



EUROPEAN COMMISSION  
DIRECTORATE-GENERAL FOR FISHERIES AND MARITIME AFFAIRS

Structural policy

Brussels, 14.02.2008

## **TOOLS FOR LAUNCHING AXIS 4 OF THE EFF <sup>1</sup>**

**It is important to note that the 'fiches' below are general models. They should not be seen as perfect examples. It is vital for each Member State to adapt them to their specific circumstances by adding or removing certain elements as appropriate.**

### **Part 1. Tools for National and Regional Authorities.**

Fiche 1.1. Declaration of interest for the first capacity building phase

Fiche 1.2. Assessment criteria for the declaration of interest

Fiche 1.3. Model application form for call for proposals

Fiche 1.4. Assessment criteria

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### **Part 2. Tools for local actors.**

Fiche 2.1. Tasks to be carried out during the first capacity building phase

Fiche 2.2. How to carry out a participative diagnosis and strategy for the local area

Fiche 2.3. How to build the local partnership

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<sup>1</sup> This working document was elaborated in cooperation with Paul Soto, Yves Champetier and Jean-Charles Lollier as a contribution towards the conference on tools for launching axis 4 of the EFF, held on 18-19 February 2008 in Marseille, France.

**Part 1. Tools for National and Regional Authorities.**

**Fiche 1.1. Template for declaration of interest application for the capacity building phase**

**European Fisheries Fund 2007 – 2013**

**Declaration of Interest for Axis 4 capacity building phase**

*To be completed by Lead Partner:*

Lead partner (*institution and locality*)

Proposal of territory

Name of possible partnership


*To be completed by Managing Authority :*

Project number (*serial number/code*)

Received (*date*)

Approved (*date*)


*Form to be filled in and returned by e-mail to:*

XXXXXX

## Project Synthesis

### **Updated summarised description of the area** (max. 100 words)

**The territory:** Number of inhabitants. Physical size. Number of municipalities. Main activities.

**The problem or challenge:** Importance and role of fishing. List the key problems or challenges for the area.

### **Partnership**


Partner institutions	Type of organisation	Name and function of the representative	Phone	e-mail	Address
1 (Lead Partner)					
2					
3					
4					
5					

### **Project cost (in €)**

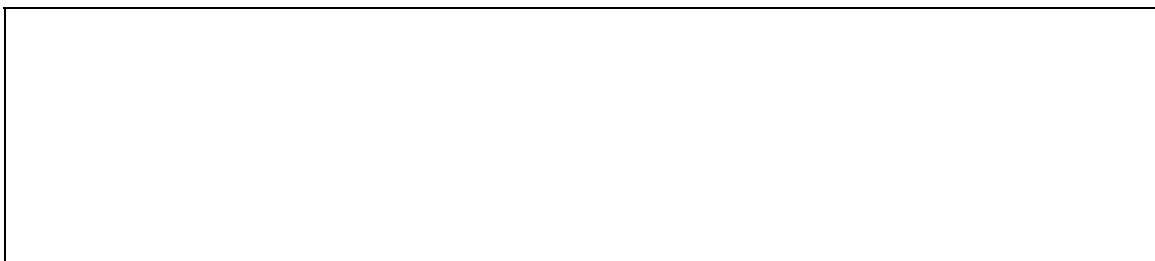
Axis 4 funding	
National, regional or other funding	
<b>TOTAL</b>	

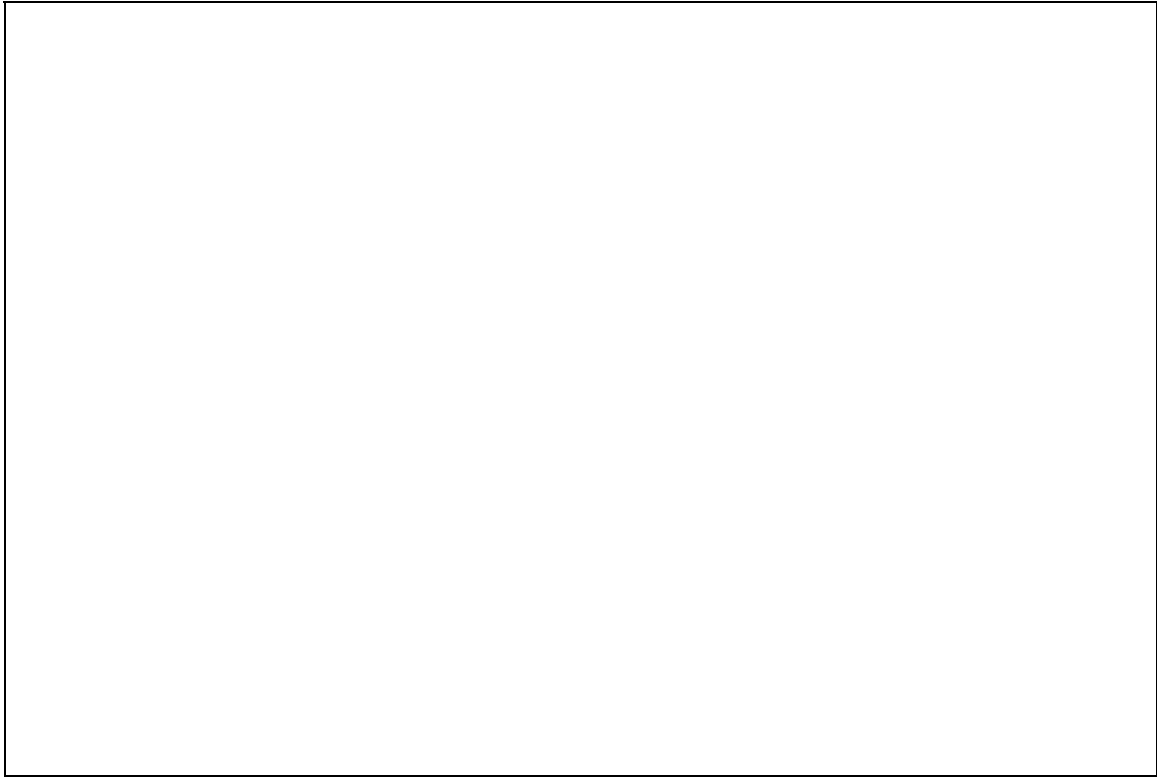
**Project PRESENTATION**

***The starting situation and the challenges that the area faces (1 page)***



**Expected results (1/2 page)**





## **Work Programme<sup>2</sup>**

<b>Objective</b>	<b>Title of action Action</b>	<b>Description of activities, components, means</b>	<b>Month of start 1-6</b>	<b>Month of end</b>	<b>Responsible partner</b>	<b>Cost</b>
Creation of the local group	Steering group meetings	3 Steering groups during the six months in 3 different locations	1	6	Lead partner	
Support	Team or external expertise	Contracting a team of one or two people	1	6		
Sensibilisation/information/	Public information	3 public information meetings of about 100 people	2	6		
Sensibilisation/information/	Public information	Communication tools : brochure, leaflets, etc.	2	6		
Preparation of the business plan	Thematic Working groups meetings	5 thematic working groups/ 3 meetings for each one/ 10 people in each working group – 2 joint territorial meetings	3	4		
<b>TOTAL COST</b>						

<sup>2</sup> The list and timetable are fictitious, indicative and not exhaustive. This table, when complete, should be copied into the excel spreadsheet for the budget. An extra column is added for budget estimates for each action line. This must be coherent with the other budget calculations.

***The Lead Partner's experience***

Experience of the lead partner of the problem to be addressed	
Experience of the lead partner in European Project management	
Experience of the lead partner team to support the preparation of the action plan	
Experience of working with any of these partners	

***Expectations of each partner***

Partner 1	
Specific analysis of the situation and the challenges of the fisheries area	
Specific expectations in relation of axis 4	

Partner 2	
Specific analysis of the situation and the challenges of the fisheries area	
Specific expectations in relation of axis 4	

Partner 3	
Specific analysis of the situation and the	



challenges of the fisheries area	
Specific expectations in relation of axis 4	

Partner 4	
Specific analysis of the situation and the challenges of the fisheries area	
Specific expectations in relation of axis 4	

## Bank information

Name and address of Lead Partner's bank

Name of account

IBAN (International Bank Account Number) [check swift, bank code etc]

Internal reference

If relevant

## Detailed information on the LEAD partner

### LEAD PARTNER

Institution

Contact person

VAT number

Legal status

Address

Postal code		
Town		
Region		
Country		
Phone		
Fax		
E-mail		
Certifying body		

*Project Co-ordinator at the Lead partner*

Name			
Institution			
Address			
Country			
Phone (office)		(mobile)	
Fax			
E-mail			
Contact Person			

## Certification

I hereby certify that the information stated in this application is to the best of my knowledge accurate and true.

Signature:	
Name (capital letters):	
Position:	

Date:

Signature (Finance Director):

Name (capital letters):

Position:

Date:

***Outline text for a letter of commitment by a Lead partner***

Official headed notepaper

*Address of Lead partner*

*Ms or Mr  
Ministry of Fisheries*

*Date*

*Dear Ms or M (Director)*

*The ..... proposes to be the Lead Partner to prepare a local action plan in the framework of the EFF axis 4.*

*The specific challenge we wish to address in our area is AAAAA. We are convinced that by working through axis 4, we will be able to better address these challenges. In this context, if successful with our proposal, we commit to put in place a local group made up of key local stakeholders. This local group will work to define and implement a local action plan using the knowledge and expertise generated by our joint work.*

*To this end we also formally commit to engaging the funds needed to co-finance axis 4. In the first phase this is estimated to amount to ZZZZ €, which will be fund by.....*

Yours sincerely

Person with authority to sign for the Lead Partner.

***Outline text for a letter of commitment by the other partners***

Official headed notepaper  
*Address of partner*

*Ms or Mr*  
*Ministry of Fisheries*

*Dear Ms or M (Director)*

*We wish to be partner in the preparation of an action plan in the framework of axis 4, implemented by the*

*The specific challenge we wish to address in our area is AAAAA. We are convinced that with axis 4, we will be able to better address these challenges. In this context, if successful with our proposal, we commit to participate actively in the axis 4 local group. This local group has the task to define and implement a local action plan using the knowledge and expertise generated by our joint work.*

*To this end we also formally commit to engaging the funds needed to co-finance axis 4 funds. In the first phase our financial support will be ..... Euros.*

*Yours sincerely*

*Person with authority to sign for the partner*

Stamp of the partner

## 1.2. DECLARATION OF INTEREST

### Assessment criteria

Criterion 1: Relevance of the area	Scoring 0-2	Justification for score
Is the area pertinent in relation to the territorial priorities of the Member State in the Operational Programme?		
What is the weight of fishing activities? Is the area significantly affected by changes in the fishing sector?		
Is the area sufficiently coherent in terms of identity, geography or economic activities?		
Will it have sufficient critical mass in terms of its population and its resources? Is there a risk that it is too large in terms of its population and/or geographical size for the future strategy and possible budget?		
Is the area continuous? If so is it sufficiently compact and homogeneous for organising a coherent strategy and involving the population?		
If the area is not continuous, does it have enough points in common for implementing a bottom-up and effective development strategy?		
<b>Score for relevance of the area</b>	<b>Out of</b>	
<b>Criterion 2: Relevance of the strategy</b>		
Does the expression of interest clearly reflect the nature of the problem, and the main challenges of the area?		
Does the expression of interest reflect the opinion of the main actors in fishing communities and other stakeholders?		
In the case of a large port, are the interests of all types of fishermen taken into account in the proposal (including the smaller operations)		
<b>Score for Coherence</b>	<b>Score Out of 10</b>	
<b>Criterion 3: Quality of the actions proposed for the capacity building phase</b>		
Are the activities proposed in the capacity building phase appropriate and consistent with the objectives and expected results?		
Is this action plan clear and feasible?		

Are there sufficient actions for establishing channels of communication, building trust, motivating, capacity building?		
<b>Score for quality of results</b>	<b>Out of</b>	
<b>Criterion 4: Quality of the partnership and lead partner</b>		
Are the main actors and organisations that could affect the success of the local development strategy involved?		
Is the fishing community correctly represented in this first phase?		
Do the applicant and partners have sufficient experience of project management?		
Do the applicant and partners have capacity to obtain the necessary technical expertise?		
Do the applicant and partners have sufficient management capacity? (including staff, equipment and ability to handle the budget for action)		
Are there sufficient co-funding agreements to cover this first capacity building phase?		
<b>Score for partnership</b>	<b>Out of</b>	
<b>Final Score</b>	<b>Out of</b>	

## Fiche 1.3. Model application form for call for proposals

### European Fisheries Fund 2007 – 2013

*To be completed by Administrative Lead Partner:*

Administrative Lead partner (*institution and locality*)

Proposed fisheries area

Name of local group


*To be completed by Managing Authority:*

Code	
Received ( <i>date</i> )	
Approved ( <i>date</i> )	

*Form to be filled in and returned by e-mail to:*

xxxxxx



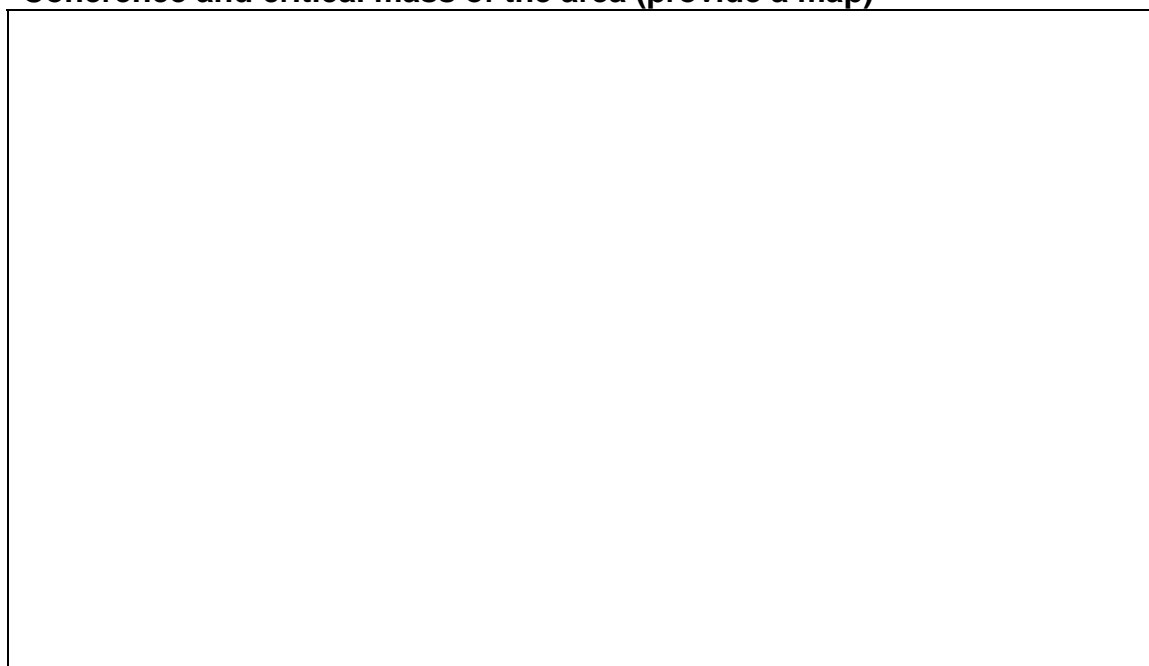
## Summary of the main points in the full study and application<sup>3</sup> of the local group

### 1. The territory:

#### Statistical snapshot of the area

Size	
Municipalities involved	
Number of inhabitants	
Density of population	
Population change (last 10 years)	
Dependency rate (- 15 + 65 /total)	
Total employment in the area	
Unemployment rate and employment rate	
Employment in the fisheries sector	
% in relation to total employment	
% primary, secondary, tertiary sectors	

#### Coherence and critical mass of the area (provide a map)



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<sup>3</sup> The applicant is expected to submit a report containing a more detailed description of the territory, the strategy, the action plan and all information necessary to judge the strength of the partnership.

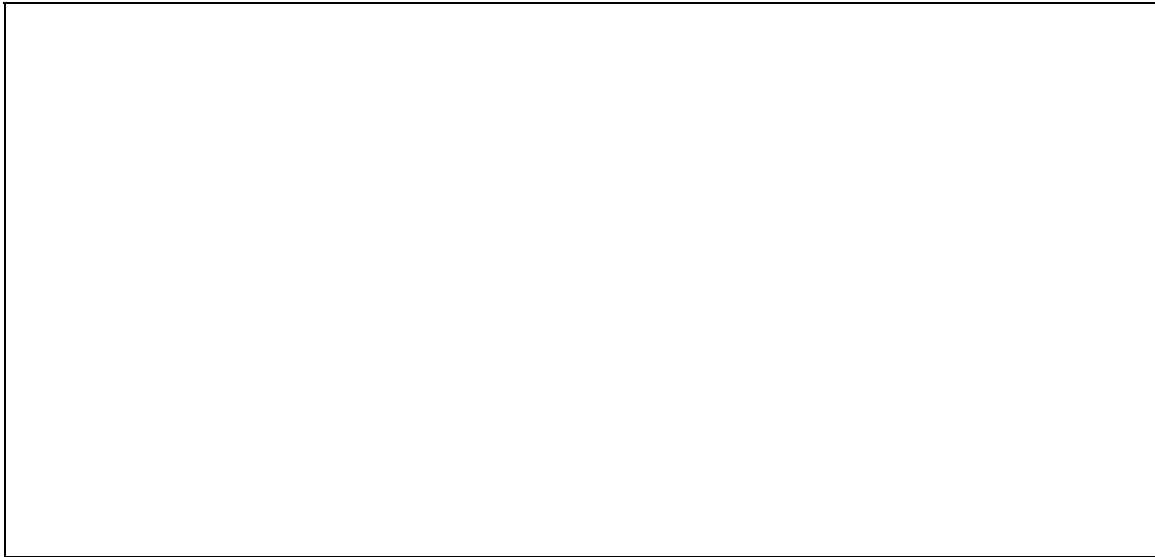
## **2. The Strategy**

**The point of departure: strengths and weaknesses and the main challenges of the fisheries area (1 page)**

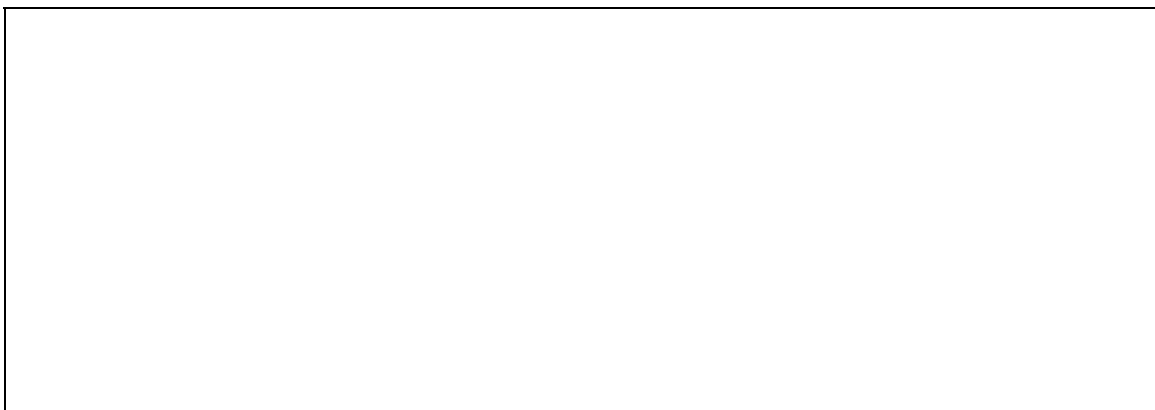
**Presentation of the local development strategy (Describe the main priorities and objectives, their relative importance and the way in which they respond to the challenges above - around 1 page)**

**Expected outputs and results (1 page)**

**Who has been involved in the preparation of the strategy and the action plan? How have they been involved? (around 1 page)**



**Economic viability and sustainability of the results**



**Environmental sustainability and impact.**



**Effect on gender and social inclusion.**

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**Complementarity with other interventions in the area**

<b>Other main public interventions in the area</b>	<b>What are the complementarities with the Axis 4 local action plan?</b>	<b>How does this axis 4 partnership relate to the other local partnerships?</b>	<b>Observations</b>
<b>Other axes of the EFF</b>			
<b>Other EU Initiatives (eg LEADER)</b>			
<b>Other national territorial policies</b>			

**First ideas for cooperation and networking**

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### 3. The Action Plan : Main measures (in €)

	Eligible measures	Total expenditure	%	Axis 4 funding	Other public funding	Private funding
(a)	strengthening the competitiveness of the fisheries areas;					
(b)	restructuring and redirecting economic activities, in particular by promoting eco-tourism, provided these actions do not result in an increase in fishing effort;		0,00%			
(c)	diversifying activities through the promotion of multiple employment for fishers through the creation of additional jobs outside the fisheries sector;		0,00%			
(d)	adding value to fisheries products;		0,00%			
(e)	supporting small fisheries and tourism related infrastructure and services for the benefit of small fisheries communities;		0,00%			
(f)	protecting the environment in fisheries areas to maintain its attractiveness, regenerating and developing coastal hamlets and villages with fisheries activities and protecting and enhancing the natural and architectural heritage;		0,00%			
(g)	re-establishing the production potential in the fisheries sector when damaged by natural or industrial disasters;		0,00%			
(h)	promoting inter-regional and trans-national cooperation among groups in fisheries areas, mainly through networking and disseminating best practice;		0,00%			
(i)	acquiring skills and facilitating the preparation and implementation of the local development strategy;		0,00%			
(j)	contributing to the running costs of the groups.		0,00%			
	<b>TOTAL</b>					

This presentation will have to be in line with the national operational programme.

**Presentation of the financial plan by year (in €)**

	<b>Eligible measures</b>	<b>Total cost</b>	<b>Year 1</b>	<b>Year 2</b>	<b>.....</b>
(a)	<b>strengthening the competitiveness of the fisheries areas;</b>				
(b)	<b>restructuring and redirecting economic activities, in particular by promoting ecotourism, provided these actions do not result in an increase in fishing effort;</b>				
(c)	<b>diversifying activities through the promotion of multiple employment for fishers through the creation of additional jobs outside the fisheries sector;</b>				
(d)	<b>adding value to fisheries products;</b>				
(e)	<b>supporting small fisheries and tourism related infrastructure and services for the benefit of small fisheries communities;</b>				
(f)	<b>protecting the environment in fisheries areas to maintain its attractiveness, regenerating and developing coastal hamlets and villages with fisheries activities and protecting and enhancing the natural and architectural heritage;</b>				
(g)	<b>re-establishing the production potential in the fisheries sector when damaged by natural or industrial disasters;</b>				
(h)	<b>promoting inter-regional and trans-national cooperation among groups in fisheries areas, mainly through networking and disseminating best practice;</b>				
(i)	<b>acquiring skills and facilitating the preparation and implementation of the local development strategy;</b>				
(j)	<b>contributing to the running costs of the groups.</b>				
	<b>TOTAL</b>				

## Template for presentation of the main indicative actions in each measure

	<b>Name of the action</b>
<b>Measure c)</b>	<b>c.1: Creation of ecotourism products related to fishing</b>
<b>Main objectives</b>	
<b>Description of the content of the proposed action</b>	
<b>Target beneficiaries</b>	
<b>Expected outputs and results</b>	
<b>Type of eligible expenditure</b>	
<b>Expected expenditure</b>	
<b>Intensity of public aid (%)</b>	
<b>Selection criteria and procedure</b>	

Some countries require a more detailed funding plan for each action but this is a question of balancing flexibility with the need for sufficient detail to judge the proposal

### FUNDING PLAN ACTION 1

	Year 1	Year 2	Year 3	.....	
<b>Total funding</b>					100%
<b>Axis 4 funding</b>					x%
<b>Other public funding</b>					
<b>Private funding</b>					

#### 4. The local group

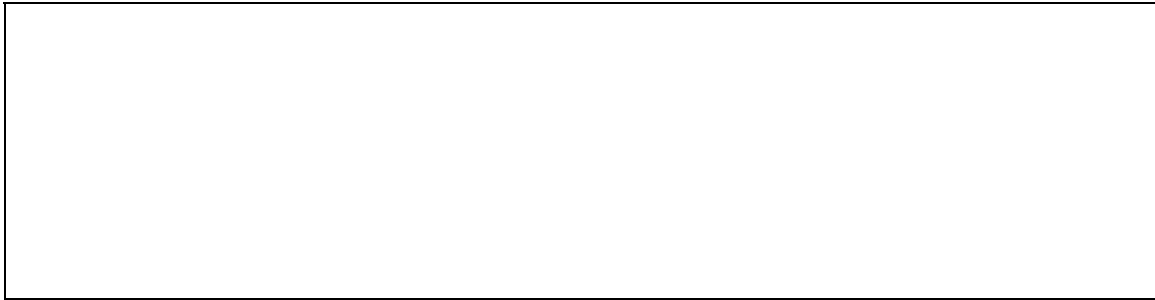
Partners	Name of organisation	Type of organisation	Specific responsibility in the local group	% representation on decision making body
Administrative Lead partner				
Representatives of fisheries sector 1/ 2/ 3/				
Representative of other private partners 1/ 2/ 3/				
Representative of other public partners 1/ 2/ 3/				

#### Representativeness in relation to the socio-economic structure of the area

#### Experience of the main partners in the fishing sector and in territorial development (qualified staff, previous activities.....)



**Administrative capacity (qualifications of the staff responsible for administration and financial control)**



**Financial solvency (financial resources managed, commitment to provide cofunding....)**



**Working and decision making procedures (requirements for becoming a partners, rights and obligations of partners, decision making procedures, working groups, financial contributions, accounting procedures....)**



**Procedures for promoting and selecting projects (information to the population, calls for tender, selection criteria, selection committees, certification of expenditure, payment...)**



## Detailed information on the LEAD administrative partner

### LEAD ADMINISTRATIVE PARTNER

Institution		
Contact person		
VAT number		
Legal status		
Address		
Postal code		
Town		
Region		
Country		
Phone		
Fax		
E-mail		
Certifying body		

### *Project Co-ordinator at the Lead administrative partner (or in other institution)*

Name		
Institution		
Address		
Country		
Phone (office)		(mobile) <input type="text"/>
Fax		
E-mail		

### *President of the Local Group*

Name		
Position and / or Institution		
Address		
Country		
Phone (office)		(mobile) <input type="text"/>
Fax		
E-mail		

## Bank information

Name and address of Lead administrative partner's bank

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Name of account

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IBAN (International Bank Account Number) [check swift, bank code etc]

--

Internal reference

If relevant

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## Certification

I hereby certify that the information stated in this application is to the best of my knowledge accurate and true.

Signature:

Name (capital letters):

Position:

Date:

**Outline text for a letter of commitment by a Lead administrative partner**

Official headed notepaper

*Address of Lead partner*

*Ms or Mr*

*Ministry of Fisheries*

*Date*

*Dear Ms or Mr (Director)*

*The ..... proposes to be the Lead administrative partner to manage the local action plan in the framework of the EFF axis 4.*

*The specific challenge we wish to address in our area is AAAAA. We are convinced that by working through axis 4, we will be able to better address these challenges. In this context, we have put in place a local group made up of key local stakeholders. This local group will implement our local action plan using the knowledge and expertise generated by our joint cooperation.*

*To this end we also formally commit to participate in the co-financing of our axis 4 action plan by contributing an amount of ..... euros.*

Yours sincerely

Person with authority to sign for the Lead administrative partner.

**Outline text for a letter of commitment by the other partners**

Official headed notepaper  
Address of partner

Ms or Mr  
Ministry of Fisheries

Dear Ms or Mr (Director)

We are partner in the local group in charge of implementing an action plan in the framework of axis 4, which will be managed by.....

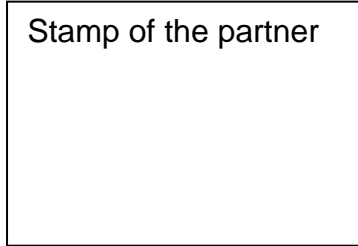
The specific challenge we wish to address in our area is AAAAA. We are convinced that by working through axis 4, we will be able to better address these challenges. In this context, we have put in place a local group made up of key local stakeholders. This local group will implement our local action plan using the knowledge and expertise generated by our joint cooperation.

To this end we also formally commit to participate in the co-financing of our axis 4 action plan by contributing an amount of ..... euros.

Yours sincerely

Person with authority to sign for the partner

Stamp of the partner



## Fiche 1.4. FINAL SELECTION OF AXIS 4 LOCAL GROUPS

### Assessment criteria

Criterion 1: Relevance of the area	Scoring 0-2	Justification for score
Is the area pertinent in relation to the territorial priorities of the Member State in the Operational Programme?		
What is the weight of fishing activities? Is the area significantly affected by changes in the fishing sector?		
Is the area sufficiently coherent in terms of identity, geography or economic activities?		
Does the area have sufficient critical mass in terms of its population and its resources? Is there a risk that it is too large in terms of its population and/or geographical size for the future strategy and possible budget?		
Is the area continuous? If so is it sufficiently compact and homogeneous for organising a coherent strategy and involving the population?		
If the area is not continuous, does it have enough points in common for implementing a bottom-up and effective development strategy?		
<b>Score for relevance of the area</b>	<b>Out of</b>	
<b>Criterion 2: Relevance of the strategy</b>		
Does the analysis of the strengths and weaknesses of the area (SWOT) really take account of long term needs, challenges, threats and opportunities?		
What is the quality of the supporting information about fundamental changes in fishing, the main economic sectors, the environment and the social make up of the area?		
Are the challenges tackled by the project, the objectives and expected effects (outputs and results) clearly defined and meaningful?		
Does this analysis reflect the opinion of the main actors in fishing communities and other stakeholders? How have they been involved in designing the plan?		
Does the strategy take account of the main conflicts of interest between activities over the use of land and other resources?		
Is this strategy sustainable in the sense that private and public actors are committed to develop it over the long term? Have the risks of failure and conditions of success been assessed realistically?		
Has the impact on the environment been sufficiently taken into account?		
Is the problem of gender and social inclusion analysed and included in the strategy?		

Are there methods and systems of coordination which ensure synergy with the other axes of the EFF and with other Community Instruments or national territorial policies to obtain maximum leverage for the area?		
Are the proposals for networking and cooperation pertinent to the area?		
<b>Score for Coherence</b>	<b>Score Out of 10</b>	
<b>Criterion 3: Quality of the action plan</b>		
Is the budget logically distributed between the measures and actions and does it reflect the local strategy?		
Are the measures and the resources assigned to them sufficient to achieve the priorities and objectives in the strategy?		
Is the budget allocated to management and coordination tasks sufficient (e.g. percentage of total costs)?		
Are there adequate agreements for co-funding the strategy?		
Is there an adequate balance between public and private projects?		
<b>Score for quality of results</b>	<b>Out of</b>	
<b>Criterion 4: Quality of partnership and lead partner</b>		
Do the decision making bodies of the local group fairly represent the socio-economic structure of the area?		
Is the fishing community, in all its diversity, adequately represented in the local group?		
If the partnership is an existing organisation, have the necessary steps been taken to ensure that there is a balanced representation of fishing interests in the decision making procedures?		
Have the roles, responsibilities, rights and tasks of the partners been clearly defined? Is adequate evidence provided in supporting documents?		
Does the group have the necessary administrative and financial capacity to implement and manage the action plan?		
Does the group have the necessary capacity to provide technical assistance to the projects envisaged in the strategy?		
Does the group have the necessary staff to animate the territory and encourage both individual and collective projects?		
Have the necessary procedures been foreseen to monitor and evaluate results?		
Are the procedures for promoting and selecting projects clearly defined, transparent and fair?		
<b>Score for partnership</b>	<b>Out of</b>	
<b>Final Score</b>	<b>Out of</b>	

**Fiche 1.5. Information and training seminars for local actors**

*document produced by the French administration for the attention of fisheries dependent areas*

**You are a local actor working in coastal areas**, you plan, together with a group of actors from your area, to submit an application regarding the future call for proposals under axis 4 of the EFF, with a view to setting up a local development strategy that fully involves actors from the fishing community,

**We offer to provide support for your initiative by setting up workshops organised at local level.** These workshops will take place in the coming months. In order for this support to be as effective as possible, you will find below a questionnaire that will help us to find out more about you and identify your expectations.

**GETTING TO KNOW YOU**

-----

**1. Identification (Please indicate your contact details, what you do and who you represent as a local actor)**

Surname .....  
First Name .....  
Job Titles .....  
Address .....  
Post Code .....  
Town .....  
Telephone .....  
Email .....

Name of the structure or group of actors you will represent or for whom you work:  
.....  
.....

Sectors of activity or areas of competence in which you are involved:  
.....  
.....  
.....

If your activities mean working on a wider level than coastal areas (at national, regional level or in sectors indirectly concerned by the issue), please specify in which regard you wish to take part in these workshops (assistance for applications – interest in the initiative – possible support you could provide, or for your own information, etc.):

.....  
.....



**2. Description of the issues that lead you to be interested in these local EFF-initiatives (please specify in a few words any details you might like to give us at this stage. These may directly concern a geographic area, a sector of activity, environmental issues, university or research contributions, etc.)**

.....  
 .....  
 .....  
 .....  
 .....  
 .....  
 .....  
 .....

**3. Are you in an area eligible under axis 4 of the EFF? IF so, please indicate where possible the main characteristics of this area (boundary – socio-demographic characteristics, economic characteristics, etc.)**

.....  
 .....  
 .....  
 .....  
 .....  
 .....  
 .....

**4. Have you already identified, or do you work with other actors on these issues. If so, can you name the resource persons it might be useful to bring into the discussions at this stage (if possible with their contact details, even if only partial). Where appropriate, you will be responsible for mobilising these actors at a later stage:**

Structure	Surname – First Name	Role - Activities	Contact details	Observations

## IDENTIFYING YOUR EXPECTATIONS AND NEEDS

-----  
 In order to adapt the support we propose in the form of workshops to match your needs, we kindly ask you to specify, in order of importance, the topics most useful to you from those listed below:

Topics	Very important	Important	Not necessary	Observations

Reminder of the concepts of local development and how they tie in with the problems encountered by the fishing and aquaculture industry				
Knowledge of local actors				
Knowledge of actors from the fishing and aquaculture community				
Arrangements for implementing axis 4 of the EFF and its territorial measures				
Presentation of the other sources of funding and articulation with other EU programmes and funds				
Drawing up a diagnosis of the area (analysis of strengths/weaknesses, opportunities/threats) and strategy				
Drawing up the development and financing plan				
Involvement of actors – Setting up an EFF group				
How the EFF group operates				
Follow-up and evaluation of the proposed strategy				
Legal and financial aspects of setting up the group and preparing the application				
Better knowledge of the EFF and the different possibilities it offers				
The different actors involved in the procedure at all levels (from local to European). Who does what?				
Testimonies of similar experiences – concrete examples in the fishing community or others and possibly in your area				

*Please tick the boxes concerned*

***In terms of method, would you like:***

- A simple information meeting\*
- Training on how to draft the application\*
- A meeting to identify potential actors and help to formalise future contacts
- A debate between actors on the locally identified application(s)\*

\* These different options are not mutually exclusive (please indicate in order of priority the desired option 1 – 2 – 3 or delete where appropriate the options you feel are unnecessary).

**In terms of the format of these workshops, do you think** *(delete as appropriate):*

- That it should be restricted to local actors only\*
- That it should be extended to include all actors concerned (regional – county level, etc)\*
- That it should be held over **one day, one and a half days, two days** *(delete as appropriate)*

**OTHER OBSERVATIONS AND COMMENTS**

.....  
.....  
.....  
.....  
.....  
.....  
.....  
.....  
.....  
.....  
.....  
.....

**THANK YOU FOR YOUR PARTICIPATION – THIS FORM SHOULD BE RETURNED BY  
EMAIL OR FAX TO THE ATTENTION OF XXXXX**

*(if you do not have an electronic version of this form, we will be pleased to send it to you  
on request)*

**Part 2. Tools for Local Actors.**

## **Fiche 2.1. Tasks to be carried out during the first capacity building phase**

*This introductory section simply contains a reminder of some of the main milestones in the first capacity building phase for new groups wishing to launch a territorial development strategy. The most important tasks are the development of a participative diagnosis and strategy and the building of the local partnership. Both issues are dealt with in more detail in the following two sections.*

1. Set up a preliminary, informal steering group of interested actors. Meet to discuss the aims, the axis 4 global strategy, who should be involved, the possible boundaries of the territory. Write a 'to do' (and 'to contact') list and a time table. Allocate tasks. Get started.
2. One person or group of people should be in charge of contacting external authorities, getting hold of the programme and knowing exactly what is possible.
3. Check and assure the funding for the capacity building phase. Calculate that you need about two full time experienced workers or consultants over a six month period plus a lot of meetings and voluntary work.
4. Contact and involve the main stakeholders and opinion leaders. Explain the opportunity and try to ensure that there is a majority in favour of embarking on the process.
5. Publicise and hold a first public meeting. Contract the team who will do the work. Launch the process of developing the participative diagnosis and strategy as described in the next two sections. Ensure good communication to local people throughout the process.
6. Use the process of developing the strategy to identify and mobilise the main stakeholders that will form the partnership. The detailed strategy, the plan and the partnership have to move forward in parallel. It is often better not to formalise the partnership before you have agreed what you are going to do and where.
7. There will be a period of intense village and stakeholder meetings which may go on late into the night over many months. It will be necessary to overcome traditional rivalries and reach an agreement over both the plan and the make up of the partnership.
8. The broad strategy needs to be translated into a detailed business plan which meets all the criteria of the funding programme. The same applies to the partnership.
9. The programme is presented. After what seems like an eternity, the funding is approved. What appeared to some people to be a theoretical discussion finally becomes reality. The partnership takes responsibility for decisions affecting significant public and private resources. The first decision is taken. The real work starts. Slowly things begin to change.

## **Fiche 2.2 . How to develop a participative diagnosis and strategy for the local fisheries area.**

*There is clearly no single recipe for carrying out a participative local diagnosis and developing a bottom-up territorial strategy. Both depend very much on local conditions, the characteristics and experience of each area and of local stakeholders, as well as the institutional arrangements in each country and its tradition of local development.*

*However, during the early stages of LEADER II, the European LEADER Observatory devoted considerable attention to analysing certain tools for participative diagnoses and strategies. These are referenced below. Since that period, many programmes like EQUAL, URBACT and INTERREG have adopted elements of Project Cycle Management and the Logical Framework Approach which has the advantage of linking a number of tools into a more coherent conceptual framework for managing both programmes and project in a way that really meet the needs of local areas.*

*It will also be important to learn from the intense recent experience of local capacity building in Member States that joined the EU most recently, although unfortunately there has not yet been an opportunity to compare and systematically share lessons, tools and methods.*

*So the points below should be treated as a series of suggestions or “pistes” around which territories can shape their own approach rather than a blue print to be followed mechanically.*

### **Aims:**

- To build a shared understanding of the main problems and needs of a local fishing area.
- To identify and build agreement on how this affects different groups, particularly local fishing communities and different parts of the territory.
- To collectively take stock of the main causes of these problems and the internal strengths and weaknesses of the area for dealing with them.
- To create awareness of the common external threats and opportunities.
- To develop a shared vision and strategy for achieving this vision, which can be used as a flagship for bringing on board key internal and external actors.

### **Key points to remember.**

The diagnosis should not be an exhaustive, academic description of an area (many bad studies contain vast tomes listing all the flora, fauna, geology, social features, economic sectors, etc). Nor is the strategy simply a “wish list” or a glossy repackaging of the latest development concepts in order to get funding.

*It is a collective tool for starting to prioritise problems, understand their causes and mobilise actors around promising solutions.*

## Main Steps

1. Creation of a preliminary steering group to coordinate the diagnosis and strategy. The SG can start narrowly with at least two partners (for example, the local fishing community, and a local authority) but should progressively be broadened and may eventually evolve into the local group.
2. Contracting a team of one or two people to carry out the diagnosis. They may come from within the area, from a university, a public agency or a consultancy. They need to have proven skills and experience in research, territorial development and facilitation. Calculate for about two full time equivalents for six months (for all stages – diagnosis and strategy, business plan, formation of the partnership). There may be a need for more people and time in areas with no experience of similar processes. On the other hand experienced areas and groups will find it easier use internal resources to build on past success.

The entire process requires an intense sequence of meetings and discussions with the different villages and stakeholders. This requires lots of voluntary work and good animation and facilitation skills. Even the most experienced areas will benefit from the support of skilled experts at certain points.

3. Carrying out an initial scan of all secondary sources. The aim is not to repeat what has already been done. It is important to ensure that all existing plans and strategies for the area are taken into account. Use existing studies and calculations where they are reliable.
4. Organise the secondary information into a series of logical sections. These usually cover: the territory and environment, transport and infrastructures, population and society, the economy and labour market, governance and administration...). For each area it is worth formulating a set of preliminary hypotheses about the main problems and changes taking place.
5. Interview a series of key stakeholders (we propose a minimum of 10). The aim is to tap local knowledge about the main problems and opportunities and to start to map out where there is agreement and where there are potential conflicts. This also allows one to identify opinion leaders, to see who is prepared to be involved in the thematic working groups and to check out possible future partners of the local group.
6. First public information meeting. This may have to take place in several villages or parts of the area. The aim is to inform as many local people as possible that a local diagnosis is taking place, that it will be used as the basis of a local strategy and action plan for the fishing area, and that this will be submitted to obtain funding for the area. From this meeting, people should be invited to a series of thematic or sectoral working groups. Throughout the processes it is important to make an effort to ensure good communication with local people to ensure a high level of participation of all possible interested parties.

7. Thematic working groups. It is important to identify potential chairs or coordinators of the working groups that command respect within the community before the public meeting. The aim is to involve a broad cross-section of motivated local people who have ideas. Care should be taken to involve groups that are usually excluded.
8. Choice and number of themes. This depends on the area, the resources available, and the axis 4 global strategy. One could, for example, have working groups on the valorisation of fish products, the diversification of fishing activities, the protection of the environment and the development of fishing related tourism. There may also be working groups for women or young people. It is often necessary to break into even smaller groups and use methods which make it easier for people who are not used to working together to participate. In general there should be no more than ten people per group and they should command respect and consult with their peers. It may be useful to have presentations and support by outside experts as long as they do not dominate.
9. It is useful to have a minimum of 2-3 meetings per group to carry out the following tasks:
10. A stakeholder analysis. It can be very helpful to carry out a formal analysis of the different stakeholders associated with a particular theme, their interests, capacity and possible projects. There are various techniques for doing this (stakeholder analysis matrix, SWOT matrix applied to specific groups, Venn diagrams of relationships, spider diagrams of organisational capacity, etc)
11. The collective identification of problems, opportunities and their causes. The aim is to bring the different stakeholder points of view together and to try and reach agreement on the main problems, opportunities and their causes. Once again there are different techniques for doing this. Participants can use a matrix to score the links between different variables (drivers) and can build a problem tree.
12. A SWOT analysis of the theme or sector in question. This will work through the internal strengths and weaknesses of say the tourist sector linked with the fishing activity in the area and compare this with the external opportunities (closeness to a large city) or threats (other cheaper or better quality destinations, etc). Once again it is possible to display this as a matrix or as a spider diagram.
13. An analysis of objectives. The problems or negative situations can be rephrased as positive situations that are realistically achievable. It is also important to allow space for more forward and positive thinking “visions” of what the area might become – although this also has to be prioritised and subjected to a reality check in the next phase.
14. An analysis of possible strategies for achieving the objectives. This involves participants deciding on how to reinforce the areas strong points, reduce its weak points, avoid the threats and take full advantage of the opportunities. At this stage it is useful to start considering available resources – by for example, carrying out exercises with indicative budgets and actions.



15. At the end of this phase, thematic working groups will all have a basic picture of the main problems or needs, what they would like to achieve in relation to these needs, and how they think it would be best to get there expressed in terms of a series of feasible actions.
16. Joint territorial meeting(s). The next phase is one of the most delicate as it involves bringing the different thematic visions together to create one unified territorial strategy. This is much more than simply adding up the positions of the sectoral groups. Constructive leadership and a spirit of compromise is essential to identify the synergy between actions and develop common win-win strategies. This involves starting with the actions and projects where there is agreement and leaving aside those which cross the red lines of one or more local stakeholders. More importantly it is necessary to find flagship projects and lines of action with a strong multiplier effect on the rest of the strategy and which mobilise the different local actors. In order to do this, the LEADER II Observatory developed a method for visualising the ways in which it is possible to improve territorial competitiveness.
17. The planning phase. This more technical part of the process results in what is often called the group's "business plan" and deserves a separate fiche of its own. It involves developing a clear "intervention logic" for the strategy which links the overall objective, purpose, expected results and activities to a set of verifiable indicators and is based on realistic assumptions. These activities must be allocated a budget, made the clear responsibility of a member of the organisation, and planned over time with identifiable intermediate (milestones) and final outputs.

## **SOME USEFUL LINKS**

Territorial competitiveness: Creating a territorial development strategy in light of the LEADER experience

<http://ec.europa.eu/agriculture/rur/leader2/rural-en/biblio/compet/competitivite.pdf>

The Leader Teaching Guide. The Area Based Approach

[http://ec.europa.eu/agriculture/rur/leader2/dossier\\_p/en/dossier/chap3.pdf](http://ec.europa.eu/agriculture/rur/leader2/dossier_p/en/dossier/chap3.pdf)

Local Project: Methods and Concepts for Local Initiatives. Leader II Observatory. 1995.  
No link

Sound Planning. A Community of Practice on Project Cycle Management.

<http://soundplanning.esflive.eu/node/297>

### Fiche 2.3. How to build the local partnership

*The partnership has often been described as the “living heart” of territorial approaches to development and the most important component of methods like LEADER and axis 4 of the EFF. In fact, it is said that a good local partnership can survive with a mediocre strategy but that a bad partnership can ruin the best made plans.*

*Yet when one digs a little deeper, one finds that the nature, size, composition and functions of partnerships vary enormously in different parts of Europe. For example, the total budgets of the 16 partnerships that presented their results in the closing conference of LEADER+ in 2007 varied from 14 million euros for a population of 61,000 in the case of Greece to 3.5 million euros for a population of 82,000 in France. Clearly the roles, responsibilities and activities of these partnerships with respect to their territories are quite different.*

*In fact, there is no one size fits all solution when it comes to building a local partnership. The form of the partnership will depend upon a series of factors like the organisational tradition of the area, who initiates the partnership, the institutional context and the stage and aims of the partnership, the specific objectives of axis 4 in the operational program. It is important to be clear about a series of key issues in these fields before deciding who does what and how.*

#### **The organisational tradition of the area.**

The stakeholder analysis described above in the strategy section is designed to produce a map of the strength of existing organisations, their aims and ambitions, their capacity, potential conflicts and points in common. At least three main types of situations can be distinguished.

- *Areas with a shortage of local initiative.* “Not even the dog moves in my village”. The partnership, often limited to a small number of highly motivated actors, must kick-start local action. This means identifying and involving any focal points of energy within the community and nurturing them to create projects that have a demonstration effect on other people. The starting point may simply be to surprise people by getting the dog to move.
  - The key task here is animation.
  - Partnerships are often new, free standing organisations because there is nothing else.
- *Areas with a crowded playing field.* At the other extreme there are areas where a number of experienced internal and external players compete for similar domains of responsibility. In these situations, a new partnership can either confuse the situation even further by creating yet another competitor, it can link in with one or more of the main players thus tilting the balance of power, or it can become a forum for negotiating and coordinating different local interests for mutual benefit and for taking better account of the interest of fishing communities.
  - The key task here is “brokerage”

- Partnerships can, in some cases, be grafted on to existing organisations
- *Areas with a history of conflict.* In certain places, like Northern Ireland, one of the main values of the partnership is to launch practical projects which build bridges between people who would normally rather drown than get into the same lifeboat as their historical enemy.
  - The key task here is mediation.

### **Who initiates the partnership.**

The EFF Regulation states that the “group should represent public and private partners from the various local relevant socio-economic sectors”. If there is an elected local authority in the area this, of course, immediately begs the question of the role of another “representative” body. The answer can be found in the fact that by bringing in private and civil society organisations, the group is able to add to or deepen, rather question, or bypass existing elected structures.

However, the contribution and aims of public, private and civil society organisations tend to be different and this shapes the partnership.

- *Partnerships led by the public sector.* Many of the Southern European countries (and now the New Member States) had a weak tradition of local government. Nevertheless, civil society organisation was even weaker and local mayors were often the most active players in local development.
  - Partnerships which start off in this way tend to focus heavily on physical investment and infrastructure.
  - They can play an important role in strengthening municipal and inter-municipal governance but there is a risk that they do not become self-sustaining.
- *Partnerships led by the private sector or representatives of a specific sector of activity.* Some partnerships arose as the result of private firms or the representatives of a specific sector of activity like fishing, coming together to respond to a crisis or to expand the market by joint promotion.
  - These kinds of partnerships can have the advantage of mobilising considerable amounts of private investment and talent.
  - But they often limit their activities to improving the competitiveness of their own sector, without taking sufficient account of the opportunities for diversification, improving the environment and opening out to new groups and activities
- *Partnerships led by civil society.* In certain Nordic countries and the West of Europe, the partnerships have sprung up from civil society organisations concerned to improve the environment and the quality of life.
  - The focus in these kinds of partnerships tends to be on soft investments in animation, training and culture as well as local jobs, the environment and community facilities.

- These can have positive effects on social and environmental sustainability but ultimately hit bottlenecks related to economic viability and political legitimacy.

The advantages and disadvantages of the different mixes of partners has led some Nordic countries to advocate the “one third principle” where there is an equal balance of the three main categories. But as mentioned before there is no magic solution. The important thing is to find a blend of partners which brings in the enthusiasm, skills and resources which most suits the needs of the fisheries area.

### **The institutional context.**

In some countries there is long tradition of entrusting public programmes to public-private partnerships. In others, it is inconceivable that a non-public organisation manages public money.

Partnerships also have different levels of legitimacy and support for forging horizontal alliances at local level and vertical linkages with higher levels of government. This shapes the way in which the partnership evolves.

- *Local integration.* Strong, free standing partnerships which command the respect of other local institutions and actors can become the focal point for the coordination of a range of other local development functions. They can start with a particular programme – for the sustainable development of fisheries areas or for rural development, and then lever in a range of other functions concerning employment, business development, training, social inclusion and so on. Some Portuguese and Greek LEADER groups have evolved in this direction to become true local development agencies.
- *Specialisation and innovation.* In countries with a crowded playing field of local development agencies and actors, new partnerships are simply grafted on to existing organisations such as the parks and “pays” in France or the local enterprise companies in Scotland. As the host organisation already manages a range of programmes for business support, employment and training, it tends to use the new partnership to test new more specialised initiatives which add value to the mainstream functions, and to take better account of the specific problems like those concerning the fishing community. This explains why the budget is often much smaller than in the first case and the proportion of private investment much lower. However, not all countries and regions have the organisations in place to make this strategy viable.
- *Strategic and integrated policy.* In some countries the partnerships not only command considerable local respect but are also considered to be agents for implementing key policies by their regional or national governments. This is the case of some of the integrated area partnerships in Ireland and the rural development groups in regions like Andalucia.

## The stage of development and functions of the partnership

From everything that has been said above it can be seen that the aims of a partnership in an area which is just getting started, where there is a shortage of local initiative and an absence of local development structures, will be totally different from that of an area with a strong tradition of local development. After an analysis of hundreds of rural development partnership, the LEADER Observatory made a distinction between three main functions and types of action:

- *Animation functions and actions.* These provide the basic fuel for the development process. It is essential to identify and mobilise opinion leaders and spark off exemplary activities with a multiplier effect on the rest of the community, build a sense of identity and raise capacity.
- *Structuring functions and actions.* These improve the area's material and immaterial environment to make it more conducive to the sustain creation of activities. They change the territorial competitiveness of the area in relation to others. Examples include improvements in infrastructure, the environment, workspace, and also training and education.
- *Consolidating functions and actions.* These aim to ensure the viability and overall sustainability of socioeconomic activities. Actions of this type often relate to building up local clusters, integrated value added chains, territorial marketing and so on. Innovation and change is embedded in everyday activity.

The first two types of activity tend to be more important in the early stages of the partnerships.

Partnership Characteristics	MANAGEMENT COORDINATION	ANIMATION
AIMS and OBJECTIVES	Obtaining, distributing and consuming a budget	Identifying and mobilising the local actors
DYNAMICS and LOGICS	Presenting an application eligible for a procedure	Widening the basis of the development
RESULTS and effects EXPECTED	Carrying out a programme	Innovating and boosting
COMPOSITION and OPENING	Closed partnership between a few people	Opening reasoned around ideas and themes

In "Organising local partnerships" "Innovation in rural areas", Notebook n°2, LEADER European Observatory, 1997

## **What to look for in the partners.**

We have seen that some partnerships will be free standing organisations with a separate legal entity while others will be subcommittees grafted on to existing organisations with its own rules and regulations.

Free standing legal entities can take many forms depending on the country – associations, foundations, consortia, private companies, cooperatives, public companies and so on.

In most cases there will be some kind of broad assembly which is open to the entire community. However, the key issue is usually the representation on the decision making board. This must be large and open enough to command wide community respect but small enough to allow effective debate and decision making.

The real balance of power on the board of a partnership is often more complicated than it seems initially. For example, many private and civil society institutions may in effect be quasi-public organisations or totally dependent upon public funding. Many political and community leaders also wear different hats and appear in different guises in other organisations. It is important that the “family tree” be transparent and command respect from the wider community.

The members of the board are usually unpaid - although in some countries the presidency takes a large amount of time and may receive remuneration. So it is vital for the rights and recognition received by the partners to compensate their duties in order to avoid what is often called “community burn out”. This leads to apathy, low participation and the domination of the same old faces.

In general partners have two broad functions. Firstly they communicate the aims and activities of the partnerships outwards and mobilise a particular constituency. This is why it is particularly important to ensure that excluded groups are also represented along side representatives of the stronger driving forces within the community.

Secondly, they use their knowledge of local reality to take decisions on the strategy and the actions launched by the partnership which are more in tune with local needs and potential. This is why it is important to have partners with a deep experience of the main fields of action of the partnership. Their involvement not only improves decision making but also leads to a sense of community ownership and responsibility.

Partnerships like this do not just materialise out of thin air. It usually takes between six months and a year for people to get to know each other, build trust and start to settle into their roles. Simple written guidelines and procedures often help. It is also vital to provide ongoing training for the partners – strategic planning, team work and leadership, change management, managing meetings, project selection, training on particular themes such as tourism or food quality marks, and so on.

There are now excellent examples of both training materials and guidelines for partnerships that new groups can draw on.

<b>Summary TABLE: Local partnerships, the driving force behind innovations</b>						
<b>BRINGING TOGETHER &gt;</b>		<b>Awareness</b>	<b>Points of view</b>	<b>Interests</b>	<b>Abilities to mobilise</b>	<b>Know-how</b>
<b>DIFFERENT PARTNERS</b>	People and voluntary sectors	of the social and cultural aspects	on listening and dialogue	in people, quality of life	human resources	coordination of discussion
	Businesses	of the economic aspects	on the time/efficiency factor	in the markets, economic profitability	financial resources and private heritage management and development	
	Public institutions and local authorities	of the political and institutional aspects	on the general interest	in planning and providing facilities for the area (economic, cultural, environmental)	financial resources and public heritage	institutional support
<b>ALLOWS THE FOLLOWING TO BE OBTAINED &gt;</b>		improved readings of the area	new combinations of ideas	more mature projects	a more effective implementation	a better durability of the actions
		highlighting unsuspected opportunities	germs of innovation	integrating the interests of the different social groups and creating social cohesion	guaranteeing better risk management	based on the ability to be constantly renewed

In "Organising local partnerships" "Innovation in rural areas", Notebook n°2, LEADER European Observatory, 1997

### **What to look for in the permanent team**

The number of people working in the permanent team of a partnership can vary from two full time equivalents in a partnership which is acting as a niche specialist within an existing organisation to over 20 staff in the integrated area partnerships which coordinate a range of programmes.

The important thing is to ensure there are good quality staff that can cover a range of functions either inside the partnership itself or in associated organisations. The partnership is never an island.

The kinds of skills (and therefore, the training), that needs to be covered can be broken down into a number of types.

- *Strategic Planning.* The development of the original strategy and business plan can be contracted to an external expert. However, this will require constant evaluation and adaptation. So it is essential that the LAG manager be able to see "the wood from the trees" and can work towards a long term vision for the area.
- *Leadership, brokerage, mediation.* There is no point in setting up a partnership if the aim is simply to administer a spending programme. As we have seen, the main value

of the partnership resides in its ability to mobilise the resources, enthusiasm and talent of people who would not normally be involved. This requires the ability to unite people behind certain priorities, to find ways around old rivalries and to assemble the different actors into teams capable of launching new projects. The group manager must be a “social entrepreneur” constantly trying out new ideas and projects.

- *Financial management and administration.* Another advantage of the partnership is its ability to respond to the financial needs of an area with speed and flexibility. This can mean supporting a great variety of very small projects as well as some more conventional large ones. Given the inherent complexity, it is absolutely essential to have really clear and transparent procedures and very professional financial and administrative staff.
- *Information, animation and project management.* As mentioned, the real value of partnerships lies in their ability “to reach parts of the community that top down approaches cannot reach”. This requires trained community animators and local development agents who can raise the interest, confidence and capacity of local actors and support the launch of new projects. In some cases, the partnership can draw on animators attached to municipalities and other local organisations. Many countries and regions have developed excellent training programmes for these agents.
- *Business advice.* In most cases the partnership will have to promote and select economic initiatives which have a chance of becoming viable in the market. At the very minimum this involves being able to assess the balance sheets and profit and loss accounts of private companies. But many partnerships go further and try to provide hands-on support to encourage enterprise among excluded groups and remote areas. This requires an unusual mix of hard business skills and experience together with the softer skills required for understanding the local context and empathizing with local promoters. These skills can sometimes - but not always - be contracted in from outside the partnership.
- *Training, facilitation.* In some countries, professional training has got a bad name and is simply associated with keeping unemployed people off the streets. The challenge for local partnerships is to ensure that training both sparks off and accompanies local people in the different steps required to bring economic and social projects to fruition. Given the time it takes to turn around mainstream training and education establishments, many local partnerships have developed their own dynamic training units and methods. However, once again this depends on the links with existing training and education establishments.
- *Specialist skills* (tourism, agriculture, architecture...). Specialist skills are often contracted in from outside but some partnerships will need to recruit experienced professionals in the core areas of their strategy.