

- ### What factors often shape participation?
- Purpose
  - Complexity
  - Urgency
  - Capacity
    - Philosophy of leaders of process
    - Networking and communication
    - Skills and knowledge
    - Available time and tools
    - Available human and financial resources

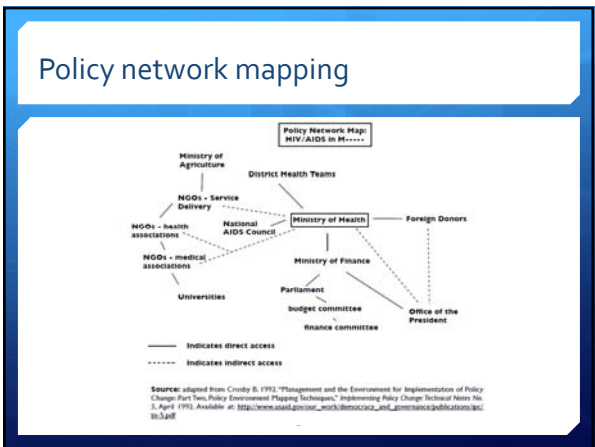
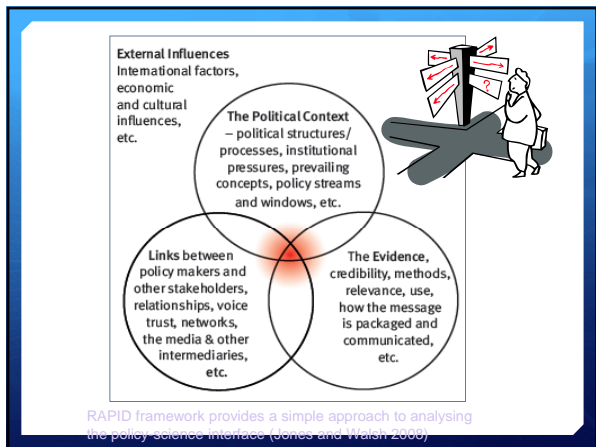
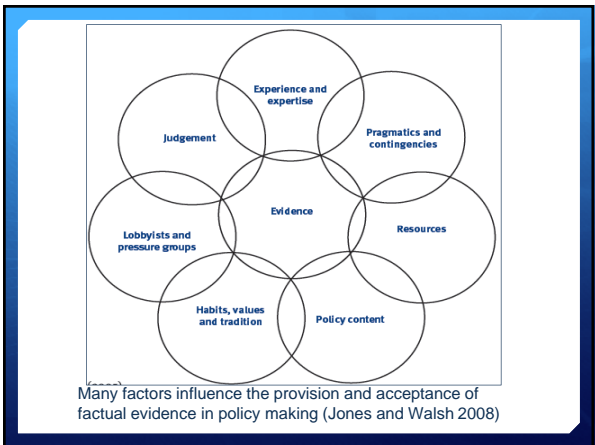
- ### Some challenges of participation
1. Costly in terms of time and resources for all (including stakeholders)
  2. Can be [interpreted as] the burdensome transfer of transaction costs, not a benefit
  3. Raises stakeholder expectations and can lead to lasting disillusionment if realistic expectations are clearly not defined
  4. Where capacity is lacking or low, it can be counterproductive and result in backlash
  5. Danger of consultation burnout, fatigue

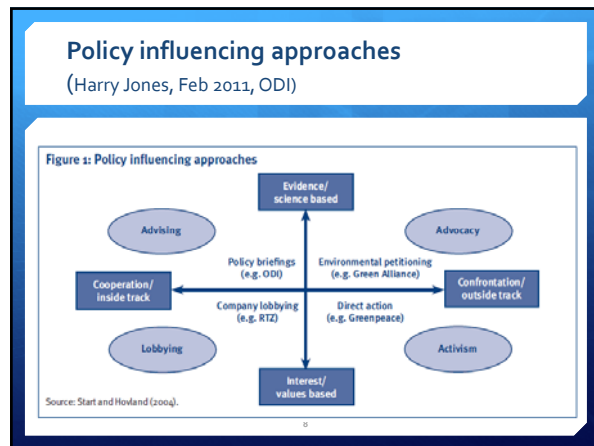
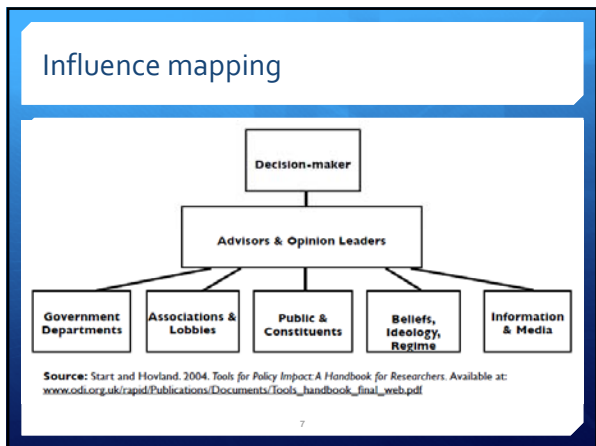
- ### Recap of some practical points
- Fisheries must take from boat to throat into consideration
  - Involving people in management is current best practice
  - Governance (societal decision-making) sets the context
  - Participation in fisheries is a means, not an end in itself
  - Participation is characterized by many different levels
  - Power and responsibility are important (scary?) aspects
  - Fishery co-management is often a frame for participation
  - Participation is not a placebo; is is plagued with problems
  - Managing participation is a continuous, adaptive process
  - Without multi-stakeholder participation few fisheries are likely to be sustainable ... we know this from experience

# Policy influence

- ### Five key dimensions of possible policy impact (Jones and Villar, 2008; Keck and Sikkink, 1998)
1. Framing debates and getting issues on to the political agenda: this is about **attitudinal change**, drawing attention to new issues and affecting the awareness, attitudes or perceptions of key stakeholders.
  2. Encouraging **comprehensive commitments** from states and other policy actors: affecting language and rhetoric is important to, for example, promote recognition of specific groups or endorsements of international declarations.

- ### Five key dimensions of possible policy impact (Jones and Villar, 2008; Keck and Sikkink, 1998)
3. Securing **procedural change** at domestic or international level: changes in the process whereby policy decisions are made, such as opening new spaces for policy dialogue.
  4. Affecting **policy content**: while legislative change is not the sum total of policy change, it is an important element.
  5. Influencing **behavioural change** in key actors: policy change requires changes in behaviour and implementation at various levels in order to be meaningful and sustainable.





### Some policy influencing activities

(Harry Jones, Feb 2011, ODI)

Table 1: Typology of influencing activities

Type of influencing	Where? Through what channels?	How? By what means?
Evidence and advice	<ul style="list-style-type: none"> <li>National and international policy discourses/debates</li> <li>Formal and informal meetings</li> </ul>	<ul style="list-style-type: none"> <li>Research and analysis, 'good practice'</li> <li>Evidence-based argument</li> <li>Providing advisory support</li> <li>Developing and piloting new policy approaches</li> </ul>
Public campaigns and advocacy	<ul style="list-style-type: none"> <li>Public and political debates in developing countries</li> <li>Public meetings, speeches, presentations</li> <li>Television, newspapers, radio and other media</li> </ul>	<ul style="list-style-type: none"> <li>Public communications and campaigns</li> <li>'Public education'</li> <li>Messaging</li> <li>Advocacy</li> </ul>
Lobbying and negotiation	<ul style="list-style-type: none"> <li>Formal meetings</li> <li>Semi-formal and informal channels</li> <li>Membership and participation in boards and committees</li> </ul>	<ul style="list-style-type: none"> <li>Face-to-face meetings and discussions</li> <li>Relationships and trust</li> <li>Direct incentives and diplomacy</li> </ul>

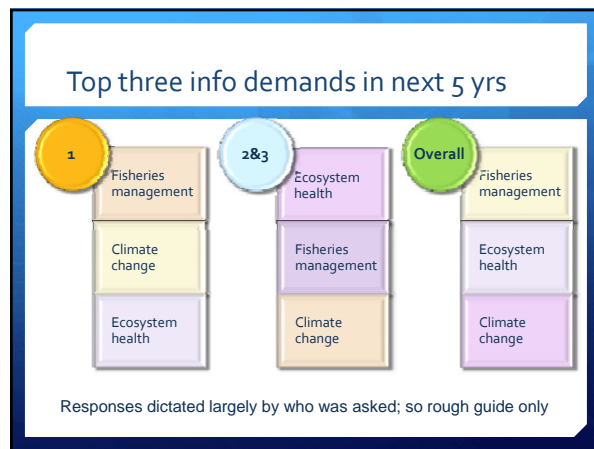
### A guide to monitoring and evaluating policy influence

(Harry Jones, Feb 2011, ODI)

Table 2: Tools for M&E of policy influencing

Influencing approach	Outcomes, what to measure	How, tools
Evidence and advice	Outputs	Evaluating research reports, policy briefs and websites
	Uptake and use	Logs; new areas for citation analysis; user surveys
	Influence	RAPID outcome assessment; Episode studies; Most Significant Change
Public campaigns and advocacy	Target audience attitudes, behaviour, etc	Surveys, focus groups, direct responses
	Media attention	Media tracking logs, media assessment
	Media framing and influence	Framing analysis; coverage
Lobbying approaches	Actors; relationships; policy process and institutions	Recording meetings; tracking people; interviewing key informants; probing influence


- ### Top ten marine info topics for future policy
1. climate change (general)
  2. status of fish stocks
  3. status of biodiversity
  4. ecosystem services valuation
  5. ecosystem health (general)
  6. socio-economic indicators
  7. fisheries management (general)
  8. disaster risk reduction
  9. tourism statistics
  10. coastal management
- 






**Regional Training of Trainers Workshop for Mentors**  
November 19 – 22, 2013  
St. Lucia

**Overview: Enhancing food security from the fisheries sector in the Caribbean: Building the capacity of regional and national fisherfolk organisation networks to participate in fisheries governance and management**



**Introduction**


Project targets the Caribbean Network of Fisherfolk Organisations (CNFO) and its member national fisherfolk organisations in 17 CARICOM countries [Anguilla, Antigua and Barbuda, The Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Montserrat, Saint Lucia, St. Kitts and Nevis, St. Vincent and the Grenadines, Suriname, Trinidad and Tobago and Turks and Caicos Islands]

Seeks to enhance the capacity of fisherfolk organisations to participate effectively in fisheries governance and management of shared living marine resources to improve food security in the Caribbean region.



**Introduction cont'd**

- 4 year project
- Funded by the European Union EuropeAid programme €1,032,099
- Implemented by 5 partners (Project Steering Committee):
  - Caribbean Natural Resources Institute (CANARI)
  - Caribbean Network of Fisherfolk Organisations (CNFO)
  - Centre for Resource Management and Environmental Studies (CERMES) of the University of the West Indies (UWI)
  - Panos Caribbean
  - Caribbean Regional Fisheries Mechanism (CRFM)



**Specific objectives**

- strengthen the CNFO and its member national fisherfolk organisations in the CRFM countries/territories
- build the capacity of the regional and national networks of fisherfolk organisations and their individual members to better participate in fisheries governance and management at the national and regional levels
- enhance communication within and among the networks of fisherfolk organisations for exchange of information, collaboration, and development of consensus on policy for the governance of Caribbean fisheries in relation to food security
- improve the effectiveness and equity of participation of fisherfolk in decision-making processes in the governance of Caribbean fisheries in relation to food security.




**Activities**

- Update the Needs Assessment (2005)
- Fisherfolk Leaders Action Learning Group – 4 mtgs
- Training of mentors workshop – 2 mtgs
- National workshops in 8 countries – 2 sets
- Policy influence: 3 participatory video products, 4 other products
- Sponsoring fisherfolk participation in 2 key regional meetings to influence policy
- Small grants programme total €100,000, at least 15 grants of €1,000 - \$10,000



**Results**

- Built capacity of CNFO to bring the voice of fisherfolk into regional fisheries policy and planning processes
- Built capacity of NFOs, PFOs and individual leaders in at least 8 countries to effectively influence policy at the national and regional levels
- Enhanced communication in CNFO and at least 8 NFOs to share experiences and to develop common positions
- Enhanced collaborative development and joint communication of key policy messages by fisherfolk
- Improved participation of fisherfolk in national and regional processes for decision-making




### Achievements

- Completion of the needs assessment to identify the capacity building priorities for fisherfolk organisations in the region to participate in fisheries governance and management at the national and regional levels
- Establishment of the Caribbean Fisherfolk ALG (18 fisherfolk leaders and 3 Directors/CFOs from DOFs) as a community of change agents from across the region to support effective participation of fisherfolk and their organisations in governance and management of the small scale fisheries sector in the Caribbean
- Review of food security and nutrition and related fisheries policies at the regional and international levels to identify issues that could affect the contribution of the small scale fisheries sector to enhancing food security, and developed policy positions



### Mentors and mentoring

Mentoring: process of sharing knowledge, skills, experiences, insights and opinions to provide strategic advice and guidance to help people make decisions to achieve their desired objectives.

### Mentors and mentoring cont'd


Aim: provide direct support to the fisherfolk organisations to help with their development so that they will be effective partners in governance at the regional and national levels.

Mentors:

- provide guidance on filling the gaps identified in the needs assessment.
- assist in achieving specific objectives 1 and 2 of strengthening the CNFO and its network of national fisherfolk organisations to participate in fisheries governance and management at the national and regional levels.



### Mentor diagram

### Activities

- Training of trainers workshop for mentors: to build the capacity of mentors to provide assistance to fisherfolk organisations to build their capacity for governance
- Assist in conducting the first set of national workshops in 8 project countries [Anguilla, Barbados, Dominica, Grenada, Jamaica, St. Lucia, St. Vincent and the Grenadines, Suriname]: to train FFLs to support the development of the national and primary fisherfolk organisations in each of these countries
- Provide technical assistance to FFOs: to fill the specific capacity needs that they identified e.g. project development, crafting particular communication messages that will assist with policy interventions by fisherfolk within the countries



### Activities cont'd

- Second training of trainers workshop for mentors: to evaluate activities implemented by the mentors to support fisherfolk to identify the progress, lessons learned and make recommendations
- Assist in conducting the second set of national workshops in 8 project countries to:
  - evaluate experiences of fisherfolk participating in fisheries governance to identify lessons learnt
  - develop communication messages
  - do further capacity building as needed
  - conduct a participatory evaluation of the project.



### National NFO/PFO Workshops

Maximum of 15 fisherfolk leaders and their partners will be trained by CANARI and the mentors (who are located in the respective countries) to support the development of the national and primary fisherfolk organisations in each of the 8 countries.

2-3 day workshop will cover:

- (a) analysis of issues at the national level
- (b) analysis of policy and planning initiatives at the national level and opportunities for fisherfolk participation
- (c) review and/or validation of policy positions
- (d) analysis of capacity needs by fisherfolk organisations to effectively participate in governance and management.



### Outlining the National Workshop Agenda

Taking into consideration the discussions about NFOs and PFOs, including organisational development and their roles in policy influencing and implementation.

Objectives:

- assessment and prioritisation of the issues affecting the development of NFOs and PFOs to play an effective role in fisheries governance and management
- development of an action plan to address the priority issues
- identification and analysis of food security and nutrition and fisheries related policies at the national and regional levels and the development of positions for policy influencing



### Outlining the National Workshop Agenda cont'd

Day 1:

- Conduct problem analysis and prioritise the issues affecting the development of NFOs and PFOs to play an effective role in fisheries governance and management
- Identify likely actions to address the priority issues and develop an action plan
- Approach



### Outlining the National Workshop Agenda cont'd

Day 2

- Review and analysis of food security and nutrition and fisheries related policies at the national and regional levels and the development of positions for policy influencing
- Identify target groups and develop key communication messages
- Approach



### Next Steps

8 Focus countries:

1. Workshop Report – CANARI
2. St. Lucia, 2. Barbados, 3. Jamaica, 4. Dominica, 5. Anguilla, 6. Grenada, 7. St. Vincent and the Grenadines, 8. Suriname
3. Agenda: detailed agenda with session plans - CANARI
3. Dates: 1. 2. 3. 4. 5. 6. 7. 8.
4. Contacts: Mentor/NFO/PFO: 1. 2. 3. 4. 5. 6. 7. 8.
6. Logistics: venue, catering, transport



For more information contact  
CANARI

<http://www.canari.org/cm2.asp>





**Needs assessment**

*Regional Training of Trainers Workshop  
November 19 - 22, 2013  
Saint Lucia*




### Purpose of the needs assessment

To identify the gaps that exist in the capacity of the fisherfolk organisations in the region to participate in governance in the fishing sector at both the national and regional levels.


### Method

- Literature review
- Interviews
- Informal discussions





### Internal governance

- Not all countries have national organisations
- Most of the organisations either have a Board or Board-like structure
- Active membership low

### Financing

- Several of the primary and national fisherfolk organisations conduct businesses and have staff.
- Financial procedures
- Money from events, projects, membership fees




### Communication, etc.

- Very few of the organisations have current strategic plans, including communication plans
- National and primary fisherfolk organisations have good relationships with private sector and many government organisations
- Communication internally among members and with external partners



### A look at relationships

- Primary organisations and national organisations
- National – national organisations
- National organisations and the CNFO



### Needs at the national level

- Increased representativeness- increased membership within organisations
- Increased technical skills
- Equipment
- Funds
- Respect- improved awareness of the importance of fishing industry to the countries



### The CNFO

- Structure of the organisation
- Financial sustainability
- Communication among members
- Communication with partners
- Involvement in regional fisheries governance



### Needs at the regional level

- Improved communication among the members of the CNFO
- “Current” funds/budget to carry out activities not related to projects e.g. host meetings with members
- Functioning primary and secondary organisation to strengthen the CNFO
- Improved activity within the CNFO



### Discussion

Based on your experience of FFOs and/or similar organisations, how would you address the capacity gaps identified in relation to:

- Internal Governance
- Financial sustainability
- Communication
- Relationships
- Needs at the national/local and CNFO levels



## Introduction to mentoring

Strengthening Caribbean fisherfolk to participate in governance  
**Regional Training of Trainers Workshop for Mentors**  
 November 19 - 22 2013, Saint Lucia



## What is mentoring?

- Mentoring is a relationship which gives people the opportunity to share their professional and personal skills and experiences, and to grow and develop in the process. *Mentoring Made Easy: A practical guide for managers (1997)*
- Mentoring is a power free, two-way mutually beneficial learning situation where the mentor provides guidance, shares knowledge and experiences using a low pressure, self-discovery approach. *Matt Starceovich (2009) Center for Coaching & Mentoring, Inc*
- Mentoring is a developmental, caring, sharing, and helping relationship where one person invests time, know-how, and effort in enhancing another person's growth, knowledge, and skills, and responds to critical needs that prepares the individual for greater productivity or achievement in the future. *CWIT Mentoring Tool Kit (2004)*



## What is the difference between...

- Mentoring
- Facilitating
- Coaching
- Training
- Networking



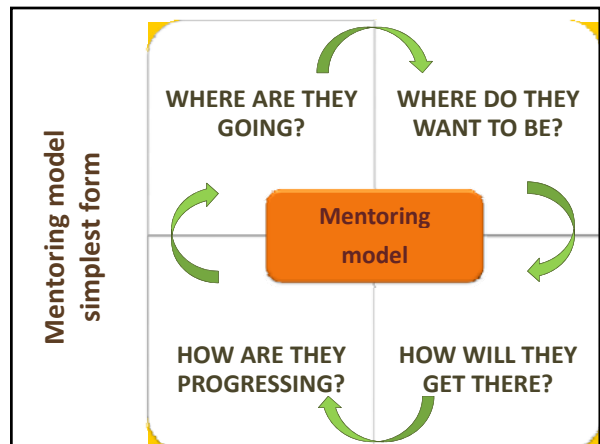
	Mentoring	Facilitating	Coaching / Training
<b>Goal</b>	Transformational! An expectation of change, growth, development, empowerment.	Meet a pre-determined outcome	Build skill(s)
<b>Timing of the relationship</b>	Long term	Short term	Short to medium term
<b>Target</b>		Group process	Individual/collection of individuals. The focus is on each individual acquiring the skill(s)

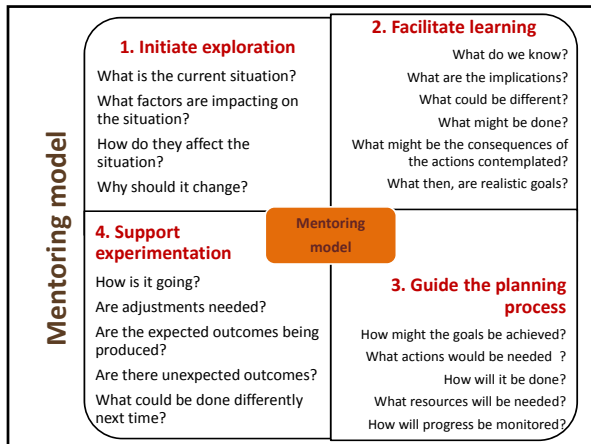


## Capacities of mentors

An effective mentor is someone who:

<b>M</b> – Manages the relationship	Skills
<b>E</b> – Encourages	Knowledge
<b>N</b> – Nurtures	Values
<b>T</b> – Teaches	Feelings
<b>O</b> – Offers Mutual Respect	Attitudes
<b>R</b> – Responds to the mentee's needs	Relationships
	Resources







## Organisational development and good governance for fisherfolk organisations

Strengthening Caribbean fisherfolk to participate in governance

### Regional Training of Trainers Workshop for Mentors

November 19 - 22 2013, Saint Lucia



## Key areas for organisational development

1. What you do: vision, mission, goals (strategic plan)
2. How you make decisions: governance
3. How you implement: management



## What is organisational governance?

- **WHAT** the organisation does
- Providing leadership and making decisions about:
  - Setting strategic direction: vision, mission, goals
  - Ensuring controls on how the organisation will use resources responsibly and with accountability
  - Assessing achievement of results
- Setting policies, procedures, frameworks



## What is organisational management?

- **HOW** decisions are implemented and resources are developed and used
- Overseeing the day-to-day operations of the organisation
- Involves planning, organising, directing and controlling organisational resources (human, financial, physical, and informational) to achieve organisational goals



## Principles of good governance

- **Participation** – involving stakeholders in decision-making
- **Accountability** – being answerable for decisions and having meaningful mechanisms in place to ensure the agency adheres to all applicable standards
- **Transparency/openness** – having clear roles and responsibilities and clear procedures for making decisions and exercising power
- **Integrity** – acting impartially, ethically and in the interests of the organisation, and not misusing information acquired through a position of trust



## Principles of good governance (cont'd)

- **Leadership** – setting strategic direction, ensuring it is being followed, and evaluating results achieved
- **Stewardship** – using every opportunity to enhance the value of the public assets and institutions that have been entrusted to care
- **Efficiency** – ensuring the best use of resources to further the aims of the organisation, with a commitment to evidence-based strategies for improvement



## Key elements of good management

- Projects following a strategic plan; evaluation of results and lessons; continuous listening to stakeholders and scanning the environment
- Adaptive management and a learning organisation
- Human resource development; performance-based system
- Strong fundraising and financial management systems
- Communication about the organisations work
- Active networking and strong partnerships
- Operational policies, procedures, plans in place



## Who does what?

Roles and responsibilities



## Key tasks of the Board

- **Setting strategic direction**
  - Determining the mission
  - Engaging in longer range strategic planning
  - Developing or approving annual programmes
- **Engaging with stakeholders** to listen to needs and to promote the work of the organisation
- **Setting policies for operation**
  - Ensuring the provisions of the organisation's charter / by laws and the law are being followed
  - Establishing fiscal policy and boundaries, with budgets and financial controls



## Key tasks of the Board (cont'd)

- **Ensuring adequate resources** for the activities of the organisation through fund raising
- **Selecting, evaluating, and if necessary terminating the appointment of the chief executive**
- **Evaluating** the work of the organisation to assess:
  - That the organisation is staying true to its mission and strategic plan
  - That results are being achieved
  - That resources are being used efficiently



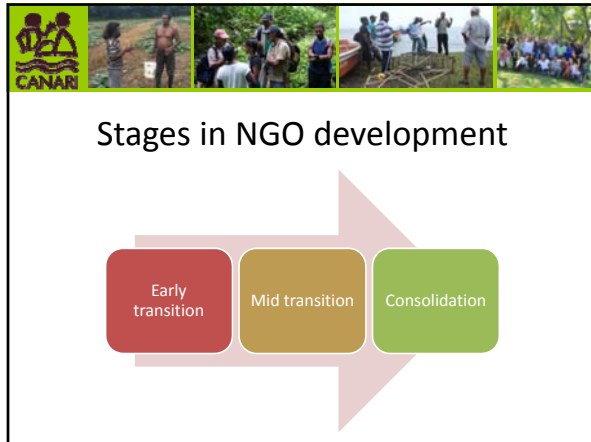
## What Board Members DON'T do

- Engage in the day-to-day operation of the organisation
- Hire staff other than the chief executive
- Make detailed project/programme decisions without consulting staff



## Checking in on governance and management

Organisational needs assessment



- 
- Early transition**
- Lack mission independent of vision of founders
  - Role of Board not delineated
  - No or small staff
  - No or ad hoc strategic planning
  - Lack evaluation
  - Lack internal governance documents
  - Not playing full role in influencing public policy
  - Few project-specific grants therefore donor-driven
  - View public as beneficiaries not partners
  - Poorly developed partnerships with other NGOs, only ad hoc collaboration, view public sector-government partnerships with suspicion

- 
- Mid transition**
- Well defined vision
  - Greater clarity in roles of staff & Board – Board plays greater role in fundraising, advocacy, public relations
  - Professional staff, mobilise volunteers for projects
  - Conduct strategic planning (but not fully participatory)
  - Formalised administrative procedures, budgets, independent audits
  - Lobby and advocate, but limited contact with decision-makers
  - Do fundraising & have more diversified funding base – include grants, contracts, charge fees – but still dependent on 1/few donors
  - Increased transparency & accountability
  - Increasing networking & participation & cooperation with government

- 
- Consolidation**
- Well defined vision & mission & programme objectives – used to attract public support & engage decision-makers
  - Board provides policy direction, engages in fundraising, public relations & lobbying, monitors & evaluates the organisation's development
  - Full-time professional staff & volunteer network, internal training
  - Lead coalitions, formal systems for collaboration
  - Conducts participatory strategic planning, operational planning, monitoring, evaluation & adaptive management
  - Established internal decision-making processes, financial systems, budgets, audits, project staff manage project budgets
  - Transparently governed & publicly accountable, have rules for conflict of interest

## Current experience and what to expect

Hold on ... Get ready for a dose of reality

## Knowledge we can apply

- Project objectives, structure, content and especially its mentoring component
- Key principles for participatory fisheries management and governance
- Priorities for capacity building to support Caribbean fisherfolk to participate in fisheries management and governance
- Introduction to mentoring
- Organisational development and good governance

## Current experience ... and what to expect = hot topics?

### Global and regional

- FAO Code of Conduct for Responsible Fisheries
- International Small-scale Fisheries (SSF) Guidelines
- Illegal, unreported and unregulated (IUU) fishing
- Caribbean Community Common Fisheries Policy
- Ecosystem Approach to Fisheries (EAF)

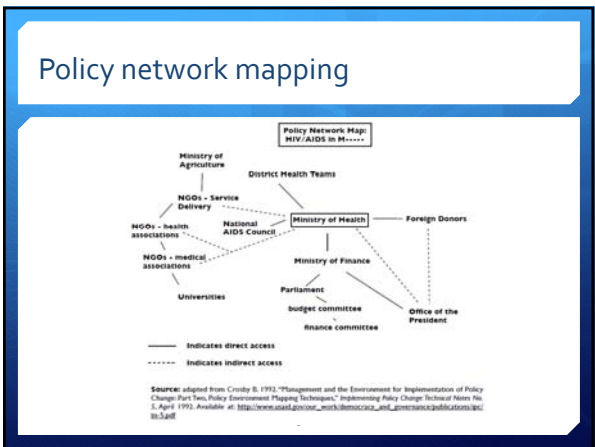
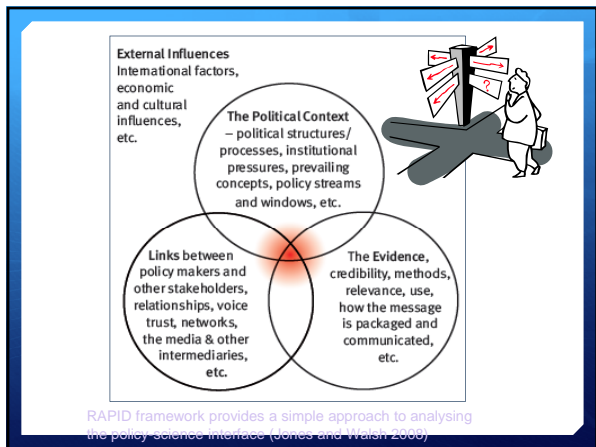
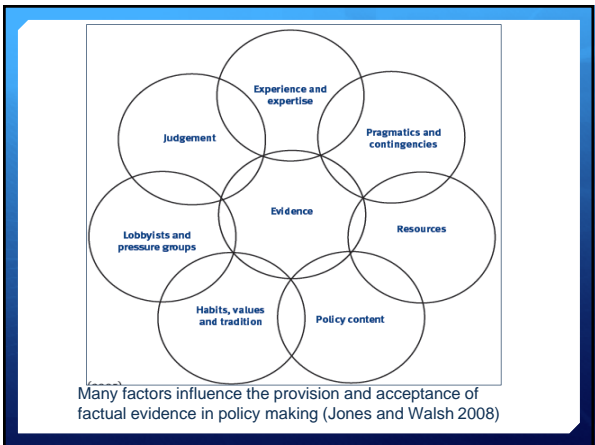
### National and local

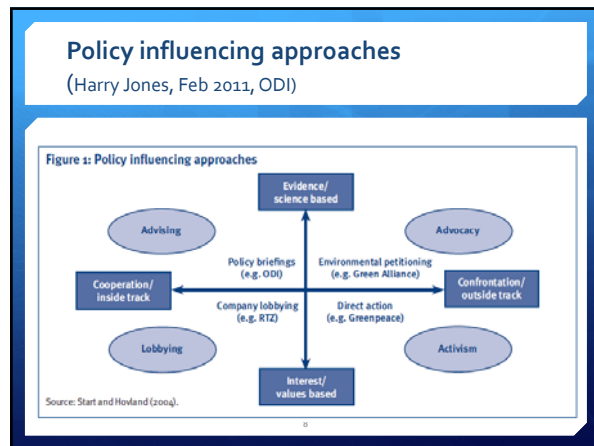
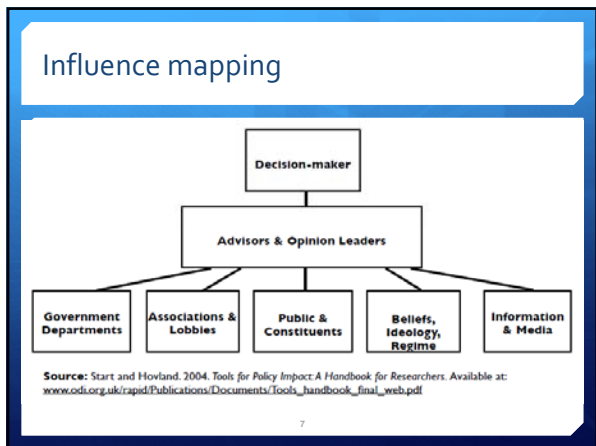
- Fisheries low political priority
- Fisheries management plans
- Threats to fishery livelihoods
- Emphasis on conservation
- Marketing and distribution
- Poor membership support
- Low leadership, succession
- Available information not used

# Policy influence

- ### Five key dimensions of possible policy impact (Jones and Villar, 2008; Keck and Sikkink, 1998)
1. Framing debates and getting issues on to the political agenda: this is about **attitudinal change**, drawing attention to new issues and affecting the awareness, attitudes or perceptions of key stakeholders.
  2. Encouraging **comprehensive commitments** from states and other policy actors: affecting language and rhetoric is important to, for example, promote recognition of specific groups or endorsements of international declarations.

- ### Five key dimensions of possible policy impact (Jones and Villar, 2008; Keck and Sikkink, 1998)
3. Securing **procedural change** at domestic or international level: changes in the process whereby policy decisions are made, such as opening new spaces for policy dialogue.
  4. Affecting **policy content**: while legislative change is not the sum total of policy change, it is an important element.
  5. Influencing **behavioural change** in key actors: policy change requires changes in behaviour and implementation at various levels in order to be meaningful and sustainable.





### Some policy influencing activities

(Harry Jones, Feb 2011, ODI)

Table 1: Typology of influencing activities

Type of influencing	Where? Through what channels?	How? By what means?
Evidence and advice	<ul style="list-style-type: none"> <li>National and international policy discourses/debates</li> <li>Formal and informal meetings</li> </ul>	<ul style="list-style-type: none"> <li>Research and analysis, 'good practice'</li> <li>Evidence-based argument</li> <li>Providing advisory support</li> <li>Developing and piloting new policy approaches</li> </ul>
Public campaigns and advocacy	<ul style="list-style-type: none"> <li>Public and political debates in developing countries</li> <li>Public meetings, speeches, presentations</li> <li>Television, newspapers, radio and other media</li> </ul>	<ul style="list-style-type: none"> <li>Public communications and campaigns</li> <li>'Public education'</li> <li>Messaging</li> <li>Advocacy</li> </ul>
Lobbying and negotiation	<ul style="list-style-type: none"> <li>Formal meetings</li> <li>Semi-formal and informal channels</li> <li>Membership and participation in boards and committees</li> </ul>	<ul style="list-style-type: none"> <li>Face-to-face meetings and discussions</li> <li>Relationships and trust</li> <li>Direct incentives and diplomacy</li> </ul>

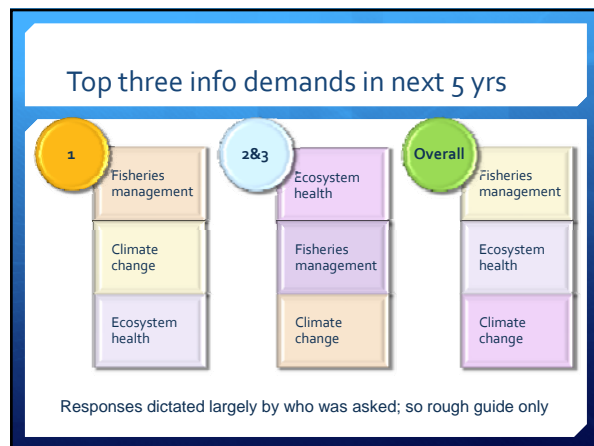
### A guide to monitoring and evaluating policy influence

(Harry Jones, Feb 2011, ODI)

Table 2: Tools for M&E of policy influencing

Influencing approach	Outcomes, what to measure	How, tools
Evidence and advice	Outputs	Evaluating research reports, policy briefs and websites
	Uptake and use	Logs; new areas for citation analysis; user surveys
	Influence	RAPID outcome assessment; Episode studies; Most Significant Change
Public campaigns and advocacy	Target audience attitudes, behaviour, etc	Surveys, focus groups, direct responses
	Media attention	Media tracking logs, media assessment
	Media framing and influence	Framing analysis; coverage
Lobbying approaches	Actors; relationships; policy process and institutions	Recording meetings; tracking people; interviewing key informants; probing influence

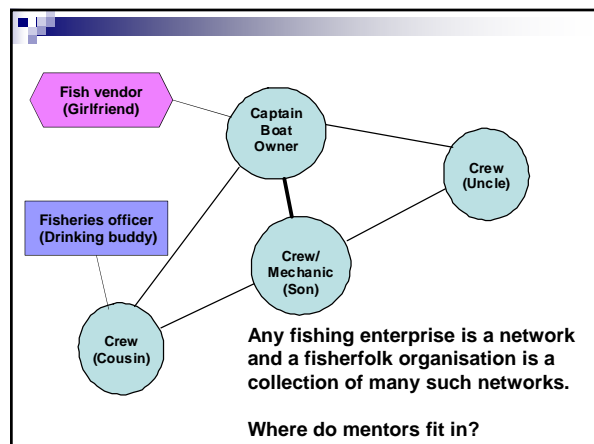
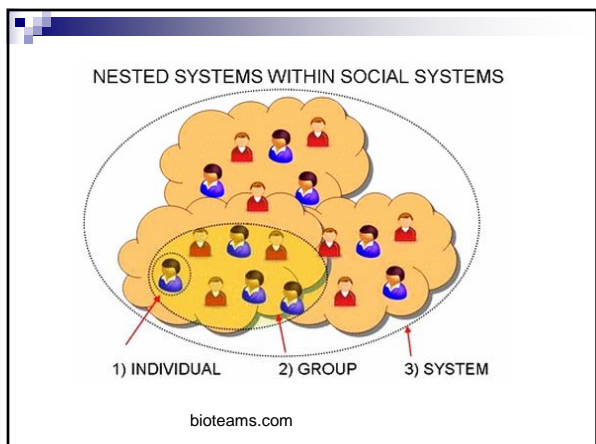
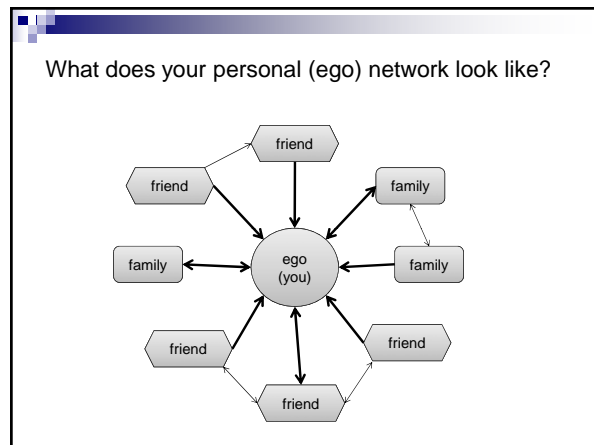
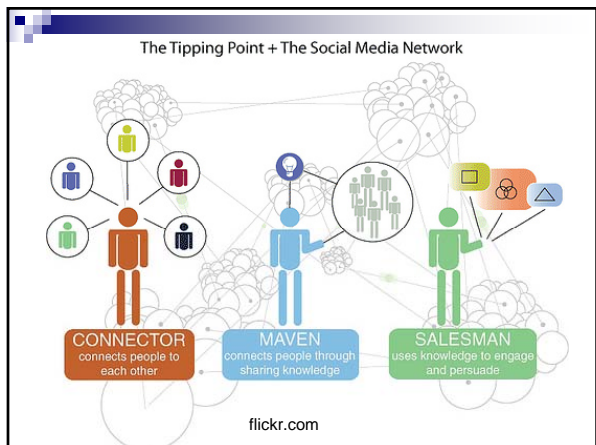
- ### Top ten marine info topics for future policy
1. climate change (general)
  2. status of fish stocks
  3. status of biodiversity
  4. ecosystem services valuation
  5. ecosystem health (general)
  6. socio-economic indicators
  7. fisheries management (general)
  8. disaster risk reduction
  9. tourism statistics
  10. coastal management
- 

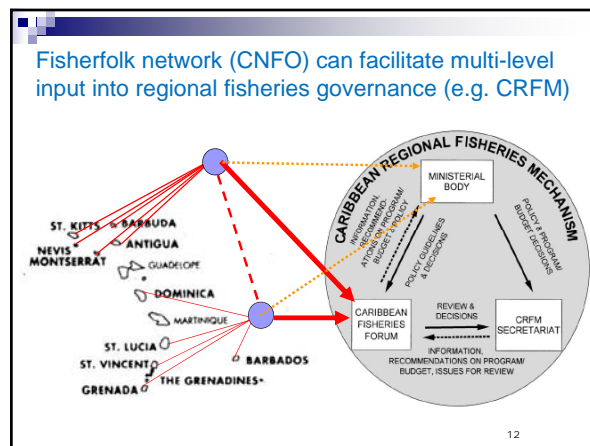
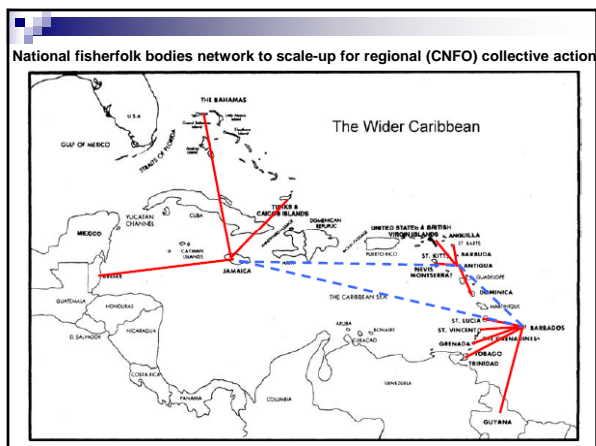
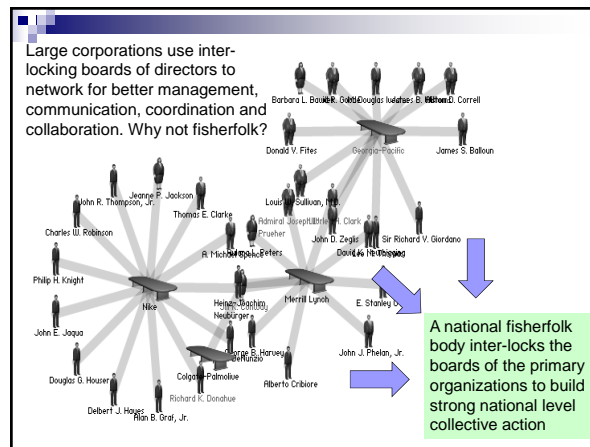
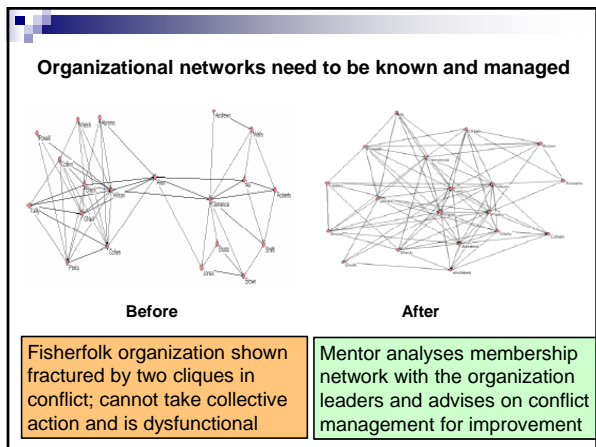
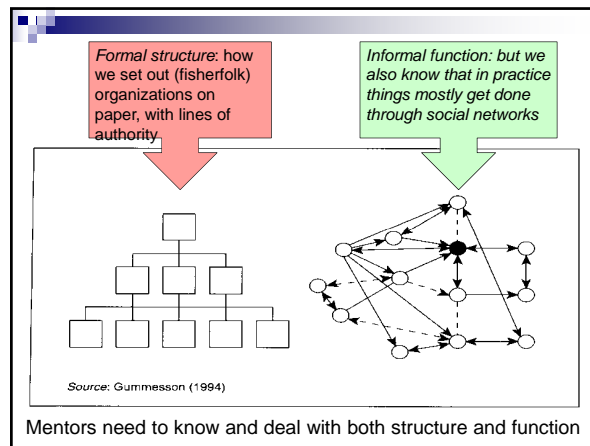
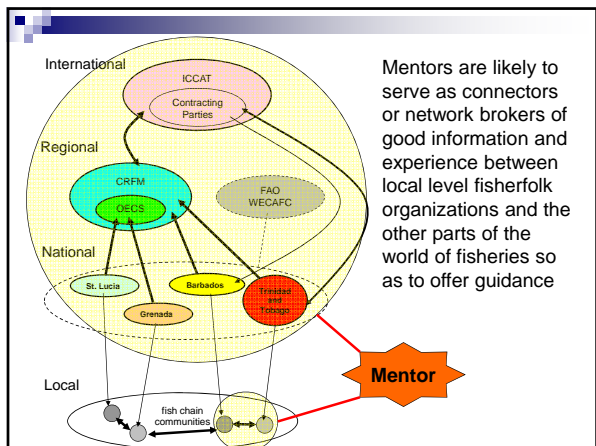


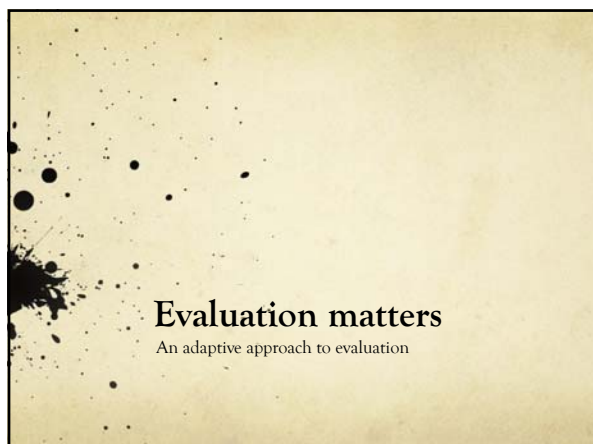
# Effective networking

## facebook

Facebook helps you connect and share with the people in your life.







## 1. Did you find the workshop objectives were achieved?

- 0 = not at all
  - 1 = slightly
  - 2 = moderately
  - 3 = very much
  - 4 = completely
- We will discuss the ranking of “usefulness” in the context of your terms of reference for mentors after

## 2. How would you rate each session?

Session 1: Welcome, introductions, expectations, workshop roles, logistics  
 Session 2: Key principles for participatory fisheries governance  
 Session 3: Introduction to the EU fisherfolk project and the mentoring component  
 Session 4: Priorities for capacity building to support Caribbean fisherfolk to participate in fisheries management and governance  
 Session 5: Introduction to mentoring  
 Session 6: Wrap-up and close

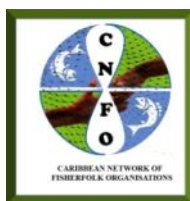
## 2. How would you rate each session?

Session 7: Review of Day 1  
 Session 8: Organisational development and good governance for fisherfolk organisations:  
 Session 9: Current experience and what to expect  
 Session 10: Positions of Caribbean fisherfolk on key global and regional policies and how these affect small scale fisheries, fisherfolk livelihoods and food security  
 Session 11: Effective networking and communication for policy influence  
 Session 12: Field trip preparation

## 2. How would you rate each session?

Session 12: Field trip to practise mentoring  
 Session 13: Review of Days 2 and 3  
 Session 14: Debrief of field trip and analysis of lessons learned on mentoring  
 Session 15: Review of mentoring activities planned under the EU fisherfolk project and development of individual strategies for mentoring of national and primary fisherfolk organisations  
 Session 16: Evaluation  
 Session 17: Next steps, thanks and close

## Appendix 3 Agenda



**CANARI/CNFO/UWI-CERMES/PANOS/CRFM: Enhancing food security from the fisheries sector in the Caribbean: Building the capacity of regional and national fisherfolk organisation networks to participate in fisheries governance and management**

**Regional Training of Trainers Workshop for Mentors**

***November 19 - 22, 2013***

**Workshop objectives:**

By the end of the workshop, mentors would have achieved the following:

- understanding about key principles for participatory fisheries governance and management;
- awareness of key capacity needs to support Caribbean fisherfolk to play an effective role in fisheries governance and management;
- understanding about mentoring roles and key competencies needed;
- knowledge about and practiced application of approaches and tools for mentoring fisherfolk organisations on organisational development of their organisations in the areas of strategic and operational planning, financial management, fundraising and structures, policies and processes for good governance;
- knowledge about the positions of Caribbean fisherfolk on key global and regional policies and how these affect small scale fisheries, fisherfolk livelihoods and food security;
- knowledge about and practiced application of approaches and tools for mentoring fisherfolk organisations on networking and communication for policy influence; and
- established a strategy for mentoring the fisherfolk organisations in the respective countries.

**Agenda**

Tuesday 19 November	
8:30 am	Registration
9:00 am	Welcome, introductions, expectations, workshop roles, logistics
10:30 am	Break

11:00 am	Key principles for participatory fisheries governance
12 noon	Lunch
1:00 pm	Introduction to the EU fisherfolk project and the mentoring component
1:30 pm	Priorities for capacity building to support Caribbean fisherfolk to participate in fisheries management and governance
2:30 pm	Introduction to mentoring
4:30 pm	Wrap-up and close
6:30 pm	Group dinner
Wednesday 20 November	
8:30 am	Review of Day 1
9:00 am	Organisational development and good governance for fisherfolk organisations: <ul style="list-style-type: none"> <li>• Best practices for good governance: structures, policies and processes</li> <li>• Key elements of developing strong and effective organisations: strategic and operational planning, financial management, fundraising</li> <li>• Conducting a needs assessment</li> </ul>
10:30 am	Break
11:00 am	Current experience and what to expect
12 noon	Lunch
1:00 pm	Positions of Caribbean fisherfolk on key global and regional policies and how these affect small scale fisheries, fisherfolk livelihoods and food security
2:30 pm	Effective networking and communication for policy influence
3:30 pm	Field trip preparation
4:30 pm	Wrap-up and close

Thursday 21 November	
7:30 am	Depart hotel
All day	Field trip to practise mentoring: <ul style="list-style-type: none"> <li>• Conducting an organisational needs assessment and developing a strategy for strengthening the organisation</li> <li>• Developing a strategy for communication and networking for policy influence</li> </ul>
Friday 22 November	
8:30 am	Review of Days 2 and 3
9:30 a.m.	Debrief of field trip and analysis of lessons learned on mentoring
10:30 am	Break
11:00 am	Press conference
12 noon	Lunch
1:00 pm	Review of mentoring activities planned under the EU fisherfolk project and development of individual strategies for mentoring of national and primary fisherfolk organisations
2:30 pm	Evaluation
3:15 pm	Next steps, thanks and close

## Appendix 4 Handout Capacities of effective mentors



## **Capacities of effective mentors**

An effective mentor is someone who:

**M** – Manages the relationship

**E** – Encourages

**N** – Nurtures

**T** – Teaches

**O** – Offers Mutual Respect

**R** – Responds to the Mentee's needs

### **M – Manages the relationship**

- Has high level self-management skills
- Is assertive
- Has good knowledge of the organisation
- Models effective leadership and management skills
- Has excellent interpersonal skills

### **E – Encourages**

- Motivates others
- Is a good role model
- Is able to provide clear and objective feedback

### **N – Nurtures**

- Is able to promote personal growth
- Has the ability to maintain work-life balance
- Acknowledges the need to maintain health
- Respects higher goals, values and spiritual needs

### **T – Teaches**

- Is able to undertake needs assessment
- Is able to facilitate learning
- Provides resources

### **O – Offers mutual respect**

- Accepts differences in values, interests etc

### **R – Responds to the Mentee's needs**

- Does not seek to impose advice on the basis of one's own needs



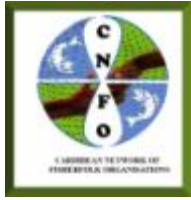
## Rate your mentoring capacities

	Need to Develop			Notes
	Low	Moderate	High	
<b><i>Manages the relationship</i></b>				
Self management				
Assertiveness				
Knowledge of organisation				
Management and leadership				
Interpersonal skills				
<b><i>Encourages</i></b>				
Motivation				
Role model				
Feedback				
<b><i>Nurtures</i></b>				
Personal growth				
Balance				
Health				
Respects higher goals				
<b><i>Teaches</i></b>				
Needs assessment				
Facilitates learning				
Providing resources				
<b><i>Offers mutual respect</i></b>				
<b><i>Responds to mentee needs</i></b>				

Capacities I want to develop further:

1.	2.
3.	4.
5.	6.
7.	8.

## **Appendix 5 TOR Mentors to support fisherfolk to participate in fisheries governance and management**



# Mentors to support fisherfolk to participate in fisheries governance and management

## Terms of Reference (TOR)

### 1. Background

- 1.1. The four-year (2013-2016) project, *Strengthening Caribbean Fisherfolk to Participate in Governance*, seeks to improve the contribution of the small scale fisheries sector to food security in the Caribbean islands through building the capacity of regional and national fisherfolk organisation networks to participate in fisheries governance and management. This is being funded by the European Union (EU) [EuropeAid programme](#).
- 1.2. 17 countries in the Caribbean are participating in the project. These are Anguilla, Antigua and Barbuda, the Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Montserrat, Saint Lucia, St. Kitts and Nevis, St. Vincent and the Grenadines, Suriname, Trinidad and Tobago and Turks and Caicos Islands.
- 1.3. The project is being implemented by the Caribbean Natural Resources Institute (CANARI) in partnership with the Centre for Resource Management and Environmental Studies (CERMES) of the University of the West Indies (UWI) and Panos Caribbean in association with the Caribbean Network of Fisherfolk Organisations (CNFO) and the Caribbean Regional Fisheries Mechanism (CFRM).

### 2. Key definitions

CANARI has developed an understanding of key terms and concepts to guide its work as follows:

- 2.1. **Mentoring** is a process of sharing knowledge, skills, experiences, insights and opinions to provide strategic advice and guidance to help people make decisions to achieve their desired objectives. Mentors are trusted counsellors or advisors.
- 2.2. **Coaching** is the process of helping a person or organisation to build specific skills, knowledge and experience through hands-on support provided in the execution of a task.
- 2.3. **Action learning** describes learning to take effective action to address real challenges. The learning occurs with a group of colleagues, who develop a united approach to addressing the challenges. Action learning is more than 'learning by doing' as it aims to develop a fresh perspective on existing knowledge and experience to apply to current challenges or issues. The

need for review, reflection, rethinking and reinterpretation of this knowledge and experience is integral to the action learning process (Adapted by N. Johnson from ANTA National Staff Development Committee: 1996).

### **3. Purpose of the Mentors**

- 3.1. The overall purpose of the Mentors is to provide support to local, national and regional fisherfolk organisations in the Caribbean islands to enable them to more effectively participate in fisheries governance and management.

### **4. Geographic scope and time span of operation**

- 4.1. The geographic scope is the 17 project countries.
- 4.2. Mentors will be selected and oriented in November 2013 and will provide support to civil society organisations through to the end of the project in December 2016.

### **5. Membership in Mentorship Programme**

- 5.1. Mentors are experts from government agencies, local and international civil society organisations, technical assistance agencies and donors as well as independent consultants based in the Caribbean islands and with competencies (skills, knowledge, and experience) in:
  - Fisheries governance and management
  - Organisational management and development
  - Outreach and mobilisation
  - Communication and advocacy
  - Networking
- 5.2. There will be about 17 Mentors. [22]
- 5.3. Mentors serve on a voluntary basis except where they are contracted by CANARI or another organisation for a specific function.
- 5.4. Mentors have good working knowledge of English (speaking, writing and reading) in addition to the local language in their country (including French, Spanish and/ or Creole) where relevant.
- 5.5. Mentors are appointed by the Executive Director of CANARI in consultation with the manager in CANARI of the project *Strengthening Caribbean Fisherfolk to Participate in Governance*.
- 5.6. There will be an annual evaluation of the role played by each Mentor based on the Terms of Reference, including the codes of conduct (see Section 7 for details). This will be conducted by CANARI in collaboration with the Mentor. Additional areas for capacity building and support by CANARI will be identified.
- 5.7. Mentors may be removed from the mentorship programme by the Executive Director of CANARI in consultation with the CANARI project manager for cause, following discussions with the Mentor. Cause for removal includes violation of the codes of conduct, conflict of interest, or unethical behaviour by the Mentor. See Sections 7 and 8 for more details.

- 5.8. Mentors may resign from the mentorship programme by notifying the Executive Director of CANARI in writing.
- 5.9. New Mentors may be appointed if needed, including replacing Mentors who are no longer able or interested in performing the function.

## **6. Mentor functions and duties**

- 6.1. The Mentors achieve their purpose primarily through:
  - facilitating or co-facilitating national training workshops under the project;
  - providing individual coaching and mentoring to organisations;
  - advising CANARI on needs, capacity building undertaken, results, lessons learnt, and relevant issues;
  - sharing information on experiences and lessons learnt with other Mentors and providing peer coaching and support.
- 6.2. Mentors may function through:
  - providing voluntary support to fisherfolk organisations;
  - providing voluntary advice and guidance to CANARI;
  - providing voluntary peer coaching and support;
  - being contracted by CANARI to perform a specific function, including facilitating or co-facilitating a national training workshop;
  - being contracted by fisherfolk organisations to provide support to them;
  - being contracted by government agencies, local and international civil society organisations, technical assistance agencies and donors to provide support to fisherfolk.

## **7. Mentor orientation, capacity building, action learning, and peer coaching and support**

- 7.1. A four day orientation workshop will be facilitated by CANARI in November 2013. Travel costs and per diem for Mentors participating in this workshop will be covered by CANARI under the EU project. The specific dates and location for the workshop and other details will be determined based on what is most practical and feasible for Mentors and CANARI.
- 7.2. A follow-up training workshop will be held in 2014. Travel costs and per diem for Mentors participating in this workshop will be covered by CANARI under the EU project. Specific dates and location for the workshop will be determined based on the most practical and feasible time and location for Mentors and CANARI.
- 7.3. CANARI will facilitate online discussion among the mentors to facilitate sharing of experiences and lessons learnt, peer coaching and support, and action learning.
- 7.4. Additional communication with and among Mentors may be conducted by e-mail, skype, telephone, or video-conferencing as needed.
- 7.5. CANARI may invite Mentors to participate in additional workshops and other initiatives on a voluntary or contracted basis.

- 7.6. CANARI will maintain a record for each Mentor documenting support provided to civil society organisations and capacity demonstrated. This will be developed in consultation with the Mentor and will be shared with the Mentor.
- 7.7. CANARI will promote the availability of Mentors, including information on their specific areas of competency, to:
  - fisherfolk organisations;
  - government agencies, civil society organisations, technical assistance agencies and donors providing support to fisherfolk organisations in the Caribbean islands.

## **8. Codes of conduct**

Mentors will:

- 8.1. Fully respect the organisation(s) they work with and provide constructive feedback where necessary.
- 8.2. Empower the organisation(s) they work with to make decisions and not make decisions on behalf of the organisation(s).
- 8.3. Keep discussions between the Mentor and organisation(s) confidential.
- 8.4. Establish a mutually agreeable communication mechanism with the organization(s) that sets contact time (e.g., per week/month), mode of communication (e.g., email and/ or telephone) and other guidelines.
- 8.5. Be consistent and dependable.
- 8.6. Refrain from actual or perceived conflict of interest activities when encouraging organisations to submit proposals that can potentially benefit the Mentors themselves.
- 8.7. Contact the CANARI project manager immediately if they have concerns about the organisation(s) they are working with or identify conflict of interest situations that need to be addressed.
- 8.8. Agree that materials produced by the organisation that are influenced by the Mentor will remain under the ownership of the organisation(s).

## **9. Outputs**

Mentors will produce the following reports for CANARI:

- 9.1. An interim and final report including details of the organisation(s) receiving mentoring; details of communication between the Mentor and organisation(s) including number of contact hours per week/ month as applicable; activities conducted; results achieved; lessons and recommendations. A template will be provided by CANARI.

## **10. Reporting**

10.1. Mentors will report directly to the CANARI project manager.

## **11. Additional technical assistance**

11.1. The Mentor may be requested by a fisherfolk organisation to provide additional technical assistance (e.g. training, facilitation) beyond the requirements of mentoring. The fisherfolk organisation would be solely responsible for funding any of this additional technical assistance.

## **12. Conflict of Interest**

12.1. Upon accepting appointment as a Mentor, Mentors commit themselves to avoiding the appearance of self-dealing, conflict of interest, or undue influence.

12.2. Mentors are required to disclose interests that do or potentially could conflict with their responsibilities as outlined in the Mentor Terms of Reference.

12.3. To ensure transparency, records on support provided to fisherfolk organisations shall be available to anyone who requests such information and in particular if there is an accusation of a conflict of interest.

## **13. Amendments**

13.1. The Terms of Reference shall be reviewed annually from the date of adoption. They may be altered to meet the current needs of all Mentors and CANARI, by agreement of the majority of Mentors and CANARI.

### **[Small Grants**

The small grants facility will be made available to all 17 project countries and all registered fisherfolk organisations (at the regional, national and local levels) to be used to strengthen their capacity to participate in governance.

The project Steering Group will determine the selection criteria at the start of the project.

The selection criteria will include (but not limited to):

- Applicants must be a registered fisherfolk organisation in the 17 project countries
- Projects will be for a minimum of €1,000 to a maximum of €10,000
- Fisherfolk organisation must be active for at least 2 years by the time of application for the grant
- Grants will support projects on capacity building and communication for policy influence, and may include actions such as:
  - strategic planning

- capacity building for organisational strengthening (e.g. leadership, team building, financial management, fund raising, proposal writing, communication, marketing, networking)
- capacity building in key technical skills and knowledge on fisheries governance and management
- development of a communication strategy
- developing and disseminating communication products
- project identification, development and management capacity building (training or other) for the organisation
- outreach to new members and establishment of new primary and national fisherfolk organisations
- purchase of equipment for use for communication among the members (such as computers for the organisations)
- capacity building for the organisations in the use of the computer to improve their use of the medium for communication]

## Appendix 6 Handout Organisational assessment for NGOs



## **Organisational assessment for NGOs**

### **1. Legal Framework**

- a. Is the organisation legally registered, with governing documents (by-laws, charter, etc.) in place?
- b. Is the organisation meeting all legal commitments (e.g. annual audits, filing annual reports, taxes)?
- c. Are the governing documents regularly reviewed and updated to address current priorities and practices?
- d. Do the governing documents clearly set forth the roles of the Board and the officers?
- e. Do the governing documents address conflict of interest in the Board?
- f. Are the procedures for Board operation (elections, meetings, etc.) clear and readily followed?
- g. Do the governing documents provide for the acceptance of new members into the organisation if it is a membership organisation?

### **2. Structure and Composition of the Board**

- a. Is the Board is large enough to allow for adequate stakeholder representation?
- b. Is the Board is small enough to allow for satisfactory levels of participation by all of the Board members?
- c. Is there is an effective procedure for identifying and recruiting new Board members?
- d. Are the Board retirement provisions being followed to allow for new participation on the Board?
- e. Has a policy on Board attendance been adopted and is it enforced?
- f. Does the Board use committees to delegate work and develop expertise?
- g. Is the Board composition being regularly assessed to ensure that the Board collectively has the required competencies (e.g. technical expertise, financial and human resource management, legal expertise, communication and public relations, partnerships and networks)? Where gaps are identified, are these being addressed either through capacity building or recruiting new Board members?
- h. Are stakeholders represented on the Board?

### **3. Board Capacity**

- a. Have Board members received information describing their role?
- b. Do Board members understand their legal responsibilities?
- c. Do Board members understand the organisation's structure?
- d. Do Board members understand the organisation's mission?
- e. Do Board members individually/collectively have the required competencies (e.g. technical expertise, financial and human resource management, legal expertise, fundraising, communication and public relations, partnerships and networks)?

### **4. Board Participation**

- a. Does the Board meet on a regular basis?



- b. Do most Board members attend most Board meetings? Do all Board members notify the Secretary if they will be unable to attend a meeting?
- c. Are Board members prepared for meetings (e.g. have they reviewed reports)?
- d. Do all Board members participate actively in Board meetings?
- e. Do Board members feel free to express dissenting opinions?
- f. Do all Board members participate on at least one Board committee?

## **5. Board Leadership Roles**

- a. Are there term limits on the office of Chair, Vice Chair, Secretary and Treasurer?
- b. Is the responsibility for chairing committees spread among the members of the Board?

## **6. Board Practices**

- a. Are Board minutes properly kept and promptly circulated to the members?
- b. Do Board members regularly review the organisation's financial statements?
- c. Does the Board hold an annual general meeting?
- d. Does the Board employ an independent auditor to audit the organisation's records on an annual basis?
- e. Does the Board periodically engage in long-range planning?
- f. Has the Board established committees to handle key functions, such as finance, staff relations and public relations?
- g. Do Committees meet on a regular basis and report to the Board on their activities?

## **7. Board / Staff Relations**

- a. Are the roles and responsibilities of staff and Board members clear?
- b. Do Board members understand and accept the relative responsibilities of the Board and management?
- c. Do staff and Board work in partnership with honest two-way communication?
- d. Does the Board provide the Executive Director with guidance and evaluate the performance of the Executive Director on a regular basis?

## **8. Policies and Control**

- a. Is the Board developing appropriate policies on: financial management and control, human resource management (including recruitment and staff development), information management, partnerships, etc.?
- b. Do policies and procedures address all legal requirements of the country (e.g. tax laws, national labour laws) and donors (e.g. donor policies on procurement and allowable expenses)?
- c. Are appropriate checks and balances, systems and procedures and other reporting mechanisms being followed?
- d. Does the Board receive timely, accurate, understandable information on which decisions can be based?
- e. Are independent audits conducted by a qualified external auditor?
- f. Are any issues identified by the auditor reported to the Board and addressed?



## **9. Planning and Evaluation**

- a. Is the organisation oriented to the future, with a current strategic plan in place and being followed?
- b. Is implementation of the strategic plan being evaluated and reported on to assess if the desired results are being achieved and what lessons are being learnt?
- c. Are annual plans being developed and followed?
- d. Are annual plans being evaluated and reported on at the end of the year?
- e. Are programme and project plans being developed and followed?
- f. Are programme and project plans being evaluated and reported on at the end of the year?
- g. Are the attitudes, opinions, satisfaction levels, needs and expectations of stakeholders known and reflected in the organisation's programming and actions? Do plans (strategic, annual, programme and project) respond to needs identified by stakeholders? Were key stakeholders involved in the planning process?
- h. Are the views of stakeholders on the organisation's work being systematically documented?
- i. Are the results of evaluations being communicated to stakeholders?

## **10. Partnerships**

- a. Does the organisation have a strategy to identify and build partnerships with key stakeholders?
- b. Is the organisation an active member of any relevant formal or informal networks?
- c. Does the organisation have formal agreements with any partners (e.g. Memoranda of Understanding, Terms of Reference)?

## **11. Public Relations and Communication**

- a. Does the organisation communicate information about its work to its stakeholders (e.g. via a website, annual reports, other reports)?
- b. Does the organisation develop and use communication plans to identify messages for key target audiences and the best communication products and pathways to reach them?
- c. Does the organisation assess if its communication is effective in reaching stakeholders?
- d. Does the Board take responsibility for ensuring that the organisation is effectively communicating about its work and developing strategic partnerships?
- e. Do Board members use the opportunities they have to promote the organisation with the public, decision-makers and other key stakeholders?

## **12. Leadership**

- a. Is there a succession plan in place for key leaders in the organisation (e.g. Chair and Executive Director)?
- b. Are new leaders being recruited and their leadership capacity built?
- c. Are founders and past leaders making space for new leaders?



### **13. Fundraising**

- a. Is there a fundraising plan that includes exploring all possible sources of funding?
- b. Does the organisation have diverse funding sources or is it dependent on only one or a few sources?

### **14. Resource Management**

- a. Has the organisation identified the resources (funds, staff, equipment, and leadership) it needs to accomplish its objectives?

#### *Financial management*

- b. Does the organisation have a bank account?
- c. Does the organisation maintain accurate financial accounts, with adequate documentation of receipts and expenditures?
- d. Does the organisation issue financial reports?
- e. Are financial reports used to monitor expenditure according to budget?
- f. Does the organisation use adaptive management to complete activities within budget or to seek additional resources if needed?
- g. Does the organisation have a system in place to fund overheads (e.g. office rent, computers, telephone and internet, equipment maintenance and insurance)?
- h. Does the organisation have a system in place to fund non-project core administrative costs (e.g. for staff and Board meetings, staff development, fundraising and networking)?

#### *Human resource management*

- i. Are the right people in the right jobs and are they organised and structured effectively?
- j. Is there a plan for building the capacity of the organisation's human resources (Board, staff, volunteers, and interns) and is this being followed?
- k. Does the organisation use volunteers or interns? Are they trained and managed so that they are effectively contributing to the organisation's work?
- l. Are performance plans developed for staff, interns and volunteers? Is performance periodically evaluated with the member of staff, intern, or volunteer? Is good performance rewarded? Are areas for improvement identified and addressed by the manager and staff, intern or volunteer working collaboratively?

#### *Equipment and facilities management*

- m. Does the organisation maintain an inventory of equipment?
- n. Is equipment insured if appropriate?
- o. Is there a plan for managing the organisation's facilities (e.g. office)?
- p. Is regular maintenance conducted for equipment and facilities?

#### *Technology and knowledge management*

- q. Does the organisation maintain records (electronic and hard copies) of its work in files, databases, a library, on web-based storage, etc.?
- r. Is the organisation effectively using appropriate technology to help in its work (e.g. computers, smart phones, databases, internet, GIS, etc.)

## Appendix 7 Fieldtrip Handout

## **Working Rules**

*Patrick, June, Dougal, Alwyn*

### **1. Legal Framework**

- a. Is the organisation legally registered? Under what law(s)?
- b. Are governing documents (by-laws, charter, etc.) in place? Are they relevant and current? Are they regularly reviewed and updated in accordance with established regulatory frameworks and to address current priorities and practices (e.g. new categories of membership)?
- c. Is the organisation meeting all legal commitments (e.g. annual audits, filing annual reports, taxes)?
- d. Do the governing documents clearly set forth the roles of the Board and the officers?
- e. Do the governing documents address conflict of interest in the Board and senior management?
- f. Are the procedures for Board operation (elections, meetings, etc.) clear and readily followed?
- g. Do the procedures for Board meetings allow for virtual meetings and round robin consultation?
- h. Do the governing documents provide for the acceptance of new members into the organisation if it is a membership organisation?

### **2. Policies and Control**

- a. Is the Board developing appropriate policies on: financial management and control, human resource management (including recruitment and staff development), information management, partnerships, etc.?
- b. Do policies and procedures address all legal requirements of the country (e.g. tax laws, national labour laws) and donors (e.g. donor policies on procurement and allowable expenses)?
- c. Is there a policy and procedure for issuing a Board member a paid contract to execute work outside of his or her Board function?
- d. Are appropriate checks and balances, systems and procedures and other reporting mechanisms being followed?
- e. Does the Board receive timely, accurate, understandable information on which decisions can be based?
- f. Are independent audits conducted by a qualified external auditor chosen in accordance with the by-laws?
- g. Are issues identified by the auditor reported in the management letter submitted to the Board? Are they adequately addressed by the Board?

## **About you**

*Nicole, Kafi, Rita, Kelley, Josue*

### **1. Planning and Evaluation**

- a. Is the organisation oriented to the future, with a current strategic plan in place and being followed?
- b. Is the strategic plan broad enough to be flexibly applied?
- c. Does the strategic plan lay out objectives and expected outcomes?
- d. Is implementation of the strategic plan being evaluated and reported on to assess if the desired results are being achieved and what lessons are being learnt?
- e. Are annual plans being developed and followed?
- f. Are annual plans being evaluated and reported on at the end of the year?
- g. Are programme and project plans being developed and followed?
- h. Are programme and project plans being evaluated and reported on at the end of the year?
- i. Are the attitudes, opinions, satisfaction levels, needs and expectations of stakeholders known and reflected in the organisation's programming and actions? Do plans (strategic, annual, programme and project) respond to needs identified by stakeholders? Were key stakeholders involved in the planning process? Is there a plan developed and used for seeking opinions of and gathering information from stakeholders?
- j. Are the views of stakeholders on the organisation's work being systematically documented?
- k. Are the results of evaluations being communicated to stakeholders?

### **2. Leadership**

- a. Is there a succession plan in place for key leaders in the organisation (e.g. Chair and Executive Director)? Does this include a transparent evaluation process to select qualified leaders? Is the succession process documented and transparent?
- b. How are new leaders being recruited and their leadership capacity built?
- c. Are founders and past leaders making space for new leaders?

## **Connecting with others**

*Katie, Toby, Anthony, Robin, Greg*

### **1. Partnerships**

- a. Have the key stakeholders been identified? What value will partnerships with them bring to your organisation?
- b. Are there existing partnerships with key stakeholders? Are these partnerships effective and bringing mutual benefits?
- c. Does the organisation have a strategy to identify and build partnerships with key stakeholders?
- d. Is the organisation an active member of any relevant formal or informal networks?
- e. Does the organisation have formal agreements with any partners (e.g. Memoranda of Understanding, Terms of Reference)? In these agreements are the roles of each partner clear? Are mutual benefits identified?
- f. Are your partnerships identified in your strategic plan?

### **2. Public Relations and Communication**

- a. Has the organisation identified the stakeholders who are the important target audiences for your communication?
- b. Does the organisation communicate information about its work to its stakeholders (e.g. via a website, annual reports, other reports)?
- c. Do you have sufficient resources (people, money, equipment) dedicated to communication?
- d. Does the organisation develop and use communication plans to identify messages for key target audiences and the best communication products and pathways to reach them?
- e. Does the organisation assess if its communication is effective in reaching stakeholders?
- f. Do the Board and Management take responsibility for ensuring that the organisation is effectively communicating about its work and developing strategic partnerships?
- g. Do the Board and Management use the opportunities they have to promote the organisation with the public, decision-makers and other key stakeholders?

## People and money

*Kerri, Latoya, Glen, St. Bernard*

### **1. Fundraising**

- a. What are some of the challenges in raising funds?
- b. What are some of the options that the organisation has in raising funds?
  - a. What is the capital structure of the organisation and does it have borrowing authority?
  - b. Is the organisation registered as a profit or non-profit organisation? If non-profit, is there grant funding that can be accessed?
  - c. Are government subventions a potential source of resources? If yes, are these easily accessible?
- c. Is there a fundraising plan that includes exploring all possible sources of funding?
- d. Does the organisation have diverse funding sources or is it dependent on only one or a few sources?

### **2. Resource Management**

- a. Has the organisation identified the resources (funds, staff, equipment, and leadership) it needs to accomplish its objectives?

#### *Financial management*

- b. Does the organisation have a bank account?
- c. Does the organisation maintain accurate financial accounts, with adequate documentation of receipts and expenditures?
- d. Does the organisation issue financial reports?
- e. Are financial reports used to monitor expenditure according to budget?
- f. Does the organisation use adaptive management to complete activities within budget or to seek additional resources if needed?
- g. Does the organisation have a system in place to fund overheads (e.g. office rent, computers, telephone and internet, equipment maintenance and insurance)
- h. Does the organisation have a system in place to fund non-project core administrative costs (e.g. for staff and Board meetings, staff development, fundraising and networking)?

#### *Human resource management*

- i. Are the right people in the right jobs and are they organised and structured effectively?
- j. Is there a plan for building the capacity of the organisation's human resources (Board, staff, volunteers, and interns) and is this being followed?
- k. Does the organisation use volunteers or interns? Are they trained and managed so that they are effectively contributing to the organisation's work?
- l. Are performance plans developed for staff, interns and volunteers? Is performance periodically evaluated with the member of staff, intern, or volunteer? Is good performance rewarded? Are areas for improvement identified and addressed by the manager and staff, intern or volunteer working collaboratively?
- m. How are vacancies advertised?
- n. How transparent is the process of identifying suitable persons for various tasks?

#### *Equipment and facilities management*

- o. Does the organisation maintain an inventory of equipment?
- p. Is equipment insured if appropriate?
- q. Is there a plan for managing the organisation's facilities (e.g. office)?
- r. Is regular maintenance conducted for equipment and facilities?

#### *Technology and knowledge management*

- s. Does the organisation maintain records (electronic and hard copies) of its work in files, databases, a library, on web-based storage, etc.?
- t. Is the organisation effectively using appropriate technology to help in its work (e.g. computers, smart phones, databases, internet, GIS, etc.)

## Appendix 8 Practical mentoring session participants

No.	Name	Organisation
1	Lindel Reggie	Dennery Fishers Co-operative
2	Christopher Lamontagne	Co-op department, Ministry of Finance, Saint Lucia
3	Louis George	Laborie Fishermen's Co-operative
4	Julian Alexis	The Soufriere fishermen's Co-operative Society limited
5	Ignatius Noel	Laborie Fishermen's Co-operative
6	Linus Samuel	Laborie Fishermen's Co-operative
7	Harond Collymore	Laborie Fishermen's Co-operative
8	Karlis Noel	Laborie Fishermen's Co-operative
9	Lerana Julien	Laborie Fishermen's Co-operative
10	Julius Edwin	Vieux Fort Goodwill Co-operative
11	George Wilfred	Laborie Fishermen's Co-operative
12	Cynthia Desroses	East coast fishers co-op
13	Rowle Fadlin	Laborie Fishermen's Co-operative
14	Rudy John	President Laborie Fishermen's Co-operative
15	Christiani Leon	Laborie Fishermen's Co-operative
16	Joyce President	Vice President, Vieux Fort Goodwill Co-operative
17	Ernest Inglis	Castries Fishermen's Co-operative Society Limited
18	Mac Clement St.Rose	Vieux Fort Goodwill Co-operative
19	Gregory Detervinne	Anse le Ray Co-operative
20	Felix Chicot	Laborie Fishermen's Co-operative