

## **The modernization plan of the fishing sector in Andalusia : a paradigm of a cooperative methodology**

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### **Les problèmes d'une économie pêcheuse dans une région périphérique.**

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### **Résumé:**

le futur du secteur de la pêche en Andalousie doit être analysé dans le contexte d'une stratégie de développement régional liée à une économie de plus en plus mondialisée.

l'union européenne, d'où l'Andalousie fait partie, veut-elle être productrice de poisson, ou bien, exclusivement une commerçante des produits pêcheurs? la question est peut-être rhétorique, mais elle doit être présentée dans toutes les réflexions en ce qui concerne le secteur de la pêche d'Andalousie.

les chiffres disponibles indiquent que le secteur de la pêche d'Andalousie, comme dans d'autres régions d'Europe, traverse actuellement une situation difficile. le scénario prospectif le plus probable est caractérisé par des difficultés d'accès aux ressources. d'autre part la valeur réelle des captures est fortement descendue à la suite du processus de libéralisation et internationalisation que nous vivons actuellement.

sans doute, dans ce difficile contexte, l'activité pêcheuse reste toujours un des composants centraux de l'économie du littoral d'Andalousie, tant en ce qui concerne la valeur de la production comme celui de l'emploi. en effet, d'une part la dimension et l'organisation de cette activité devra s'adapter à la nouvelle fonction d'Andalousie dans l'économie internationale, probablement l'avenir de quelques zones du littoral andalou continuera à dépendre du secteur pêcheur. définir quelles seront ces zones, c'est la première chose à faire. cela est stratégiquement nécessaire, pour affronter les problèmes du secteur pêcheur dans un futur. ceci devra se faire à l'aide d'une planification intégrée ou la politique

sociale devra jouer un rôle primordial en collaboration avec les politiques de ressources, de structure et du marché. un autre aspect important pour que ce processus se développe sans problème majeur est une bonne intégration des acteurs clef comme le consensus politique, les secteurs sociaux, les entreprises affectées et la dotation budgétaire qui est nécessaire pour affronter ce problème.

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#### **I. The origin of the modernization plan : social, political and institutional contexts**

Available data show that the fishing sector in Andalusia as in many other European regions is going through a difficult situation. The most likely prospective scene, far from allowing a rise in production, is marked by growing difficulties in the access to resources, domestic and foreign. Furthermore, real value of catches has dropped alarmingly due to several reasons, being one of them the liberalisation and internationalisation process markets are going through. However difficult this context might be, fishing remains one of the major components of the economies in the andalusian coastline, both in terms of value of production and of employment.

The figures showing production and employment are very revealing, but not enough to characterise the fishing sector. A set of special features makes fishing totally different from other economic sectors and therefore prevents us from a joint approach; we can mention the following ones:

- **Tradition**, referring both to fishing as an activity carried out since ancient times and to the special socio-economic vertebration provided by its particular organisational, trading and labour formulas, which are deeply rooted in everyday life in the andalusian coastline.
- **Diversity and variety**, due to the proliferation of ownership formulas, fishing methods, variety of fishing-grounds, etc. This diversity makes it difficult - sometimes impossible - to apply theoretic models and to confront all problems globally. It also conditions planning and goal-setting.
- Reliance on the environment that is on an appropriate management of the fishing-grounds, both regional - very badly known - and foreign. This reinforces the high degree of extraversion of the fishing sector in Andalusia, whose production is oriented mainly to foreign markets.

Just in case what has been said were not enough, one conclusion has come out in all the reports on the fishing activities in Andalusia over the last fifteen years: The coastal fleet is oversized, and this fact together with the limited extension of the andalusian continental platform has lead to a damage to the regional fishing-grounds.

Having to confront such a complex and critical situation, the Ministry of Agriculture and Fisheries of the Junta de Andalusia has adopted a series of compromises aimed at carrying out an integrated planning of all public intervention on fishing issues according to the evolution of the fishing sector in Andalusia, the Common Fishing Policy of the European Union, and world markets.

**a)** On September 12<sup>th</sup> 1994, the Minister of Agriculture as head of Andalusian Fishing Administration, promised to the Agriculture Comity of the Andalusian Parliament to work out a "Modernisation Plan for the Fishing Sector", keeping in close contact with the sector and with the support of fishing experts. Its starting should entail an effort of vertebrating the fishing sector and a compromise by all the agents participating in the management of the fisheries. The initial budget was set at some fifty thousand million pesetas (financed by the I.F.O.P). The following basic guidelines were defined, according to the operation programs of the new community financial instrument: to adjust the andalusian fishing fleet to the real fishing possibilities, to renovate and modernise the vessels, to improve the production structures, to modernise the agriculture facilities, to restore the maritime coastal areas, to fit out harbours, to modernise the transformation and marketing structures in order to improve competitiveness in the single market, to promote fishing products and to set up socio-economic support measures for those coastal areas affected by the reduction of the fleet.

**b)** On December 13<sup>th</sup> and 14<sup>th</sup> 1994 the Minister of Agriculture and Fisheries, during his intervention in the General Debate on Fishing in the Andalusian Parliament, reaffirmed his compromise and asked for the co-operation of all

parliamentary groups in order to achieve the starting of the above mentioned Plan. This compromise is included in the Resolutions 4-94/DG-0301194, in which the Andalusian Parliament urged the Junta de Andalucía to work out a "Promotion and Arrangement Plan of the Fishing Sector" (Resolution 18), a "Modernisation Plan of the fisheries in Andalusia" (Resolution 49) and a study on the present situation of the fleet that might serve as the basis for the working out of a "Fishing Plan for Andalusia" (resolution 27).

c) On February 13th 1995 the "Agreement for Employment and Productive Activity in Andalusia" was signed by the President of the Junta de Andalucía, the President of the CEA (Confederation of Undertakers of Andalusia) and the Secretary Generals of the Labour Unions UGT and CCOO in Andalusia. Under its terms, the signing parts, among other initiatives considered to be necessary to start a process of debates in order to define the future of the fishing sector and to set up the bases for its arrangement and development. For this purpose, it was decided to establish two sectorial boards within the Ministry of Agriculture and Fisheries.

This *"Modernisation Plan of the Fishing Sector in Andalusia"* intends to meet the above mentioned compromises. It has been developed through a process of participation and collective reflection by the andalusian government, the fishing sector and experts on the issue, that has taken place during the first months of the year 1995 (starting with the constitution of "Provincial Boards") and of regional scope over the month of June.

Furthermore, this Modernisation Plan has been drafted very carefully in order to make it compatible with the general guidelines of the Union Fishing Policy and in line with the legal and financial instruments available to the Autonomic Community of Andalusia considering the following references:

- Sectorial Plan for Fisheries for the Spanish objective 1 regions 1994-1999, approved by the Commission of the European Union in a 2/12/94 decision. The possibilities for implementing and financing the Modernisation Plan depend to a great extent on the former.
- Operative Plan for Andalusia regarding the Community initiative "Fisheries", approved by the Commission in a 27/12/94 decision.
- Specific Policies of the Development Plan for Andalusia 1995-1998.

A previous question that will necessarily condition the contents of this Plan is that of defining the role to be played by the fishing activity in the local provincial and regional development of Andalusian within the context of a global economy like the present one. In order to define this role we have to answer the following question: Does the European Union - Andalusia is part of it-want to be a producer of fish? or does it rather intend to just market fishing products? The question is not merely rhetoric and it has to be kept in mind in all the considerations on the future of the andalusian fishing sector.

The andalusian economy has a low level of relative development. It depends from primary activities in general (fisheries in particular), and above all, it has the highest unemployment rate in the European Union. Therefore, the fishing sector will have to play an important role in the future economic development.

Certainly, the size and organisation of the activity will have to adjust to the new role

of Andalusian in the international economic scene. However, it is true that certain areas of the andalusian coastline, especially in the western part of the region, will keep on relying on the fishing sector. The first step is to define which ones in order to face afterwards the problems inherent to the fisheries. This should be done within an integrated planning of the activity, where Social Policies play a main role at the same level as Resources, Structure and Market Policies. Integrated planning is required to achieve a smooth adjustment process and to avoid social conflicts of irreparable consequences, and it has to solve the bottlenecks shown by the trends of the activity.

In any case, a policy of the size we propose has to comply necessarily with three conditions: political consensus, concertation with the social and undertaker sectors involved and the financing required by the size of the problem.

The first and second conditions are essential because such a policy requires a strong backing by all social and economic agents in the drafting of the policy, not only as a guarantee of the effectiveness of the resulting measures, but also as a cohesive and consolidating element for them.

The third one is essential because there is no economic policy without the financial endowment to carry it out. It is not a matter of demanding funds following the tradition of the fishing sector. The question is about quantifying the transformation costs of a reality that burdens the development of the fishing communities in Andalusia, and to assume them strictly according to the goals previously set.

Both the Community Fishing Policy and the Statute of Autonomy provide for a sufficient legal framework, so that regional authorities plan and draft the required model of fishing policy. This has to be built upon a consensus with Madrid and Brussels, based on an integrated planning that attends to the specific features of regional, provincial and local activity.

Fishing Ordination is the basic instrument in Fishing Policy in order to correct and/or alleviate this situation. It should pursue the adoption of a satisfactory standing including optimum levels of Maximum Sustained Output (estimation based on biologic models), Maximum Economic Output (calculated upon economic models), and Maximum Social Output (referring to social models). All these imply an optimum combination of theoretic concepts such as stocks, fishing effort, outputs, population dynamics, assessment of fisheries, costs (investment, production, intervention), property formulas, operating methods, professional qualification, working conditions, etc.

However, it is necessary to state clearly that there is no model available yet that can be suitable to such a complex reality. Therefore, to this date it is necessary to base the decisions on descriptive and critical technical analysis, more reliable and illuminating than forecasts based on mathematics models. Fishing, based on the exploitation of a self-renewable natural resource has as its main determining factor the situation of the biomass stock available to the present technical possibilities, but there is no global study available on the situation of the fishing sector in Andalusia. Being aware of the lack of statistics, we had to assume this restrictions, trying to compensate them with direct contacts with the social agents involved in this activity.

## ***II. Governing principles of the plan***

### ***II.1.- Social and political consensus, starting point of the Plan***

The governing principles of this Modernisation Plan are:

- To secure a social and political consensus, favouring the highest possible degree of participation by the social and economic agents in its drafting, implementation, control, and assessment.
- To consider equally important resource, structure and market policies and social policies. The governing principles should be subsidiary of public interventions, solidarity, and intergovernmental co-operation.
- To provide with an appropriate treatment to the specific features of the rising activity at the regional, provincial and local levels, not forgetting to contribute to the construction of the community fishing policy.
- To pursue a steady improvement of the competitiveness of the andalusian fishing sector, leaving behind its traditional lack of connection with the market, playing a major role in the integral conservation of natural resources in co-operation with undertakers and the sector.
- To strengthen the connections of fishing activities with other economic activities of the regional productive tissue, favouring social and economic vertebration, and the organisational, technological and entrepreneurial capacities of the sector.

Therefore, the Modernisation Plan of the Fishing Sector in Andalusia gives special importance

- -Its integration within the other sectorial policies of the Junta de Andalusia and especially with industrial, commercial and environmental policies.
- -Priority in the use of technologies available at regional and/or local level, for the creation of alternative jobs and a higher degree of articulation of the sector within the andalusian economy as a whole.
- -Protection of the environment and of marine resources.
- -Respect for the social-cultural values of the region.

- -Strengthening of public and private institutions responsible for implementing and updating the strategies pointed out by the Modernisation Plan.
- -Economic and financial feasibility of the Plan during its implementation and afterwards.
- -Realistic determination of prospective scenes and forecast of risks.

## ***II.2. Flexibility, a necessary condition to guarantee the success of the Plan.***

### ***a) Continuous assessment: philosophy and practice.***

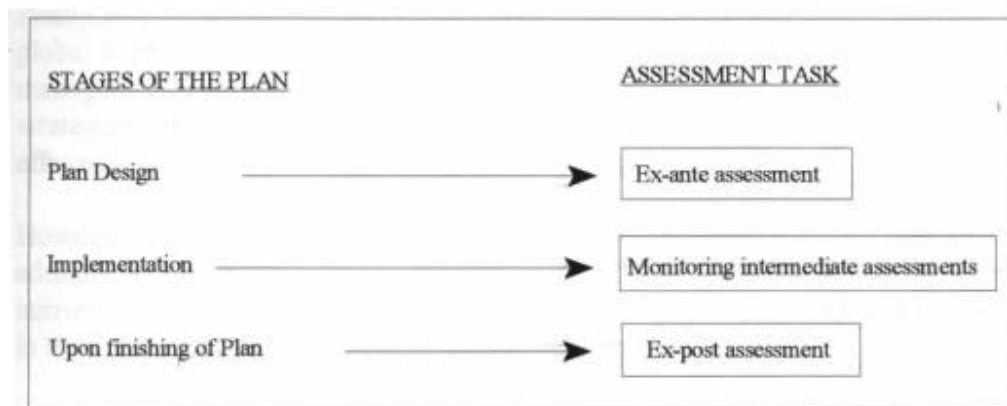
One of the basic principles of the planning model adopted in the Modernisation Plan of the Fishing Sector in Andalusia is versatility and flexibility in economic planning. This feature derives from the need of keeping up with an ever changing reality whose evolution is affected by many external factors, and from the acknowledgement of the difficulties a middle term forecast, even the most accurate one faces in fitting into future realities. On the other hand, planning implies always a need to introduce new elements whose developments and future impacts are very difficult assess ex-ante, which accounts for an extra degree of uncertainty. Therefore, flexibility comes out to be a necessary condition to guarantee the success of the Plan.

The functioning of this basic feature of the Plan – flexibility - demands first, a constant review of the situation and of the changes occurring during its implementation period, and second, an analysis of the implementation process of policies and the impacts of these in order to be able to introduce changes that make the Plan more operative and effective. Assessment and review are therefore the central gears of the Plan, being the final objective to guarantee the success of the Plan and to secure the achievement of its goals.

Control is not an unknown task for public managers in Andalusia. Starting with the approval of the first Economic Development Plan, P.E.A., 1984-1986, control has been incorporated into the regional planning process both as a legal mandate and as a political objective of the andalusian government. However, the Modernisation Plan of the Fishing Sector in Andalusia incorporates a wider concept of control and assessment.

Assessment is not just legal auctioning and control. Its task is to assess the opportunity of policies and programs, since the task of verifying the proper application of the resources provided and the compliance with existing legal regulations concern other administrative control instances. We should not confuse the assessment with monitoring/control, being the final goal of the latter regular verification of the actual financial and physical implementation of the interventions included under the Plan. Monitoring/control does not cover the issues of goodness of the interventions, of their effects of their appropriateness and of their coherency with an ever-changing reality.

**Chart 1:**



Accordingly the Modernisation Plan includes and extended assessment, that is an analysis of concept, design, implementation and usefulness of its public programs and policies. Assessment is not just one further step (usually the last one) in the public planning process, but a whole philosophy and practice influencing the whole process. Assessment, planning and drawing up of programs are therefore closely tied together.

During the design stage of the Plan, the assessment task consists mainly of the following: Making a critical analysis of previous reports on the socio-economic situation of the fishing activity in Andalusia - To assess relevance and pertinence of goals and objectives referred to previously detected problems and needs - To review coherence and rationality of strategies and policies - To analyse other possible alternatives. As a conclusion, to secure that the development of the Modernisation Plan will enable the achievement of all its general goals.

Ex-ante assessment includes also assessing the functioning of the management and monitoring procedures in their present design and organisation: the expected impact of the Plan and all the policies it includes and especially its efficiency in terms of social and economic cost-benefit relation to be obtained upon its implementation.

During the implementation assessment focuses on monitoring, which includes verifying actual physical and financial implementation of interventions included in the Plan, and to analyse the progress of management and the changes taking place in the functioning context.

Monitoring is a task that requires a considerable effort in information collection. However, this information is absolutely necessary and relevant in order to assess, before or upon completion of the Plan its impact, efficiency and effectiveness and those of its policies and programs.

Between monitoring and ex-post assessment we find intermediate assessments that reinforce monitoring, consisting of a critical analysis of all the data collected, and an evaluation of the degree of compliance of the goals achieved in order to be able to estimate in advance the results of the interventions. Intermediate assessments issue reports on the interventions underway and on the pertinence of the goals, thus serving as facts on which to base possible revisions of the Plan.



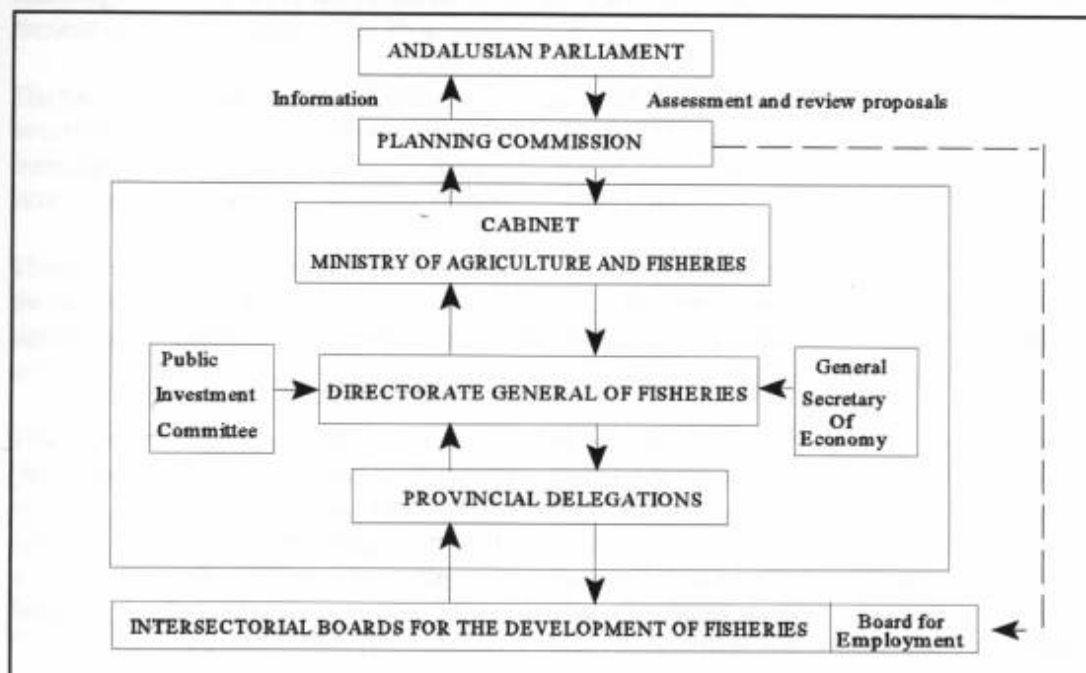
Finally, ex-post assessment takes place upon completion of the Plan. Its purpose is to assess the global impact, the degree of compliance with the programmed objectives and the efficiency of management. Ex-post facto assessment evaluates the success of the Plan, the success of the strategies carried out, its degree of flexibility and adaptation to an ever changing reality, its efficiency and its effectiveness.

However, assessment is not just a usefully and necessary instrument serving in the service of the administrative bodies that assume the compromise of implementing the Plan, but also an instrument to satisfy the demands for information and transparency by all the agents taking part in the socio-economic development process in Andalusia.

Assessment has therefore a double nature: First, social and political control of governmental intervention in the development of the global project, the Plan, thus reinforcing the general control instruments on governmental action that secure their lawfulness and the political responsibility of the government. Second, a government control device aimed at securing the compliance with all the objectives previously established, and at improving effectiveness and efficiency of management, working as a constant learning and training process for those responsible for public programs and policies.

The institutions that participate in the assessment of the Plan are the same ones that make possible its drafting, approval and implementation: The Andalusian Ministry of Agriculture and Fisheries, the Planning Commission of Andalusia, and the Andalusian Parliament. These institutions have clearly different tasks and responsibilities, establishing an information flow, which has an informative and consultative character when flowing upwards, and a character of assessment and drafting of modification proposals when flowing downwards. (Chart 2).

Chart 2.: Review process of the Plan



It is certainly the government of the Autonomous Community, being the body in charge of the implementation of the Plan, the one that has to undertake the basic task of assessing it and to render an account of all activities. The basic tasks and responsibilities are allocated among the provincial delegations of the Andalusian Ministry of Agriculture and Fisheries, the Secretary General of Economy, the Public Investment Committee, the Directorate General of fisheries, which assumes the main responsibility for drafting and assessing the Plan, and the Cabinet.

The Planning Commission of Andalusia, where social agents, local Governments and the Andalusian Government are represented, is located on top of the administrative pyramid and will serve as consultative body and as external auditor, and its main task in the evaluation process will be to assess the reports issued by the andalusian government and to suggest any modifications it considers to be necessary for the effective achievement of the objectives established by the Plan.

Finally, the Andalusian Parliament, holding the highest democratic representation, will be the final addressee of the results of the assessment and the one that will eventually propose a review of the Plan if the results deem it necessary.

*b) The need for a review in an ever changing reality*

The possibility of a review of the Plan stems from its own flexibility and the recognition of the fact that more stiffness does not imply a greater degree of compromise but rather a lack of the capacity to learn from our own mistakes and to adapt to an ever changing reality. The Modernisation Plan of the Fishing Sector in Andalusia includes therefore instruments for review and modification that can influence the different levels and scopes of planning design. Concept, implementation, financing, and arise from the demands of all the institutions participating in the planning and implementation processes of the Plan.

The basic reasons that might eventually suggest the need for review and modifications stem from eventual problems in its implementation, from changes in the available financial resources and from changes in the socio-economic scene in which it or its policies are supposed to operate. The latter would seriously jeopardise the objectives of the Plan.

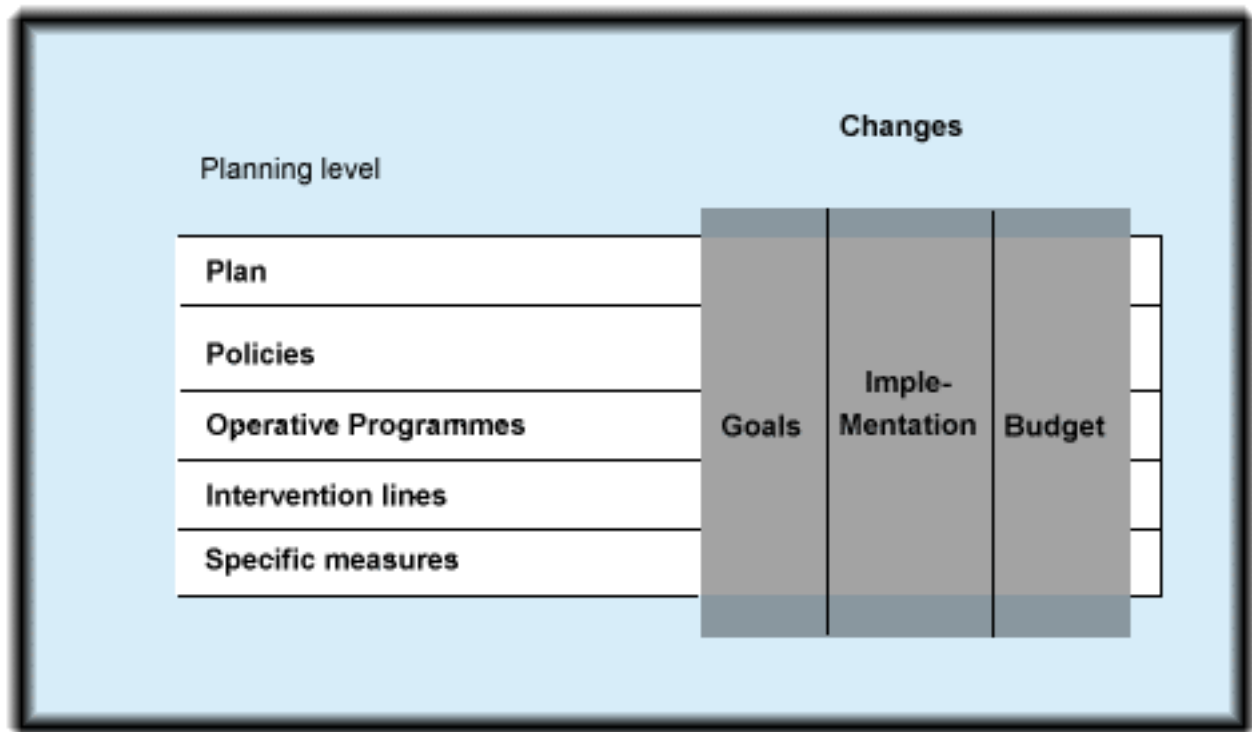
These changes can also affect different levels of planning the Plan, the operative programs, the intervention lines, and specific measures. The higher the level of planning affected and the more significant the change in the scene and objectives, the greater the importance of the modifications will be.

Thus, a change in the objectives for any level of planning will affect both the implementation (restructuring the lower planning levels) and the budget. On the other hand, a modification of the amount of financial resources available, regardless of the planning level, should not lead to substantial changes in the design of the Plan or in its policies, as long as the new financial appropriations follow the same hierarchy criteria that served as a basis for the initial allocation of funds. In this case, the review of the initial financial allocations should be incorporated into the General Budget of the Autonomous Community upon its approval every fiscal year, or by means of the general norms regulating the budget modification proceedings.

The modifications regarding implementation and objectives in the lower planning levels can be undertaken with small adjustments of a technical character, as long as they do not jeopardise the specific and general objectives of the next upper

planning level. However, modifications affecting Operational Programs or strategies, policies or the Plan as a whole should be approved by those institutions that not being part of the autonomous government participate in the regional planning process.

**Chart 3:** Flexibility of the Plan in the different planning levels



The monitoring and intermediate assessment reports will provide for the basic information for the review and modification of the Plan, since their function is to report the changes taking place in the operational context during the implementation process, in the management, in the financial proceedings and in the analysis of the achievements, results and impacts of each intervention.

Any modification suggested by the Provincial Delegations will be analysed at the Directorate General for Fisheries, that will also assess the impact of those modifications on the global design of the Plan. At the end, the Cabinet will be in charge of determining the properness of the reviews it might consider to be necessary, then it will report these to the Planning Commission of Andalusia and the Andalusian Parliament.

The source of eventual modifications can also lie in the initiative capacity. Parliament has in order to demand from the executive interventions within the scope of the Plan. In these cases, the review originates in the highest representative body of the andalusian people, and administrative intervention is limited to formalise and integrate the new intervention lines into the whole of the Plan.

The Planning Commission of Andalusia, being a consultative body, can propose, upon review of the yearly assessment report, those changes in the policy schemes it may consider useful in order to improve the effectiveness of the Plan regarding the attempted objectives. Resulting proposals will be examined by the Ministry of Agriculture and Fisheries, issuing a report to the Cabinet for the final decision.

In order to prevent continuous unstableness in the structure of the Plan due to the reviewing process, a calendar will establish a yearly review period simultaneous with process of drafting, discussing, and approving the budget, thus linking monitoring, assessment and reviewing processes.

### ***II.3. The leadership of the regional government in building up a political consensus***

The Modernization Plan intends to be a global one. Therefore it handles the Modernization of the andalusian fishing sector as a whole. It establishes for this purpose Programs and Intervention Lines in areas out of the scope of powers of the Junta de Andalucía and even out of the natural scope of the Autonomic Fishing Administration. For this intended globally to become operational, the following governing principles are required:

Considering the strategic character of the Modernization Plan an almost mandatory condition will be its approval in the Andalusian Parliament upon the consensus of all parliament groups. This would secure the support of all andalusian governments, including local ones.

The strategic goal of the Plan is to achieve a consensus by all the social and economic agents of the fishing sector that are represented in the Sectorial Board set up by the "Agreement for Employment and Productive Activity" signed on

February 13<sup>th</sup> 1995.

The Modernization Plan determines the direction to which the andalusian fishing sector intends to progress over the next years. It is therefore the project Andalusia will uphold in the national and community levels, demanding the implementation of those programs and intervention lines regarding issues under their domain.

The leadership in the implementation of the Plan belongs to the Autonomous Fishing Administration regardless of the spheres of domain of the different governmental offices. It is its role to join support, co-ordinate spheres of domain, and take care of the implementation of the various operative programs once they have been developed.

### **III. Guidelines for the development, monitoring and assessment of operative programs**

One of the main goals when designing the Modernization Plan of the Fishing Sector in Andalusia is to meet the expectations and problems of the sector. For this purpose a basic condition will be the participation of all social and economic agents, experts and institutions related to the sector in all the design stages of the Plan as well as in its monitoring, updating and assessment. Only with a joint effort and after building up a consensus on all stages, will the fishing sector adopt as if they were own the proposals and interventions supported by the regional fishing administration.

To meet this goal a set of guidelines will be incorporated into the Modernization Plan of the Fishing Sector in Andalusia. These guidelines should conduct efficiently the participation of social and economic agents, institutions and experts involved in the fishing sector each one with their own interests. It has to consider fishing problems as a whole, from a position that integrates all the elements of the sector.

#### ***III.1. A joint reflection by the fishing sector and the regional government***

All public interventions are planned within a certain economic, political, social and institutional context, and they rely on certain hypotheses that experience has shown to be reasonable. These hypotheses allow us to anticipate the result of certain interventions and the impact on the problem that we are tackling.

An intervention starts with an analysis of the situation in which we have to identify the main problems and bottlenecks. This analysis will enable the Directorate General of Fisheries to arrange the problems by order of importance and to determine cause-effect relations among the different variables in the working sessions with the sector and after consults with experts.

The joint reflection by the andalusian fishing sector and the regional government will be ordered into the following stages:

a) analysis of participation; b) analysis of problems; c) analysis of goals; d) analysis of strategies.

**a)** In the "**analysis of participation**" the different social and economic agents, public and private institutions involved in the sector will be grouped up, analyzing with all groups:

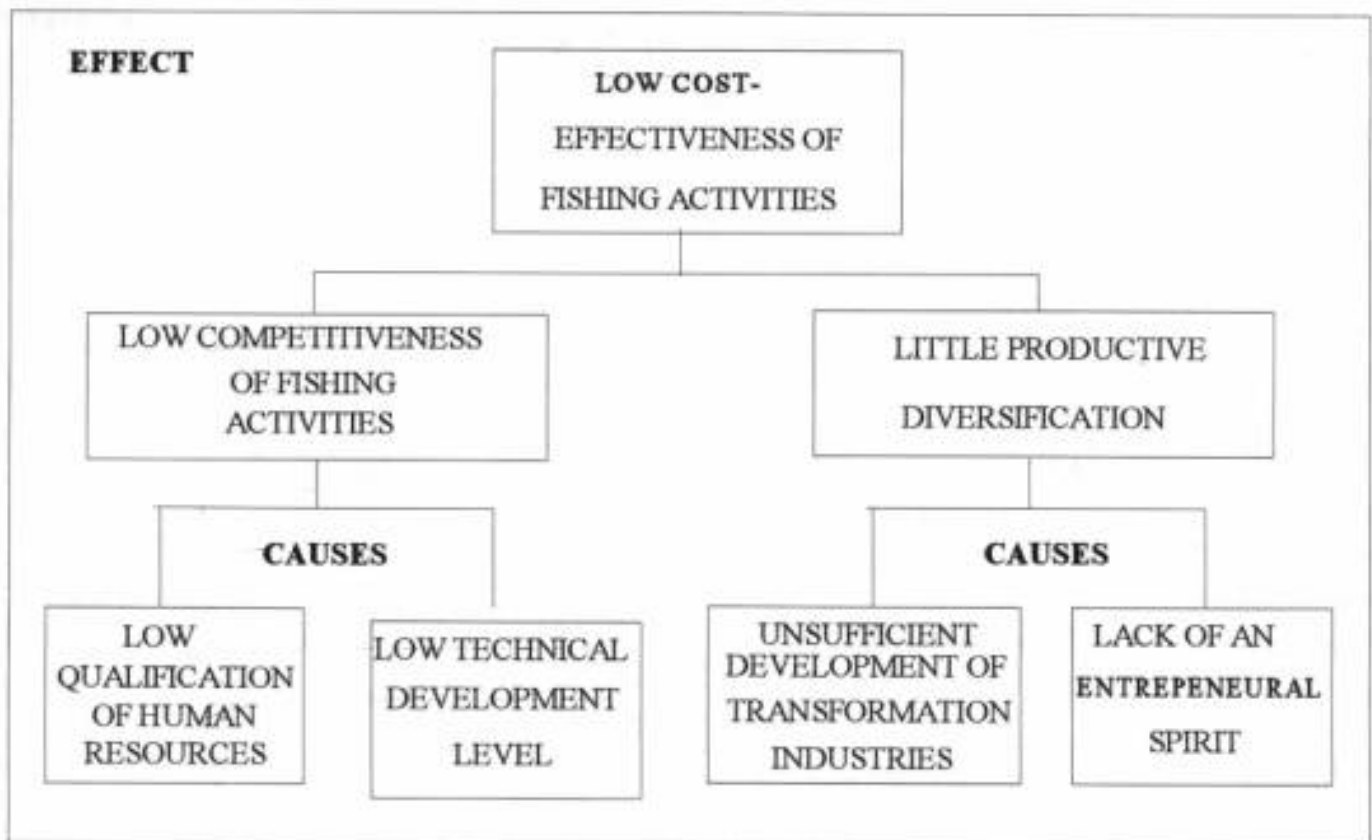
-Problems: Main problems affecting the group: economic, ecological, cultural, etc. -

Interests: Main needs and interests from the point of view of the group.

-Potential: Strengths and weaknesses of the group.

Relations: Main conflicts of interests, co-operation, or dependence structures with other groups.

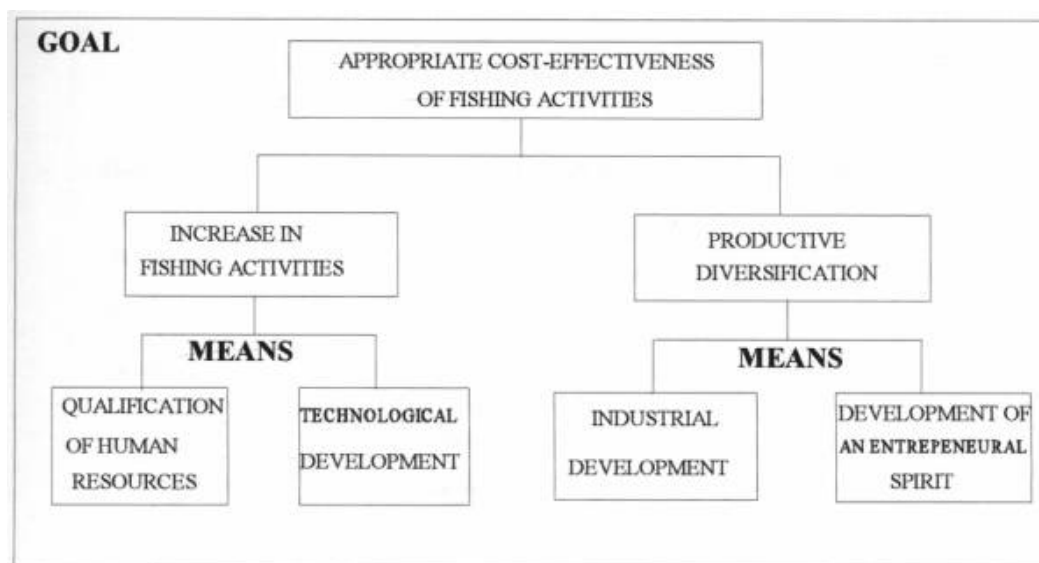
**b)** The purpose of the "**analysis of problems**" is to establish cause-effects relations among negative features of the present situation. The objective is to recognize jointly with the sector, the bottlenecks felt as important and as top priority by the agents involved. Meetings will be held and the opinion of consultants will be heard in order to recognize the problems and to arrange them in order of importance. Cause-effect relations will be drawn up in diagrams. To move forward a consensus is necessary



**Chart 5**

**c)- Once the problems have been analyzed, the next stage will be to set up and analyze the goals-** This "negative picture" reflecting the present situation, will be converted into a "positive picture" referred to the intended future situation. Thus, problems will be transformed into goals and cause-effect relationships into goal-resource relationships. This will permit the outlining of the development of specific Operative Programs in the different towns of the andalusian coastline.

**Chart 6**



**d)** Finally, the "analysis of strategies" will identify the different strategies to be followed by the fishing sector in order to achieve its goals. The criteria that must be taken into account are priorities of agents involved, available budget relevance of strategies, time-periods covered, etc.

### **III.2 Political and administrative articulation of the Plan**

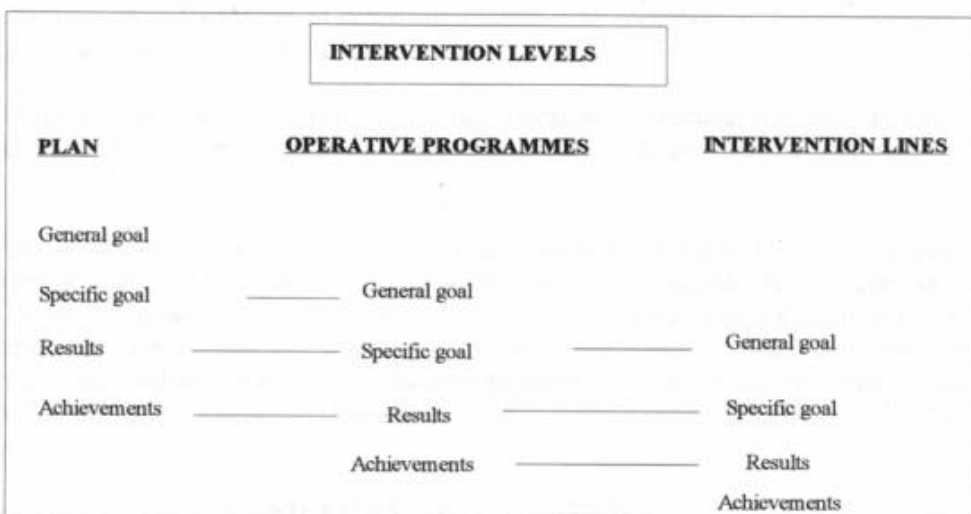
The Modernization Plan of the Fishing Sector in Andalusia does not constitute a single and simple project. It is rather an ambitious Plan including many goals: operative programs, intervention lines, and specific measures. Therefore, it is deemed necessary to give cohesion to all the different levels of planning, which means that strategies must aim at the goals of the policy from which they are a part, and that measures must be aimed at achieving the goals of the strategies in which they are included.

This waterfall articulation demands that it must be kept in mind when defining the interventions in every level, that the specific goals of one level must serve as global reference frames for the interventions of the next lower level. They are, in fact, the global objective of this next lower level, and the results expected in one level are therefore specific goals of the interventions in the next lower level.

The other way around, the specific objectives in one level must form up the

expected results in higher levels, and the global objective of one level will be to contribute in the achievement of the specific goal of the higher level.

**Chart7.**



The implementation of this logical frame as an assessment device for the conceptualization and design of the Plan is one of the main tasks of what it is called in this Plan ex-ante assessment. Its use enables an improvement in defining goals and enhancing ulterior monitoring and assessment.

The Directorate General of Fisheries is responsible for articulating, giving coherency to the Plan, designing a development strategy, and establishing the general goals once the analysis of the situation has taken place. For this purpose, reports by experts and Provincial Delegations and all the data gathered on the regional fishing situation will be available.

Once goals and general strategy of the Plan have been drafted and the modifications suggested by the sector have been incorporated, the Directorate General of Fisheries by means of the "Inter-sectorial Board for the Development of the Fishing Sector" will ask for a proposal of specific policies for the development of the Plan to the sector, provincial delegations and other bodies participating in its implementation. These proposals should include: the policy, a diagnosis on the socio-economic situation it is aimed at outlining potentials and bottlenecks, goals, strategies, intervention lines, specific measures, and potential positive and negative impacts on other policies. Provincial Delegations and other executive bodies will have to supply information on management and administration procedures of the projects and to design a set of base indexes to monitor all the interventions.

Based on this data, the D.G. of Fisheries will assess the inner coherency of the proposals, suitability of goals to needs and of instruments to goals, their expected impact, synergy with other interventions, and potential contribution to the achievement of the general goals of the Plan. It will also assess pertinence, relevance, and quality of monitoring indexes and appropriateness of management structures.



This information will enable the D.G. of Fisheries to suggest modifications to the Provincial Delegations so that they can improve the design of their proposals, and above all, it will enable it to arrange in order the set of proposals according to contribute in the achievement of the general objectives of the Plan.

Once the financial scene has been settled, the allocation of financial resources to each of the measures, strategies and Operative Programs will be determined by this assessment of coherency and rationality.

The final result of the planning and the ex-ante assessment tasks will be the "Development of the Modernization Plan of the Fishing Sector in Andalusia". Once it is finished, it will be assessed by the Planning Commission of Andalusia (where social agents, Local Governments and the Autonomous Government are represented). It will issue a report on the coherency of these proposals and it will submit its own modification proposals, that will be incorporated into the Plan by the Ministry of Agriculture and Fisheries, and later by the D.G. of Fisheries and the Provincial Delegations.

### ***III 3. Monitoring and assessment system***

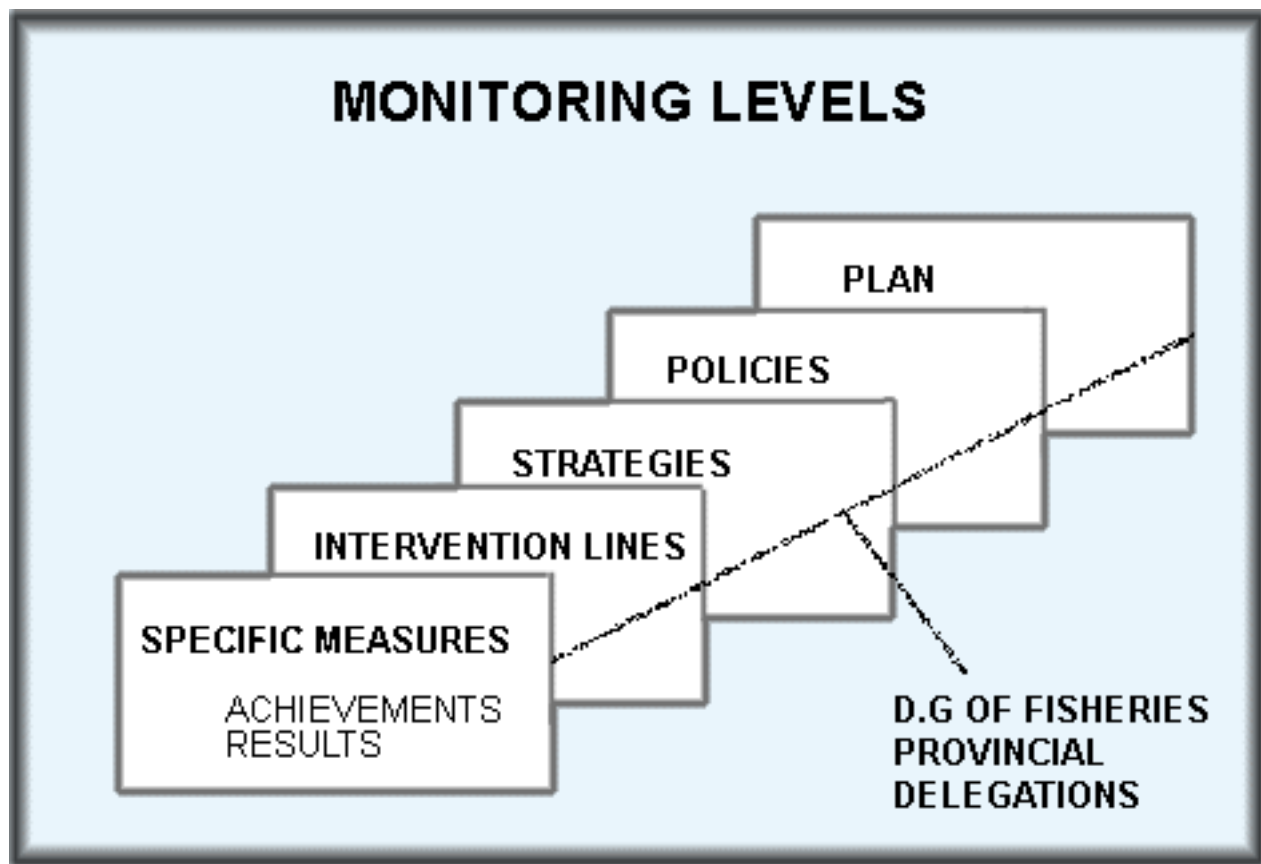
#### ***a) The design of the monitoring and intermediate assessment indexes***

The tasks and responsibilities of drafting and implementing the Plan are shared by the different bodies of the Administration. In the monitoring process these tasks are shared by Provincial Delegations, other official bodies and the sector itself, which are in charge of monitoring the activities they are responsible for, and by the D.G. of Fisheries as the body responsible for the global monitoring of the Plan.

Up to this moment, there has not been a working integration between physical and financial monitoring. Furthermore, it has been noted that there is an important imbalance between both control systems as far as their development, quality, and rigor. Therefore, we will have to progress in the development of devices for physical monitoring and in its definite integration with the financial control, so that the monitoring tasks, following the recommendations of the Commission of the European Union, stop being mere financial control instruments and enable the assessment of the efficiency and effectiveness of the Plan.

The monitoring of the Plan implies, taking into account its waterfall articulation, that this task has to be carried out in each of the planning levels that build up the Plan.

Chart 8



In order to monitor each of the levels, it is necessary to design a series of base indexes for physical and financial achievements and results that measure the direct and immediate effects. These base indexes can be enriched with other complementary efficiency and effectiveness indexes in order to measure the degree of achievement of the intended goals (implementation and results) and the cost as compared to the results achieved. Quantitative measurements will be used as indexes whenever possible. However, considering the complex socio-economic problems we are facing, it is possible that these indexes will have to be completed with descriptive or qualitative information. In any case, these qualitative information will be always useful, since they will contribute to relations or complementary explanations that are usually difficult to quantify. Monitoring indexes produced at the drafting stage of the Plan can be updated during its implementation whenever important problems are detected when it comes to obtain the data (in terms of cost or time) or if any of them are irrelevant.

Monitoring tasks will not just focus on the verification of physical and financial implementation of the Plan, but will also include two main aspects for the ulterior assessment of the interventions: an analysis on the progress in management, and an analysis of the changes taking place in the operational context.

Monitoring of the interventions and results (not impacts) and an analysis of the progress in management are tasks that can be carried out within the Administration without becoming an additional burden impossible to tackle with the human, material and financial resources available. However, the evolution of the operational context demands *ad-hoc* analysis, that could be commissioned to external consultants and funds should be allocated for that purpose.

The implementation of this monitoring instrument demands a great effort in gathering and processing information. However, the information thereby obtained will be insufficient to assess public intervention, because it does not enable us to issue an opinion on the goodness of the policies applied. It is therefore necessary to reinforce the monitoring process with the so-called intermediate assessments.

Intermediate assessments consist of a critical analysis and in a study more in depth of the data collected during the monitoring. Its main goal is to bring out regularly information on the efficiency and effectiveness of implemented programs and policies over the implementation period of the Plan. Intermediate assessments must include at least three different tasks: a) Assessment of management effectiveness: information and publicity procedures of programs and subsidies, transaction periods of subsidies and dossiers, criteria selection for the projects, etc. b) Degree of achievement of proposed goals regarding financial implementation, physical implementation and results obtained, explaining the causes of deviance. c) Impact of interventions carried out and degree of achievement of proposed goals.

Among these three tasks, assessing impacts is obviously the most complex one for several reasons. First of all, because it requires an *ad-hoc* study that cannot be limited to an analysis of the evolution of the operational context supplied by the monitoring system. This information is necessary to assess impacts, but is not enough by itself. Causal relations have to be established among implemented interventions, results achieved and confirmed impacts on goals, since the evolution of the situation is affected by many factors unrelated to the policy. Impacts are, most of the times, the result of multiple interventions and influences, and therefore complex assessment devices and techniques have to be used in order to analyze the cumulative effects of different types of interventions and influences, and to

separate the net effect of the policy. Even with the support of external experts, this task will be always a complex one and will be open to numerous refinements and critical judgements.

Secondly, assessment of impacts is the most complex task because in contrast to financial indexes that can be processed together at all levels (measures, intervention lines, strategies, etc.), impact indexes have to be specific for each planning level. Impacts of different levels cannot be summed up in order to find out the global impact, because, according to its own definition, impact is measured in relation with the goals attempted, and these are different for each planning level.

The results of the intermediate assessment will be summarized in a yearly report to be issued by the Provincial Delegations, governing bodies and the D.G. of Fisheries. These reports must be as critical as possible, explaining the disagreements that might have been detected, and suggesting possible modifications in the goals of the programs, in the specific actions they include in the budget. The working out of these reports, and particularly that of the latter (assessment of impacts) would demand the participation of the sector and of external advisors, which besides guaranteeing impartiality, would enable to make the assessment available in a relatively brief period in order to make it more effectively operational.

Intermediate assessments by Provincial Delegations and implementing bodies will be submitted to the D.G. of Fisheries in order to work out a final report with the same contents as the previous ones but for the whole Plan: financial implementation, management assessment, physical implementation, results and degree of achievement of general and specific goals of the Plan.

The general report at intermediate assessment produced by the D.G. of Fisheries will be submitted TO the Planning Commission of Andalusia, so that upon its analysis, those corrective measures it might consider necessary. The working out of this report should take place at the same period of the drafting of the budget, so that it can be presented to the Andalusian Parliament together with the Project of Budget of the Autonomous Community. In the discussion and approval, the first can serve as a reference to the latter.

*b) Ex-post assessment: Critical judgement as an instrument for the flexibility of the Plan.*

Upon completion of the Plan, a global evaluation must take place. Ex-post assessment is not a mere addition of the yearly intermediate assessment reports that have been issued during the implementation of the Plan, but intends to issue a critical judgement on the opportunity and relevance of designed strategies, on the degree of flexibility and suitability of the Plan and on the need for introducing changes in goals, strategies and policies.

The D.G. of Fisheries is the body in charge of issuing a report twelve months after the completion of the Plan. These ex-post assessment report will serve as a key reference for the draft in of new public interventions in the area of fishing policy, and it must include the critical judgement of the sector itself. Obviously, considering that the Plan is aimed at solving structural problems of the andalusian fishing sector, many of the impacts of policies and instruments applied will not be able to undergo a comprehensive assessment over a longer period of time. Therefore, this ex-post assessment cannot by the definite one, and has to be considered as a continuous process close linked together with the planning process itself.

#### IV. Conclusions

The methodology we have used enables us to:

1. Combine a **local analysis** with the regional integration of the Modernization proposals.
2. Supply the planning process with sufficient **flexibility and suitability**, incorporating into its development the initiatives of all agents involved.
3. Incorporate a **continuous evaluation** guaranteeing both social and political control of the implementation of the Plan.
4. Develop a "**bottom-up**" process, including the proposals into the successive levels of the Plan and reinforcing the synergies among its different components.
5. Invigorate the **participation of the sector** and facilitate appropriate channels for the analysis of its proposals.

The main difficulties we encountered in the implementation of this method are:

1. **Lack of ideas and initiatives by the andalusian fishing sector** regarding to self-regulation activities, business management, and search for alternatives. It is a too little dynamic sector with a high dependence from the administration.
2. **Scarce integration of sector at a regional level**, with confrontations due to local interests, lacking a global perspective of the common problems affecting all. As a result, the information and data collected was biased and the researchers had to filter it.
3. **Scarce credibility of public interventions** due to their lack of response to the age-old problems of the andalusian fishing sector. This leads to tiredness and mistrust in the sector, which have even been increased by the remoteness of power, via Madrid and Brussels, originated by the governmental reforms of the 1980s.
4. Difficulty in the access to reliable data. The statistical figures supplied by the administration are incomplete and not comprehensive.

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