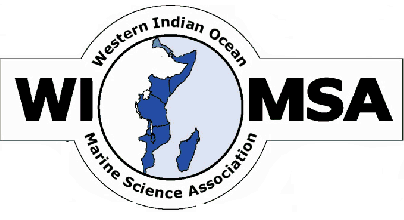
Sustainable Coastal Communities and Ecosystems Program (SUCCESS)

Semi-Annual Report

July 1 – December 31, 2012

Integrated Management of Coastal and Freshwater Systems

Leader with Associates Cooperative Agreement for

Sustainable Coastal Communities and Ecosystems (SUCCESS)

Semi-Annual Report

July 1 – December 31, 2012

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A partnership between:

Coastal Resources Center

University of Rhode Island

and

United States Agency for International Development

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Office of Natural Resources Management

in association with:

University of Hawaii Hilo, Pacific Aquaculture and Coastal Resources Center

Western Indian Ocean Marine Science Association (WIOMSA)

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# I. INTRODUCTION

In 2004, the United States Agency for International Development (USAID) awarded the University of Rhode Island (URI) a Leader with Associates (LWA) Cooperative Agreement in Coastal Management, Fisheries and Aquaculture. This was the Sustainable Coastal Communities and Ecosystems (SUCCESS) Program, a five-year initiative that received core annual funding of $750,000 and had a ceiling of $4,035,000. In 2009, USAID awarded a five-year extension (2009-2014) to this Leader Award with core annual funding of $300,000 for the extension period and a revised ceiling of $5,600,000.

The Coastal Resources Center (CRC) at URI is the Leader of this Agreement. The Pacific Aquaculture and Coastal Resources Center at the University of Hawaii (PACRC/UHH) is the sub-recipient. In the first five years of SUCCESS, regional implementation partners included the Western Indian Ocean Marine Science Association (WIOMSA) based in Zanzibar, Tanzania; the Center for Ecosystem Research (CIDEA) at the University of Central America (UCA) based in Nicaragua; and EcoCostas, a nongovernmental organization (NGO) based in Ecuador. The work of these partners focused largely on field applications, while the work funded by the new five-year extension focuses on leadership activities at the global level—certification of marine protected area (MPA) professionals; climate change adaptation for the coast; and lessons learned in promoting conservation based livelihoods. As well, there is a modest effort in finalizing the Fisheries and Aquaculture Guide for USAID. As a result of this change in focus from field to global level activities and the reduced funding level of this extension, involvement of the original SUCCESS partners will be limited to a few discrete activities. WIOMSA involvement is limited to continued efforts on the WIO-COMPAS certification, while the role of UHH is focused on climate change, the Fisheries and Aquaculture Guide, and subsequent outreach. Currently, there is no continuing role for either EcoCostas or CIDEA/UCA.

The SUCCESS Program’s goal *is to provide global leadership in integrated coastal management through innovative approaches in a participatory, issue-driven and results-oriented process to:*

* Promote sustainable use of marine resources
* Conserve marine biodiversity
* Improve food and income security

In the Program’s first five years, its goals were achieved through four major components:

* Achieving Tangible On-the-Ground Results
* Increasing Capacity through Certification Initiatives and On-the-Ground Training
* Establishing Regional Learning Networks Supported by Knowledge Management
* Applying Science to Management and Good Governance

In the five-year extension, these same broad goals are being achieved through three major focus areas that concentrate on:

* Increasing capacity for MPA professionals through certification
* Applying a climate lens to coastal policy, management, and practice
* Capturing and disseminating key learning about livelihoods development

All of the above make significant contributions to biodiversity conservation and play a role in raising awareness of the need to adapt coastal policies, plans, and practices in the face of global climate change.

### Biodiversity Conservation and the SUCCESS Program

The SUCCESS Program falls under the Congressional biodiversity earmark secondary code. These are programs and activities—site-based or not—with biodiversity conservation as an explicit, but not primary, objective. SUCCESS meets the following biodiversity earmark criteria.

**The Program must have an explicit biodiversity objective; it is not enough to have biodiversity conservation results as a positive externality from another program**

The overarching goal of SUCCESS is to help improve both human quality of life (health, income, education) and biodiversity through good governance. To meet this goal, the Program is now focusing on activities that can support biodiversity conservation-related actions and policies at the local, national, regional and even global scales—with an emphasis on establishing, disseminating, and helping others apply models, tools, and approaches that contribute to biodiversity conservation. One example is the SUCCESS Program’s innovative new model for certifying MPA professionals. Referred to as the MPA PRO network, this initiative recognizes that as the number of MPAs around the world continues to increase, it becomes essential that the individuals responsible for effective operations of these sites have the requisite skills and experience to do so.

That said, SUCCESS activities span beyond formally designated marine and coastal conservation areas in recognition that while MPAs are one approach to achieving biodiversity conservation, in and of themselves they are insufficient in reaching biodiversity goals unless the areas outside their boundaries are also better managed. This is one of the very reasons why SUCCESS works on climate change adaptation issues in *all* coastal areas, including but not limited to those within the boundaries of protected areas such as MPAs.

SUCCESS operates under the premise that stakeholders in sustainable use and conservation efforts must see tangible benefits if these programs are to be effective and sustainable beyond the life of the USAID investments. Therefore, it recognizes the important role that livelihoods and enterprise development play in helping to address poverty issues in coastal communities. It also recognizes that when poverty is rampant and there are few alternatives for livelihood opportunities, citizens often engage in marine resource extraction activities that can negatively impact biodiversity. Hence, SUCCESS is looking to capture what both it and other programs and experts on the topic have learned about livelihoods development in natural resources-rich but economically poor coastal communities.

### Global Climate Change Adaptation and the SUCCESS Program

For decades, CRC has been using an approach to integrated coastal management (ICM) that has anticipated the far-reaching and long-lasting impacts of global climate change on coastal areas. Adaptation measures that draw on the USAID and CRC portfolio of experience and tools—including experience and tools of the SUCCESS Program—can help coastal communities prepare for the changes that are already being felt today and will increase with time. This includes measures such as:

* Planning that anticipates sea level rise, including adjusted building codes
* Training in good practices that reduce impacts of climate change and variability
* Encouraging MPA development as refuges and habitat for fish
* Community-based disaster management planning
* Constructing water tanks and recommending policy to address current and future potable water needs

These measures have built-in, long-term uses that can help coastal communities cope with not just short-term, piecemeal problems, but that form a natural, adaptive and coherent strategy for addressing the chronic and increasing impacts and pressures brought to bear on coastal residents, economies and ecosystems by global climate change. The SUCCESS Program is working to test and refine application of the guidance and direction provided in the publication *“Adapting to Coastal Climate Change: A Guidebook for Development Planners.”* This Guide helps programmers and practitioners design and implement development projects in a way that accounts for and incorporates adaptations for climate change and in a way that ensures they mainstream adaptation strategies into government and community coastal development initiatives.

### Overview and Summary of Accomplishments

Below is a summary of SUCCESS Program accomplishments from the start of the five-year extension (October 1, 2009) and highlights for the current reporting period. This is followed by sections with more detail on progress being made on the three key Program elements (MPA PRO, climate change, and collaborative learning); contacts made with USAID Missions; updates on Associates Awards; and management challenges and opportunities. Appendix 1 is a summary of results per indicator to date; Appendix 2 lists leveraged funding to date (October 2009 – December 2012).

**Cumulative Program Accomplishments (October 1, 2009 –December 31, 2012)**

* Leveraged over US $547,000 for project activities related to MPA certification, climate change, and learning
* Developed 23 tools/guides/curricula, of which 13 are related to climate change. The tools include the *Adapting to Coastal Climate Change Guide* and associated curricula and worksheets, the *MPA PRO Handbook and Assessor Guide*, and the *“Enterprise Strategies for Coastal and Marine Conservation: A Review of Best Practices and Lessons Learned”*
* Produced/presented 32 “success stories” and research papers. This includes featuring SUCCESS at the United Nations Climate Change Conference held in Copenhagen in 2009; at the Global Oceans and Coasts Conference in Paris; at a SUCCESS Harvest Seminar in Washington DC; in a special issue of the Coastal Management Journal; in the World Conservation Union and WIOMSA publications; and in the final issue of the Basins & Coasts E-newsletter
* Provided 17 technical support interventions on climate change adaptation, conservation-based microenterprise development, and MPA certification to organizations in Africa, South East Asia, and the Pacific
* Forty individuals trained by SUCCESS are now implementing projects or providing training or technical assistance to others on climate change, conservation based enterprise development, or MPA certification
* Twenty local universities, government units, and NGOs in Africa, Latin America, and the region of the Coral Triangle Initiative (CTI) are incorporating SUCCESS tools into their work
* Seventeen institutions have improved capacity to address climate change issues as a result of the SUCCESS Project

**Program Highlights for the Current Reporting Period (July 1 – Dec 31, 2012)**

* Certified six MPA PROs at Level 1 Field Operations, resulting in 192 person hours of training in natural resources management and/or biodiversity conservation
* Leveraged US $12,510 for WIO-COMPAS events
* Convened the core WIO-COMPAS partners to reflect on achievements and lessons over the past eight years and outlined a strategy for the next phase of WIO-COMPAS
* Presented the MPA PRO model at the East Asian Seas Congress in Korea and at the World Ranger Congress in Tanzania
* WIO-COMPASS featured in two WIOMSA Newsletters
* A Facilitator’s Guide for Community-Based Management and shoreline protection technical briefs for the Marshall Islands completed and printing underway
* A partnership initiated with The Nature Conservancy (TNC) and the United Nations University to develop a “Coasts at Risk” global analysis
* Video script and storyboard completed: “*From Vulnerability Assessment to Adaptation Success”*
* Technical support provided to the *Pwani* Project to prepare a national level climate change meeting to prepare for the Tanzania national action planning (NAP)
* Started planning for a three- to four-day workshop on coastal conservation enterprise development and fisheries, which will be held in Sabah, Malaysia in April 2013
* Used the draft Fisheries and Aquaculture Guide as a core document during two URI-led leadership for fisheries and aquaculture courses
* Prepared an outline of a document to assess the past 25 years of investment in coasts and our vision for the future

# II. PROGRESS IN MEETING PLANNED OUTCOMES OF WORKPLAN PROGRAM ELEMENTS

## 1. Regional Capacity Building: Certification of MPA Professionals

The MPA PRO model is unique in its focus on proven on-the-job performance as evidence of competence rather than on what is learned in one-off training events. While it offers a combination of professional development, networking, ethics and certification, the focus to date has been on the latter. A key message from our experience is that certification cannot stand alone in order for management agencies to adopt the model. The MPA PRO model is leading to a paradigm shift in traditional capacity development strategies for protected area management. While many natural resource professionals are very interested in the concept, they want to see the impacts of this program before they commit to adopting it.

The MPA PRO model was first developed and tested in the Western Indian Ocean region through the highly successful Western Indian Ocean Certification of Marine Protected Area Professionals (WIO-COMPAS) Program (<http://www.wio-compas.org/>). This past year culminated in having implemented all three certification levels and convening a meeting to reflect on lessons during the first phase of WIO-COMPAS with a strategy for the next generation. The message coming out of the meeting is that WIO-COMPAS has been a significant achievement, has had an impact on certified MPA PROs and to a lesser degree their institutions. Thus, our charge over the upcoming few years will be to build institutional support for WIO-COMPAS in the Western Indian Ocean (WIO) region and set the seed globally for this change in capacity development. SUCCESS has funding for the next two years of MPA PRO, while the Swedish International Development Agency (SIDA) has committed five years of funding to WIO-COMPAS (2012-2016).

The four objectives of MPA PRO are to:

Objective 1: Certify to build a critical mass

Objective 2: Service MPA PROs post certification

Objective 3: Solidify WIO-COMPAS

Objective 4: Share the model globally

### 1.1 Report Period Accomplishments (July 1 – December 31, 2012)

* Convened our core WIO-COMPAS partners to reflect on achievements and lessons over the past eight years and outlined a strategy for the next phase of WIO-COMPAS. Two papers—one on the evolution of the program, the other on the impact of the program—were produced as input to this Learning Meeting.
* Delivered another Level 1 Field Ranger Certification Assessment Event in November 2012 at the Mafia Island Marine Park. Out of 13 professionals who applied, 8 were enrolled and 6 earned certification. Two are now in “pending” status. This was the second time that the Mafia Island Marine Park hosted the Assessment Event.
* Presented the MPA PRO model at the East Asian Seas Congress in Korea this past July. The invitation was funded by host organizations demonstrating growing global interest in this innovate capacity development model.
* Presented the WIO-COMPAS program at the World Ranger Congress in November 2012 in Tanzania. Arthur Tuda from the Kenya Wildlife Service, an MPA PRO and one of our WIO-COMPAS assessors, partnered with the International Ranger Federation (IRF) to jointly present a special session on certification.

**Activities**

#### Western Indian Ocean (WIO) Region

The current year focus is on telling the WIO-COMPAS story not only in the WIO region but also globally to secure greater buy-in from key figures. In this reporting period, WIO-COMPAS delivered another Level 1 Certification.

**A Partners Learning Meeting** was held in Nairobi, Kenya in September to reflect upon WIO-COMPAS experience to date and map a strategy going forward to grow the program. The meeting allowed WIO-COMPAS to bring our core partners from six countries to share insights on how WIO-COMPAS is making advances nationally. Many of the MPA PROs gave strong testimonials of the impact of WIO-COMPAS on their careers and in influencing MPA management systems.

**WIO-COMPAS Partners at Learning Meeting**



Two detailed draft reports were presented at the meeting. One assessed the impact of WIO-COMPAS across the region and another chronicled the history, lessons and recommendations for the next five years. These report findings were well received by the participants who felt that they captured the key messages and evidence of how certification can make an impact. A succinct summary of these reports will be disseminated online and used to produce journal articles. One article will target MPA managers. The other will target the assessment community, which sees WIO-COMPAS as an excellent example of recognizing prior learning within a profession. While this recognition process is detailed and time-consuming and sometimes presents a challenge, done correctly it can have important professional development impacts on individuals working in the field of MPA management. Longer term, it could have impacts, as well, at the institutional level. Agencies responsible for MPA management may use the MPA PRO set of competences and standards in their human resources management systems as part of their decision-making on who to hire, on priority training needs for staff, and on staff promotions.

The meeting delivered a key message on the need to brief key policy-makers in each country on how WIO-COMPAS can support their management efforts. This is recognized as a key step in winning much needed buy-in for the program. An agreed upon shared strategy is to link the MPA PRO competences to training programs that management agencies already have funded through their existing budgets. The expectation is that over time these agencies will see the value in maximizing the investments they have made in staff training by taking the final step of conducting staff certifications. While WIO-COMPAS is making excellent progress in certifying the cadre of currently eligible individuals working in MPAs in the region, there will be an up and coming generation that would be eligible for certification and that generation will be best served if that certification process is directly embedded in agency/institutional systems.

#### Globally

Earlier in 2011, CRC agreed to partner with the World Conservation Union (IUCN) on their **Global Partnership for Protected Area Management (GPPAM) initiative**. The purpose for joining GPPAM was to work with IUCN to gain global exposure and address the long-term sustainability issues for MPA PRO. The focus of the GPPAM initiative is to develop open source online training courses for protected area staff and link these to a scholarship fund and accredited centers of excellence. CRC was able to add a certification element to the program and involve existing professional associations for protected area staff such as the International Ranger Federation (IRF). It has taken several years for the GPPAM initiative to gain traction within IUCN, however there are signs that funding is forthcoming in 2013.

Over the past year, countries, NGOs, academia and donors have shown significant interest in our certification model. In September, **IUCN approved a motion** recommending all members build the capacity of their MPA staff with certification as one method. Building on this progress, IUCN is now inviting members of WIO-COMPAS to join their capacity building committee.

In Indonesia, the government has decided to focus on creating training courses based on official staff competences. CRC has had numerous discussions with the government of **Indonesia** and the NGOs about the MPA PRO model and the value of certifying individuals. Indonesia has decided to not certify individuals since there are many official positions within their human resources system. They have instead decided to produce certified training courses that meet approved competency areas. Staff who complete a course receive only a certificate similar to traditional training programs. The staff is not assessed on performance in the work place which MPA PRO does. This is very different from the MPA PRO model. The NGOs leading the Coral Triangle Initiative are assisting the government in producing the competency standards and training curriculum. Their decision NOT to certify individuals was also influenced by the lack of competent staff who could currently meet the standards. The path they are taking is, however, an excellent example of how core competencies can be used to improve the capacity of MPA staff with *or without* certification. And it supports the push for competency based capacity development. We will continue to recommend and advise them to evolve their program to a full certification program as they develop the capacity of their MPA staff. Getting a government to change their human resources policies is a significant achievement. We hope to write a joint newsletter article with them in the near future to highlight the multiple avenues available to developing staff capacity.

In another part of the world, the Government of **Colombia** continues to show interest in exploring opportunities to adopt aspects of the MPA PRO model as they embark on creating their new Ministry of Protected Areas. This opportunity arose through our partnership with the GPPAM team.

In July, CRC was paid to present at the **East Asian Seas Congress** in Korea. The Partnership for Environmental Management of South East Asia (PEMSEA) program is leading an initiative to develop a certification program for ICM professionals. Stephen Olsen chaired the session and talked about the need for certification using the example of the coastal governance certification effort CRC/SUCCESS initiated in Latin America. Similarly, Glenn Ricci presented the WIO-COMPAS experience. As part of this session, participants mapped out a potential strategy to move forward in the Asian region on a capacity development initiative. No specific commitments or follow-up action has been established to date.

Linked to these global partnerships and presentations is a conversation with one of our leading endorsers, the IRF. CRC is advocating for a stronger professional association for MPA professionals. As such, we believe that an existing association that already has a global footprint should be in co-lead with CRC. We spoke to IRF in March 2012 and they agreed to this idea and to taking a leadership role in promoting the MPA PRO model. As one of our first partnerships, CRC and IRF jointly chaired a special session at the IRF’s World Ranger Congress in Tanzania in November. WIO-COMPAS supported Arthur Tuda from Kenya Wildlife Service (KWS) to present on the behalf of CRC/WIO-COMPAS. Arthur is certified as both a level 2 and a level3 MPA PRO and also is a trained Assessor at levels 1 and 2. He is an excellent champion and ambassador of the WIO-COMPAS program within and beyond KWS. He reported that there was significant interest by the terrestrial parks people including representatives from the agency managing parks in Victoria, Australia. As securing the support of developed countries would add credibility to the MPA PRO model and our certification efforts, it is essential that we pursue contact with the group in Victoria to further explore their interest and seek opportunities to share the model.

### 1.2 Changes in Program Activities

There have been no changes to the Year 9 workplan.

### 1.3 Contacts with USAID Missions/Bureaus

In coordination with Richard Volk, CRC and WIOMSA invited USAID staff from the Africa Bureau and the country missions to the WIO-COMPAS Partners Learning Meeting in Kenya but unfortunately no representatives were able to attend.

### 1.4 Priorities for Next Quarter (January 1 – March 31, 2013)

* Produce drafts of the two WIO-COMPAS journal articles
* Organize Level 1 Assessment Event in Madagascar for Island Nations
* Contact country partners to gauge progress in briefing policy-makers on the program
* Develop guidelines for a pilot exchange program and invite applications
* Produce newsletter articles and disseminate broadly to WIO region and global audience

## 

**2. Adapting to Coastal Climate Change**

Worldwide, coastal communities are experiencing the effects of global climate change on a daily basis. Current impacts coupled with predictions of future change make it critical to understand and share knowledge on how coastal managers and communities can adapt. Since 2007, SUCCESS has been supporting a USAID leadership role in coastal climate change by providing USAID programs and partners with information, tools and techniques to mainstream adaptation to coastal climate change in various facets of their work. In efforts to advance learning and field capacity for adaptation, CRC has worked to mainstream climate change within its coastal programs through SUCCESS Associate Awards and other USAID programs. These include efforts in Ghana, Tanzania, The Gambia, Senegal, the Coral Triangle Initiative and the Indonesia Marine and Climate Support (IMACS). In the current and upcoming years of SUCCESS, we will continue this leadership role, with a greater emphasis on learning across regions to advance appropriate local adaptation actions, and to start to develop information and materials that can be geared to a senior policy-maker advocacy strategy in the final years of the SUCCESS program.

***2.1 Report Period Accomplishments (July 1 – December 31, 2012)***

* Republic of the Marshall Islands (RMI) documents completed and in preparation for printing and distribution
* Partnership initiated with The Nature Conservancy and the United Nations University to develop a “Coasts at Risk” global analysis
* Video script and storyboard completed: *“From Vulnerability Assessment to Adaptation SUCCESS”*

***Objective 1: Complete the pilot project in the Republic of the Marshall Islands (RMI) and disseminate products***—*through a no-cost extension, complete products for linking climate change and biodiversity conservation planning with application at the national and local scales. Utilize the information to develop guidance for a global audience.*

The Facilitator’s Guide for Community-Based Management has been completed in partnership with RMI and the Hawaii Sea Grant program

<http://seagrant.soest.hawaii.edu/publications>. Printing is underway and an outreach strategy is being planned. The RMI team is planning on a training-of-trainer workshop for agencies and facilitators in RMI, and distribution throughout the Pacific through the Pacific Islands Marine Protected Areas Community (PIMPAC) network. We also completed the shoreline protection technical briefs, which are being printed and distributed by Hawaii Sea Grant in coordination with the College of the Marshall Islands.

As a follow-up to the UN Equator Prize (<http://equatorinitiative.org/>) for the Namdrik Atoll’s leadership efforts in resource management and community resilience, the United Nations Development Programme (UNDP) developed a case study that outlines the “bigger” story behind the Namdrik efforts, including how their leadership promotes the need for that country to build their resilience to many factors, including climate change. The case study acknowledges USAID and CRC for our contributions to the larger project achievements. The case study can be accessed at: <http://www.scribd.com/doc/117569390/Namdrik-Atoll-Case-Study>

This work continues as a model for Pacific Island communities and those in the CTI, and lessons and experience from the RMI work could well be applied to other coastal, island and atoll nations.

***Objective 2: Advance political support and evidence for the emerging global community of practice in coastal climate change adaptation*** *by synthesizing lessons learned through SUCCESS, and sharing what works and what does not related to planning and implementing of adaptation actions that address climate change impacts.*

With the goal for SUCCESS to stimulate global dialogue and lessons learned, we have advanced on two key activities and mapped out a strategy for the next two years. The strategy targets high level policy-makers and decision-makers at a global scale in national governments and in the donor community about the need to take action in climate change adaptation in coastal areas where major impacts will occur. Concerted action is to date largely not occurring, yet without proactive planning and action there will be severe ecological, economic and social consequences for many coastal developing nations.

Our goal is to clearly articulate why coasts around the globe are at risk from climate change and other threats, and need to be given greater attention. We plan to analyze and document country experience in climate change mainstreaming and adaptation, hold national workshops on the need for and how to mainstream climate change considerations/factors into the wide range of different sectors and into development goals, and to synthesize lessons learned and best practices for mainstreaming adaptation actions. The results of these activities will be shared with/at global forums.

**National Adaptation Planning**

The SUCCESS team is working with the USAID Global Climate Change (GCC) program in their efforts to advance climate change adaptation mainstreaming as part of the process of National Adaptation Plans (NAP). The United Nations Framework Convention on Climate Change (UNFCCC) Decision on National Adaptation Plans states that the planning should be based on nationally identified priorities, and coordinated with national sustainable development objectives, plans, policies and programs. So, rather than starting with climate impacts and vulnerability and then finishing with adaptation measures, we are proposing a different methodology—i.e., one that starts with development objectives and identifies adaptation actions to support those objectives, taking into account the larger context of other development stressors and gaps in enabling conditions.

During the first half of 2013, SUCCESS is planning a NAP workshop in Tanzania in partnership with the *Pwani* project and another in West Africa in partnership with the USAID regional mission (focus on Ghana, Gambia and Senegal, and potentially other countries). SUCCESS will partner with the USAID Global Climate Change (GCC) team and their partner Engility (the International Resources Group/IRG has now merged with Engility and assumed that name), which is leading the Climate Change Resilient Development Program. Together we will build upon previous NAP initiatives and ensure that our partnership’s process and lessons learned contribute to USAID’s participation in the UNFCCC and other global forums. Efforts underway in Tanzania include a prospectus of the effort, drafting of a background paper, a list of invitees, and communication with the Vice President’s Office as co-host of the event.

**Coasts at Risk: Global Assessment of Climate Change Vulnerability**

In 2013 we will begin developing a report (to be completed in FY14) entitled ***“Coasts at Risk: Global Assessment of Climate Change Vulnerability.”*** The report will graphically show which coastal areas are most vulnerable to climate change, and why. This is part of the broader effort to “make the compelling case” for why coastal countries and coastal areas are often at higher risk from climate change impacts than inland areas, and therefore need to be given heightened attention and action.

TNC, the United Nations University, the Institute for Health and Human Security (UNU-EHS) and others have undertaken global empirical, comparative assessments related to various components of coastal vulnerability to climate change, including natural hazards, fisheries vulnerability, reef and mangrove vulnerability, and the economic costs of no action. SUCCESS has held initial conversations with TNC and UNU and the three organizations are moving forward with formal partnership and funding agreements. Initial discussions have focused on ways to incorporate practitioner input and feedback into the process in order to help ensure that our analysis targets the appropriate risks and that we are connecting with those leaders who can then help communicate messages about the findings of this analysis/these risks nationally and/or globally.

The World Risk Report (produced by UNU together with partners including TNC) is a good example of the type of product we envision for estimating overall national coastal vulnerability to climate change. Discussions will start early in 2013 and will define the indices for the coastal-specific analysis, many of which are already contained in the World Risk Report and other similar reports. For coastal climate change vulnerability indices, we are considering additional indicators related to fisheries, mangroves and coral reef vulnerability, and indices of coastal ecosystems threatened by direct human impacts (e.g. pollution, habitat change, and destructive fishing), coastal urban areas and infrastructures, and potential impacts from ocean acidification, sea level and sea temperature rise.

***Objective 3: Identify and empower climate change adaptation champions*** *to take action to promote the mainstreaming of adaptation measures within national, local and private sector entry points where CRC is working—helping these champions to articulate and address the role that climate change plays in increased threats to biodiversity, livelihoods, and the overall well-being of coastal communities and ecosystems.*

The third in the series of outreach videos*, “From Vulnerability Assessment to Adaptation SUCCESS”* is in production. In this video, we share some insights gained through our work with partners and local leaders in Africa and the Pacific Islands to prepare community vulnerability assessments and adaptation strategies. Through images and stories, several insights are conveyed:

* Communities benefit when we make a strong commitment and take enough time to prepare an adaptation plan that is widely supported by most of the stakeholders
* A good process encourages people to take action, so we need to be prepared to follow-up with a few key activities right away
* Some actions can be difficult to carry out, so gaining support and collaboration from municipal, district or regional levels can help in overcoming barriers to action faced by a community
* Finally, adaptation planning needs to be recognized and become part of the mainstream in coastal development planning and hazard management

The past two videos are viewed regularly*. Climate Change Adaptation for the Coastal Communities of Ghana's Western Region (* [http://www.youtube.com/](http://www.youtube.com/watch?v=XwImELD3gHc) and  [Africa-Adapt](http://www.africa-adapt.net/themes/196/resources/801/project/).) The first three months, the video was viewed 266 times, and after six months over 500 times. To date, the first video, on climate change in Tanzania, has been viewed over 1,000 times.

***2.2 Changes in Program Activities***

The team has clarified the activities to support the SUCCESS goal to stimulate global discussion and lessons learned. Background papers for NAP workshops, together with workshop reports will provide a foundation for lessons learned. The working group will draw from participants in the workshops, in addition to some other key practitioners who have experience in NAP. The *Coasts at Risk* effort will help to target specific areas of high vulnerability and provide an opportunity to synthesize key messages to share at global forums. The timing of workshops in East and West Africa will depend on local counterparts and in West Africa also on securing leveraged funding.

***2.3 Contacts with USAID Missions and Bureaus***

The *Pwani* and SUCCESS programs have had discussions with USAID Tanzania regarding the NAP workshop concept and its planning. In West Africa, SUCCESS has sent a concept paper and proposal for leveraged funding to the West Africa Mission to support a regional meeting. Both Missions have given positive feedback. Given the activities planned, SUCCESS is coordinating with the GCC program and the partners of their Climate Change Resilient Development (IRG/Engility/ICF). As well, we are communicating with the Africa Bureau’s climate change team.

***2.4 Priorities for Next Quarter (January 1 – March 31, 2013)***

* Printing and distribution of RMI documents
* Production of “how to” video *From Vulnerability Assessment to Adaptation SUCCESS*
* Formalization of partnerships and subcontracts with TNC and UNU
* Scope out the *Coasts at Risk* methods, indictors, and stakeholder process
* Design Tanzania NAP workshop and implement (depending on local co-sponsor)
* Design West Africa Workshop and implement (pending additional funding from USAID/West Africa Mission)

## 3. Collaborative Learning

The collaborative learning element of the SUCCESS extension focuses on cross-portfolio learning activities. In Years 6 through 8, the learning team developed a document called “*Enterprise Strategies for Coastal and Marine Conservation: A Review of Best Practices and Lessons Learned*”. The review is based on the livelihoods experience and lessons learned from field site activities that were part of the first five years of SUCCESS and from livelihoods experience from other development projects. In addition to the livelihoods learning agenda, a programming guide for fisheries and aquaculture was drafted in Year 6 and both the guide and review will be disseminated and incorporated into various workshops and training events in Year 9.

The final learning activity is to take what has been learned and captured in the Livelihoods Review and Fisheries and Aquaculture Guide and strategically announce and promote them more aggressively in order to achieve the maximum visibility (e.g., have them appear in the top 10 on a Google search) and ensure they have the widest use by international peer groups (e.g. WWF, CI, and CARE). We have also started planning for other end-of-Project legacy products and events that capture what we have learned across the larger SUCCESS portfolio—not limited to livelihoods and fisheries, but also including climate change adaptation, capacity building/certification and other aspects of our early SUCCESS field activities (Phase I from 2004-2009). Perhaps our most reflective legacy initiative will be to hold an event and/or produce a document that is a 25-year retrospective on USAID’s investments in coastal and marine programs—the summary of that investment, its impacts, and how it has set the groundwork for addressing some of the most critical challenges facing our coasts in the years ahead. While the actual event or publication will be finalized in the last year of SUCCESS, planning will begin in Year 8. Other learning/legacy products include position papers/case studies that capture coastal nation efforts to incorporation climate change adaptation into sector-specific and overarching national plans and strategies.

### Report Period Accomplishments (July 1—December 31, 2012)

* Started planning for a three- to four-day workshop on coastal conservation enterprise development and fisheries, which will be held in Sabah, Malaysia in April 2013
* Used the Fisheries and Aquaculture Guide as a core document during two URI-led leadership for fisheries and aquaculture courses
* Prepared an outline of a document to assess the past 25 years of investment in coasts and our vision for the future

**Objective 1: Outreach on Conservation Enterprise Development and Fisheries Management**

Although the Conservation Enterprise Review and Fisheries and Aquaculture Guide are yet to be published online (due to complications in making the documents 508 compliant), the SUCCESS team has started using and promoting the materials. In the current reporting period, the following activities were completed:

1. Finalized edits to the Conservation Enterprise Review and submitted for 508 compliance
2. Held discussions with staff from Conservation International and WWF Malaysia to plan for a three- to four-day training workshop, which will be held in Sabah, Malaysia in April 2013. Two days will focus on conservation enterprise development, one day on fisheries—building on the Fisheries and Aquaculture Programming Guide—and one day on a field trip. Training will also include individual coaching
3. The Fisheries and Aquaculture Guide was used as a core document during the three-week URI Leadership for Fisheries Management Course in July 2012 and attended by 11 participants (four women and seven men), primarily from West Africa. The guide was also used during a 10-day course for two individuals from Ghana whose visa delays prevented them attending the July course
4. Participated in a planning meeting for the G-FISH project’s fisheries management course for USAID. The February 2013 course will also use the Fisheries and Aquaculture Guide as one of its core documents

***Priorities for Next Quarter (January 1 – March 31, 2013)***

* Publish online the final Conservation Enterprise Review and Fisheries and Aquaculture Guide
* Develop a short summary of the Conservation Enterprise Review
* Conduct a brown bag presentation in Washington DC to launch the Fisheries and Aquaculture Guide and Conservation Enterprise Review
* Plan an April 2013 conservation enterprise training for the CTSP/Coral Triangle Support Program (WWF Malaysia)

**Objective 2: Planning for Year 10 Legacy, Reflection, and Learning**

Year 9 is the next to the last year of the SUCCESS Project and to ensure events and products are well prepared and executed, the team has begun planning of those events and products. In early 2013, we will form a small Legacy and Learning Team that will be responsible for mapping out the last year’s outreach and communications activities.

In the first quarter of FY 13, the SUCCESS team prepared an outline of a document to assess the past 25 years of investment in coasts and our vision for the future. A SUCCESS legacy communications plan was also prepared. The purpose of this plan is to define the legacy communications for the SUCCESS Project—the key messages we want to convey, the audiences we want to influence with those messages, the delivery mechanisms, and the SUCCESS team member responsible for ensuring the communications event/product is produced on time and budget.

***Priorities for Next Quarter (January 1 – March 31, 2013)***

* Continue planning for Year 10 legacy, reflection, and learning

### 3.2 Changes in Program Activities

There have been no changes in program activities during this reporting period.

### 3.3 Contacts with USAID Missions and Bureaus

We engaged USAID E3/W and E3/FAB staff members in a review of the Conservation-based Enterprise Guide.

## 4. Status of Year 9 Workplan Outputs

| ***Output*** | ***Date*** | ***Status*** |
| --- | --- | --- |
| **MPA PRO** |  |  |
| Conduct two Certification Offerings (majority of funding from SIDA and local counterparts, with SUCCESS providing leverage) | November 2012 – June 2013 | 1 completed. Already planning and advertising for Madagascar and South Africa. |
| Posters of WIO-COMPAS to increase awareness and applications by  MPA rangers | November 2012-January 2013 | Getting final messages then will do layout in March |
| Conduct 1-2 exchanges of MPA PROs | December 2012– August 2013 | On schedule |
| Brief MPA management agency directors and identify their needs | December 2012-August 2013 | On schedule |
| Lessons from the first phase of WIO-COMPAS | December 2012 – March 2013 | On schedule |
| Journal article submitted on capacity-building through the MPA PRO model: summing up the program’s “first generation “ | November 2012-February 2013 | Delayed. Drafts will be produced in March with hopes of submitting final article to journal in September. |
| Present at the IRF World Ranger Conference in Tanzania | October 2012 | Completed |
| Present the MPA PRO model with Mexico and Indonesia (or other countries upon request) | October 2012-September 2013 | Shared with Indonesia and in talks with Colombia. |
| Produce outreach materials for international media (MPA PRO e-news, brochures, blog postings) that inform the marine conservation/coastal management/MPA sector of the MPA PRO program | August 2012 | On schedule |
| **CLIMATE CHANGE** |  |  |
| Facilitator’s Guide printed | November 2012 | Facilitators Guide on WWW  Anticipate printing and dissemination in Quarter 2 |
| Dissemination of the Facilitator’s Guide | December 2012 |
| Shoreline Protection Guidelines printed | November 2012 |
| Shoreline Protection Guidelines disseminated | December 2012 |
| Collect Coasts at Risk existing data regarding socio-economic and bio-physical status of coastal areas | April 2013 | Delayed until Sept 2013, in collaboration with TNC/UNU |
| Summary statement of Coasts at Risk key trends ready to present at Global Ocean Forum | June 2013 | Global Ocean Forum still not planned; SUCCESS is looking at other options (i.e. UNFCCC) to vet and validate, with likely delay to Sept-Oct 2013 depending on venue |
| Coasts at Risk draft summary of analysis and trends to circulate among Working Group | September 2013 | Likely Sept-October 2013 depending on venue |
| Review existing literature and select target countries for case studies | November 2012 | Delete. Change in scope, away from Case studies to background papers for workshop and compilation of recommendations on NAP process |
| Draft report of comparative assessment and case studies | March 2013 |
| Final report prepared for a special session at the Global Ocean Forum | June 2013 |
| Background Paper on NAP efforts in Tanzania | February | NEW milestone, replacing case studies |
| Conduct national level workshop in Tanzania | December 2012 | Delayed – anticipate March 2013, depending on counterpart agency |
| Generate report of major outcomes from Tanzania Workshop | February 2013 | Delayed – anticipate April 2013 |
| Background information gathering for W. Africa workshop | April 2013 | NEW milestone, replacing case studies. |
| Conduct W. Africa workshop with regional leaders and sectors | April 2013 | On track - Workshop in West Africa planned for April, pending leveraged funding and coordinated timing with USAID WA Mission. |
| Generate summary report of major outcomes from W. Africa workshop. | May 2013 | On track |
| Form a Working Group to focus on national-level planning incorporating climate change adaptation | December 2012 | Delayed, April 2013, Working group will be a subset of W Africa workshop attendees, with others engaged in NAP |
| Conduct West Africa/Accra meeting with regional planners and above Working Group | April 2013 | On track – event tied to W. Africa workshop |
| Generate report of major outcomes from meeting | May 2013 | On track |
| Conduct a special session at the Global Ocean Forum with Working Group to present the outcomes of the West Africa meeting | June 2013 | May not be at the Global Ocean Forum; looking into other options through UNFCCC process. Anticipate that we can have someone from Africa present draft recommendations |
| Assemble feedback into final recommendations | September 2013 | These will be draft until it is vetted by additional practitioners. |
| **LEARNING** |  |  |
| Develop a summary of the conservation enterprise guide (fact sheet and/or video) | December 2012 | Not completed, new deadline June 2013 |
| Conduct a brown bag presentation in Washington DC to launch the fisheries and conservation enterprise guides. | December 2012 | Not completed |
| Deliver conservation-based microenterprise training modules into at least two international workshops in the Coral Triangle region and/or East Africa | June 2013 | First workshop scheduled for April 2013 |
| Deliver session during G-FISH course on fisheries programming for USAID | June 2013 | Planning underway; course scheduled for February 2013 |

## 5. Monitoring, Evaluation and Reporting

The SUCCESS Program’s goal *is to provide global leadership in integrated coastal management through innovative approaches in a participatory, issue-driven and results-oriented process to:*

Promote sustainable use of marine resources

Conserve marine biodiversity

Improve food and income security

This is a long-term goal (third order outcome). In its first phase, SUCCESS contributed to the goal through a mix of regional and global activities and implementation of innovative practices, adaptations and learning in Nicaragua, Ecuador, and Tanzania. In its second (current) phase, SUCCESS continues to make additional contributions to this goal, but does so by providing regional and global leadership in climate change adaptation, cross-site learning, and MPA certification. Meanwhile, all field implementation activities are funded and implemented solely through Associate Awards.

As a result of eliminating field activities, the SUCCESS Performance Management Plan (PMP) was revised in the first quarter of FY 10 and then again in FY 12. Current indicators and FY 13 targets are:

**FY 13 Targets for all indicators**

| **INDICATOR** | **FY 13 Targets** |
| --- | --- |
| 1. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-men. (previously part of Ind 1 in SUCCESS) | 1,060 |
| 1.b. Person hours of training completed in climate change supported by USG assistance- adaptation (men) | 384 |
| 2. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-women (previously part of Ind 1 in SUCCESS) | 660 |
| 2.b Person hours of training completed in climate change supported by USG assistance- adaptation (women) | 96 |
| 3. Dollar value of funds leveraged from USAID Missions and non-USG sources | 10,000 |
| 4. Tools, protocols, procedures, systems, methodologies, guides, curricula, or indices developed or adapted for country and/or thematic contexts | 4 |
| 4b. Number of climate change mitigation and/or adaptation tools, technologies and methodologies developed, tested, and/or adopted as a result of USG assistance | 2 |
| 5. Success stories, peer review articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS | 4 |
| 6. Technical support interventions provided by SUCCESS to other partners and programs on toolkits and guidebooks developed by SUCCESS | 4 |
| 7. Recipients of SUCCESS training and/or mentoring subsequently implementing projects or providing training or technical assistance in these topics to others | 5 |
| 8. Number of institutions with improved capacity to address climate change issues as a result of USG assistance - adaptation capabilities | 8 |
| 9. Target organizations incorporating SUCCESS tools etc. into their work | 2 |
| 10. Hectares in areas of biological significance under improved management | No target; may be able to count RMI hectares under improved management |
| 11. Policies, laws, agreements, or regulations promoting sustainable natural resource management and conservation implemented | 0 |

A table of accomplishments in relation to the targets is presented in [Appendix 1](#_Appendix_1:_). A full description of each indicator can be found in the PMP, which can be made available upon request.

# **III. Management Issues, CHALLENGES and OPPORTUNITIES**

### Challenges

Several important publications being finalized by SUCCESS in this reporting period are the *“Enterprise Strategies for Coastal and Marine Conservation: Review of Best Practices and Lessons Learned”* and the *“Sustainable Fisheries and Responsible Aquaculture: A Guide for USAID Staff and Partners.”* While both documents have been considerably improved by USAID input, the process and timing by which this input has been received at CRC has slowed the process. After multiple USAID reviews and suggested edits, the publications went to layout as the last step prior to the process of making them 508 compliant. Unfortunately, after this layout process had already begun in one case and was complete in another, additional changes were requested, which increased costs and delayed distribution of these products until early 2013.

SUCCESS has made good progress in planning for a climate change-focused activity that includes workshops in SUCCESS-specific and/or other USAID countries/regions-of-interest in East and West Africa. These workshops will address a range of climate change issues—its impacts, adaptation planning for, and building community resilience in the face of this change. As there are limited dollars from the SUCCESS Project budget for this activity, URI-CRC is contributing a significant amount of match funds to help ensure the activity is successfully implemented before September 2013.

As the amount of SUCCESS funds available to support the continued MPA PRO initiative become fewer and fewer, we continue to encourage others to embrace the model, make it their own, and find their own independent funding for implementation. It is this matter of independent funding, however, that remains the challenge. At least in East Africa, where the model has the strongest foothold, it appears few government agency budgets can afford—or at least right are willing to commit—to such funding. While Sida has made a multi-year commitment to pick up some of the funding needed to keep WIO-COMPAS functional in the WIO region, this does not help promote the model more widely to other regions of the world.

### Opportunities

It is always value-adding when opportunities arise for one or more USAID-funded projects to actively collaborate on a common activity. This year, such just such an opportunity has developed between the *Pwani* and SUCCESS Projects—collaboration in co-organizing a NAP workshop. In addition, the *Pwani* Project has started planning for a repeat of the initial SUCCESS livelihoods survey conducted in 2006, in order to follow up with earlier SUCCESS beneficiaries and to measure the impacts these livelihood interventions have had on these beneficiaries over time.

The SUCCESS AOR continues to be a true partner with CRC, helping the Center to think more strategically about its current work—especially its climate change activities—and at the same time to recognize and consider potential project opportunities beyond SUCCESS and its current Associate Awards.

# IV. Associate Awards and related projects

The SUCCESS Leader Award has generated four Associate Awards (Thailand, Ghana, West Africa/The Gambia, Senegal) for funding of over US $25m. The work implemented through these awards responds to the programmatic priorities of the funding Mission and the coastal issues of the country/place, while its also furthers the overarching SUCCESS mission and goals and draws upon much of the experience, tools and opportunities first begun or developed under the Leader Award.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Associate Award** | **Total Estimated Amount** | **Total Obligations to Date (as of 12/31/12)** | **Incremental Obligations Received FY11** | **Incremental Obligations Received FY 12 to date (between 01/01/12 to 12/31/12)** |
| USAID Ghana    “Integrated Coastal and Fisheries Governance/ICFG” – *Hen Mpoano*” | 10,000,000 | 8,425,266 | 2,399,571 | 1,000,000 |
| USAID Senegal  COMFISH | 11,499,710 | 5,251,000 | 2,377,000 | 2,874,000 |
| USAID West Africa  *Ba Nafaa* | 3,414,566 | 3,414,566 | 427,493 | 1,407,368 |

**The Integrated Coastal and Fisheries Governance Initiative in Ghana**

**(Associate Award: $10 million; September 15, 2009-September 13, 2013)**

The Ghana Project, locally known as *Hen Mpoano* (Our Coast) is implementing its final year work plan, focusing on formulating a nested governance system in which the roles and responsibilities of the individual communities, the six coastal districts and coordination at the regional scale are made explicit and strengthened.

During Year 3 (2012) the ICFG – *Hen Mpoano* Initiative made significant progress towards attaining the objectives of the *Hen Mpoano* Initiative set at the beginning both in terms of designing fresh approaches to governance within the coast of Western Region and in the fisheries in a two-track approach linking discussion on policy implementation with on-the-ground actions. The Initiative has been creatively designing and testing the implementation of policies that address critical coastal issues of food security and maintaining sustainable landscapes and biodiversity. Through partnerships and networking, models were moved further into practice with evolving donor support, notably DFID, which is preparing to create a foundation to fund activities of a community platform that addresses oil & gas development issues, the World Bank, which is now implementing the West Africa Regional Fisheries Project as well as USAID, which announced its continuing support for marine and coastal governance issues in its portfolio as well as exploring sustainable landscapes work in mangrove ecosystems.

**Marine and Coastal Governance**

During Year 3 models were designed and discussed with a range of stakeholders which are currently orienting partnership programs evolving in the Western Region. The growing synergy and engagement with national institutions and international donor funded programs can be largely attributed to the social capital the *Hen Mpoano* Initiative has established. Efforts were intensified to build capacities within the regional and district level local governments for the practice of Integrated Coastal Management; and at the national level to mainstream climate change considerations into coastal zone planning. Communications through draft issues briefs brought to the forefront critical coastal issues and means for addressing them.

**Fisheries Governance**

The ICFG Initiative catalyzed a very successful second national dialogue on co-management in fisheries which contributed to greater awareness of the legal refinements and social conditions necessary for moving models into practice. The Initiative prepared local constituencies for co-management and has identified what will be the initial management units for both coastal wetlands and marine habitats critical for many of the inshore fish species. Scenarios for future marine protected areas were also prepared which would need operational support in the future.

The efforts of the *Hen Mpoano* program in compliance and enforcement are bearing fruit in the Western Region with success stories from an increasingly effective prosecution chain, creative communications programs, and in catalyzing the initial training of marine police units who are beginning to function in a way that is welcomed in fishing communities. *Hen Mpoano* has been in continual dialogue with the World Bank representatives and Fisheries Commission as the West Africa Regional Fisheries Program was finalized. WARFP is currently in the start-up phase. It is expected that this 5 year (USD $53 million ) investment will adopt and carry forward many of the *Hen Mpoano* initiatives in fisheries education, communications, training, data collection, fisheries co-management, MPAs, and enforcement and extend them into the other coastal regions of Ghana

**Focal Area Actions**

The focal area actions were aimed at addressing the spectrum of critical coastal issues that face Ghana’s coast. While many of the actions involved spatial planning and capacities in local government to develop and enforce zoning regulations for future development projects. Other actions were aimed at maintaining critical ecosystems and addressed social vulnerability and resilience issues that feed poverty and food insecurity.

Shama District

The Shama District is an early adopter of integrated coastal zone management through coherent spatial planning that frames bye-laws being developed on shoreline development, flood plain management and conservation of critically important wetlands. In addition, networking among local institutions has led to the creation of an early warning system for imminent flooding, the first in Ghana. The District has also modeled innovative Population-Health-Environment and livelihoods programs that can be scaled up in other Districts through other funding mechanisms.

Cape Three Points

Coastal community vulnerability and resilience assessments were completed and fully integrated into the Nzema East and Ahanta West District spatial plans. These assessments served to prioritize areas for pro-active interventions by local government, civil society groups and donors. The spatial plan also highlighted the need for “green belt” planning for the critical coastal and marine habitats that include the Cape Three Points Forest Reserve, four critical wetlands areas and marine habitats that require management in line with fisheries restoration objectives. Community based conservation programs were developed for both the wetlands and forest areas of the “green belt”. Finally, engagements with large agro-industrial company – Ghana Rubber Estate Limited and its donors resulted in company donors supporting “out grower programs” for perennial tree crops that involved taking steps to assess negative social impacts and to invest in food production strategies that reduce food insecurity.

Greater Amanzule Wetlands

Similar to that of the Cape Three Points Focal Area, vulnerability and resilience assessments were completed and integrated into ongoing spatial planning for Districts of Ellembelle and Jomoro Districts. Aside from the identification and prioritization of vulnerable communities, the Amanzule wetlands landscape has been zoned for conservation purposes and this status has the endorsement of the traditional authorities. Thorough carbon stock assessments for this wetlands area containing unique peat and swamp forests will form a sustainable landscapes project for REDD+ funding and the Initiative will prepare a Project Identification Note in Year 4, the next step toward a Project Description Document. Finally, the issue of marine algae proliferation, or “green-green”, has been taken up by the Guinea Current Large Marine Ecosystem Program and the *Hen Mpoano* Initiative has been able to fall back to an advisory and local communication role. This is a good example of how the Initiative has brought critical issue to national and international attention, catalyzed action among national institutions, leveraged funding for continuity, and transitioned coordination to partners. The final year 4 will follow this lead on several fronts.

**Mid-Term Evaluation of the *Hen Mpoano* Project**

USAID contracted an independent mid-term evaluation of the ICFG/*Hen Mpoano* Program which had the following conclusion:

The Evaluation Team made five recommendations. These have been incorporated into the Year 4 work plan for October 1, 2012 to September 13, 2013.

* **Identify and document lessons learned**

“The project should focus its remaining energies more on analyzing and capturing lessons learned than on new initiatives”. This recommendation is addressed in a new Component 3 of the Year 4 work plan.

* **Communicate carefully**

“Choose strategic messages, especially targeted, synthetic lessons to upper level, high visibility policy-makers and decision-makers. Policy briefs and white papers such as those now in progress are valuable; we think there is also a significant need for items that are shorter, more synthetic and more targeted”. This recommendation is addressed in progress made in Component 1.1 and 1.2 and in a new Component 3 of the Year 4 work plan.

* **Empower women**

“There seems to be little momentum in helping women to become more organized (e.g., help develop better markets, better products, or alternative products or marketing strategies). Capacity development within the women’s communities would be a valuable contribution”. This is reinforced further in the Year 4 work plan throughout Component 2 by the community level work in the three geographic focal areas.

* **Continue to invest in networking and relationship building**

“Focus on the long term goal of *Hen Mpoano* becoming a self-sustaining institution in the Region. Consistent with that long term goal, communicate more effectively, especially at the regional and national levels”.

**Gambia-Senegal Sustainable Fisheries Project**

**(Associate Award: $3.4 million; May 1, 2009 – April 30, 2014)**

This project, locally known as USAID/Ba Nafaa, is continuing to develop and promote models of fisheries co-management in the West African region especially through examples developed in The Gambia. In January 2012, the Fishery Co-Management Plan for the Gambia Sole Complex and the Cockle and Oyster Fishery Co-Management Plan for the Tanbi Wetlands National Park were approved, granting exclusive user rights and responsibility for sustainable management of the fishery to the National Sole Co-Management Committee (NASCOM) and TRY Oyster Women’s Association (TRY) respectively. Project support has since focused on continuing to strengthen the capacity of the co-management institutions and the Department of Fisheries to implement and achieve the biological, economic, social and ecological objectives of the plans, including implementation of a water, sanitation and hygiene (WASH) component at selected fisheries landing/oyster harvesting sites.

In the first quarter of Fiscal Year 13, highlights of project assistance included:

* Administrative and financial management training for recipients of capacity strengthening seed grants (NASCOM, TRY Association, and The Association of Gambian Fishing Companies (TAGFC) as well as TARUD, one of the project’s local WASH implementing partners.
* Hosting by NASCOM through their seed grant of the first Annual Sole Co-Management Plan Review meeting. The meeting included review by all stakeholders of the new sole stock assessment report and consideration of additional management measures to protect the sustainability of the stock. Local Ecological Knowledge findings for catfish were also presented and discussed as a first step in expanding the co-management planning process to include related demersal species of importance.
* Technical Assistance to TRY Association resulting in a grant of more than $35,000 from UNDP to TRY to develop and improve oyster processing capacity.
* Participatory Hygiene and Sanitation Transformation (PHAST) Training, finalization of environmental reviews, infrastructure designs and development of WASH Management Plans at the first 2 of 6 WASH sites.

In July and August, The University of Rhode Island submitted requests to USAID/West Africa for additional project funds and an extension of the project end date through April 2016. These add-ons will enable the project to build on the significant successes achieved to date and to further institutionalize the adaptive management process around which the two approved co-management plans were designed. Bi-lateral (Gambia-Senegal) climate change adaptation measures and additional Water, Sanitation and Hygiene (WASH) activities are also included in the request. In November 2012, an external evaluation of the USAID/BaNafaa Project was conducted by a USAID contractor. The evaluation report is expected in January 2013.

**Collaborative Management for a Sustainable Fisheries Future in Senegal (COMFISH)**

**(Associate Award - 11.5 million; February 14, 2011 – September 30, 2016)**

The primary objective of the USAID/COMFISH project is to support the Ministry of Fisheries and Marine Affairs, through its Department of Marine Fisheries, to implement the National Fisheries Policy Letter that gives policy guidance for achieving sustainable management of marine resources.

A key outcome is to put in place participatory fisheries management plans for priority stocks using Local Councils for Artisanal Fisheries (CLPA) as the institutional entry point. Sustainably managed fisheries result in an increase in the resilience of marine ecosystems, coasts and fishing communities to the effects of climate change.

USAID/COMFISH has four components: 1) institutional capacity building, 2) sustainable marine resource use, increased resilience, and conservation of biodiversity, 3) coastal community adaptation to climate change, and 4) socio-economic benefits to fishing communities.

In the first quarter of FY13, for component one, 17 training events on CLPA regulations, organization, and co-management reached 500 members of 7 different CLPA’s. A review of women active in the marine fishery and their contributions was carried out. As well, a Women in Fisheries Declaration (an outcome of national workshops in FY12) was transmitted to fisheries authorities.

For component two, USAID/COMFISH is combining the collection and review of scientific data and local knowledge on the state of fish stocks, with the strengthening of enabling conditions for sustainable fisheries planning and promotion of best practices. Enabling conditions include formulating and submitting for legal approval the documents (Local Conventions) that empower the CLPA’s to implement and enforce fisheries management measures. Socio-economic and biologic data collection and studies are being undertaken on sardinella, grouper, coastal shrimp, octopus, and cobo. This also includes GIS mapping of key features of the same priority stocks. The studies and analysis involve training and capacity building of partners and feed into the process of formulating Local Conventions. In FY12, 3 Local Conventions were completed and approved (the first in the country). The project is now supporting implementation. The same process of training, discussion, and formulating Convention Locals in 3 additional CLPA’s was initiated in this Quarter. When completed, the 7 CLPA’s with Convention Locals will cover the majority of the landing sites of the artisanal sardinella fleet. Sardinalla is by far the most important stock for local consumption and protein (represents some 80% of Senegal total artisanal catch). The idea is to then create an inter-CLPA Local Convention to be able to manage the fishery on a stock ecosystem basis.

In the adaptation to climate change component, USAID/COMFISH is preparing a vulnerability assessment of the CLPA areas that are project intervention sites. This includes collection of environmental, biological, and socio-economic data for GIS spatial and temporal mapping. The project is also supporting a national working group on mainstreaming climate change considerations in fisheries policy.

To strengthen socio-economic benefits from the fishery value chain, USAID/COMFISH is supporting a Women’s Association of fish processors in Cayar with training, best practices, improved products, and marketing. In this Quarter, COMFISH’s partner APTE supported the Association’s Health Committee with training, and is conducting literacy courses.

**The *Pwani* Project, Tanzania (Direct Cooperative Agreement with USAID/Tanzania)**

The Conservation of Coastal Eco-Systems in Tanzania: the *Pwani* Project is a four-year initiative funded through a bilateral cooperative agreement with USAID Tanzania. One of the *Pwani* Project’s goals is to create wealthier and more empowered communities. Wealthier communities are created not by simply increasing people’s economic health and standing, but improving as well other factors that contribute to quality of life—factors such as increasing people’s resilience to the impacts of climate change stressors; and improving their access to health services that shape their overall physical well-being. Although not an Associate Award, the *Pwani* Project is part of the SUCCESS family with several direct links to SUCCESS. The project collaborates with SUCCESS on climate change-related activities, where SUCCESS resources are leveraged to support the development of vulnerability assessment and adaptation planning tools that build upon the Climate Change Guide. In return, *Pwani* serves as a pilot site for on-the-ground climate change vulnerability assessments and adaptation planning that SUCCESS can learn from as it refines its climate change adaptation and planning tools and training curriculums. Since 2011, the *Pwani* Project has completed four vulnerability assessments on the mainland and Zanzibar—and more assessments are currently under way. Learning from SUCCESS and *Hen Mpoano*, the *Pwani* Project is revising its V&A process to focus less on single villages and more on a larger ecosystem/district-wide level.

In FY 13, *Pwani* will collaborate with SUCCESS in hosting a national level workshop called “Climate Change Adaptation and Development Mainstreaming for the Coast”. This Workshop, which will be hosted by the Division of Environment in the Vice-President’s Office will focus on the cross-sectoral nature of climate change impacts on the coast and marine environment, and measures and institutions that could be used to respond. It is intended to build momentum and lay the groundwork for the National Adaptation Plan (NAP) process that the Government of Tanzania is committed to with the United Nations Framework Convention on Climate Change (UNFCCC).

*Pwani* is also a learning site for enterprise development and it is one of the cases featured in the Conservation-based Enterprise Guide. In FY 13, the *Pwani* Project will conduct a survey of all individuals involved in the Project’s livelihoods activities. The survey will follow up on a survey conducted by the SUCCESS Project in 2007 and it will cover several of the SUCCESS Project livelihood beneficiaries. Hence, the survey is expected to assess to what extent the former SUCCESS livelihoods beneficiaries are still active and what the socio-economic impacts have been on their lives.

**Indonesia Marine and Climate Support (IMACS) Project**

CRC is a partner in the Chemonics International-led consortium of the PLACE indefinite quantity contract (IQC) that was awarded for the "Indonesia Marine and Climate Support" (IMACS) project funded by USAID Indonesia. The project is focusing on building the capacity of the Indonesia Ministry of Marine Affairs and Fisheries (MMAF) to address fisheries and climate change issues. CRC is playing a senior advisory role for the coastal adaptation aspects of the project and will focus on providing support to MMAF in developing vulnerability assessments, designing and delivering short training courses, and developing the capacity of regional universities to provide extension services to local governments. CRC produced a capacity assessment of the two Mitra Bahari (Sea Grant-like programs) programs in the field sites of Nusa Tenggara Barat and Sulawesi Tenggara. We are currently assisting IMACS on executive briefings and a provincial training course on coastal resilience. In 2012 we had five IMACS project partners attend our 3-week Coastal Community Resilience Course. Based on this success we will have another six Indonesians attending the 2013 Fisheries Course at URI. CRC is also engaging in a national review on Indonesia’s coastal program with a focus on incentives to accelerate the adoption of the law in local districts. There will be strong linkages with CRC’s other climate change projects through the sharing of vulnerability assessments and training curricula.

**US Coral Triangle Initiative (CTI)**

CRC completed a small grant with the USCTI program in December 2011. Based on the success of the CCAC training attended by 15 CTI partners in 2010, the US CTI program awarded CRC a small grant to collect adaptation cases from the region, and to design and deliver two regional short courses and one training-of-trainers course. In the process, CRC coached the CTI field partners as they implemented their independent adaptation programs. CRC delivered the first short course for the Solomon Islands and PNG in Port Moresby. The focus was on community-based adaptation planning. The second regional course, which CRC was unable to attend, occurred in February 2012 with the University of the Philippines Marine Science Institute in the lead.

**The *BALANCED* (Building Actors and Leaders for Excellence in Community Development) Project**

BALANCED is a five-year Population, Health and Environment (PHE) Technical Leadership Cooperative Agreement funded by the USAID Office of Global Health, Office of Population and Reproductive Health. It seeks to advance the wider use of effective PHE approaches worldwide by building capacity for implementing PHE; developing, organizing and sharing PHE knowledge and tools; and implementing results-oriented PHE field activities in areas of high biodiversity. It is a logical partner to SUCCESS as it puts people—and the pressures linked to the world's growing number of people—at the center of the natural resources management challenge.

While not an Associate Award to the SUCCESS, BALANCED is working in and with other USAID-funded projects that were shaped by the first phase of SUCCESS. This includes the *Pwani* project in Tanzania, where BALANCED is helping to integrate family planning and health services into that project's already highly integrated activities (including work in HIV-AIDS prevention and livelihoods development/savings and loan activities).

BALANCED also has a Buy-in from USAID Philippines and field activities being implemented as part of this Buy-in are building upon work pioneered by SUCCESS related to MPAs, fisheries, and livelihoods and drawing upon the guidance and lessons learned that are part of both the SUCCESS-produced Livelihoods Review and the Fisheries and Aquaculture Programming Guide.

BALANCED is also working with the SUCCESS Associate Award, *Integrated Coastal and Fisheries Governance* (ICFG) project in Ghana, where it is providing technical assistance to the larger ICFG team and a key partner, Friends of the Nation (FON), in bringing much needed family planning information and services to coastal communities in the Western Region—all as part of an integrated approach to improving quality-of-life (including food security) and stemming biodiversity loss and over- fishing in that nation.

# Appendix 1: PMP highlights and accomplishments

| **INDICATOR** | **FY 11 Target** | **FY 11 Total** | **FY 12 Target** | **FY 12 Total** | **FY 13 Target** | **FY 13 Quarter 1** | **FY 12 Q4 +FY 13 Q1** | **Comments** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-men. (previously part of Ind 1 in SUCCESS) |  |  | 2,560 | 440 | 1,060 | 192 | **192** | On target. Several trainings are planned for FY 13, Quarter 2 and 3. |
| 1.b. Person hours of training completed in climate change supported by USG assistance- adaptation (men) |  |  | No target, but tracked | 0 | 384 | 0 | **0** | This is a subset of indicator 1. On target, see above |
| 2. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-women (previously part of Ind 1 in SUCCESS) |  |  | 1,240 | 427 | 660 | 0 | **0** | On target, see above |
| 2.b Person hours of training completed in climate change supported by USG assistance- adaptation (women) |  |  | No target, but tracked | 0 | 96 | 0 | **0** | This is a subset of indicator 2. On target, see above |
| 3. Dollar value of funds leveraged from USAID Missions and non-USG sources | No target | 390,085 | No target | 60,734 | 10,000 | 12510 | **38,283** | Over target. Leveraged funding in this reporting period came from WIOMSA |
| 4. Tools, protocols, procedures, systems, methodologies, guides, curricula, or indices developed or adapted for country and/or thematic contexts | 7 | 7 | 10 | 9 | 4 | 0 | **6** | In FY 12, Quarter 4, we counted two RMI documents (facilitators guide and erosion guide), microenterprise guide, and two training curricula, and a level 3 WIO COMPASS tool |
| 4b. Number of climate change mitigation and/or adaptation tools, technologies and methodologies developed, tested, and/or adopted as a result of USG assistance |  | 5 | 2 | 4 | 2 | 0 | **2** |  |
| 5. Success stories, peer review articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS | 10 | 6 | 7 | 5 | 4 | 4 | **4** | Two conference presentations and two WIOMSA newsletter articles related to WIO-COMPASS |
| 6. Technical support interventions provided by SUCCESS to other partners and programs on toolkits and guidebooks developed by SUCCESS | 3 | 5 | No target, but results will be measured | 7 | 4 | 1 | **6** | TA provided by Jim Tobey to the *Pwani* Project to prepare for 2013 workshop |
| 7. Recipients of SUCCESS training and/or mentoring subsequently implementing projects or providing training or technical assistance in these topics to others | 10 | 11 | No target, but results will be measured | 18 | 5 | 0 | **8** | Eight MPA Pro Assessors were counted in Q4. |
| 8. Number of institutions with improved capacity to address climate change issues as a result of USG assistance - adaptation capabilities |  | 15 | No target, but results will be measured | 1 | 8 | 0 | **1** | SAGE Committee was added in Q4. Also, continued working and building capacity of six out of 15 institutions previously reported through SUCCESS and associate awards. |
| 9. Target organizations incorporating SUCCESS tools etc. into their work | 3 | 12 | No target, but results will be measured | 2 | 2 | 0 | **0** |  |
| 10. Hectares in areas of biological significance under improved management | 0 | 0 | 0 | 0 | TBD | 0 | **0** |  |
| 11. Policies, laws, agreements, or regulations promoting sustainable natural resource management and conservation implemented | 0 | 0 | 0 | 0 | TBD | 0 | **0** |  |

# Appendix 2: Leveraged Funding to Date (October 2009 TO December 2012)

| **Fiscal Year** | **Leveraging Partner** | **Donor** | **Activity** | **Leveraged Funds** |
| --- | --- | --- | --- | --- |
| 2010 | CRC | Marviva | To present the MPA Pro concept at a meeting in Costa Rica | 1,800 |
| 2010 | CRC | Individual experts | Livelihoods learning meeting – value of the experts’ time | 5,322 |
| 2010 | CRC | CRC | Reception at March 24, 2010 meeting leveraged by URI | 2,212 |
| 2010 | CRC | CIDEA | Juan Ramon travel to Washington DC for Harvest seminar | 859 |
| 2010 | CRC | NOAA | To develop 3 climate change adaptation modules | 20,280 |
| 2010 | CRC | USAID Tanzania | CEEST subcontract to use adaptation to climate change guide in Tanzania | 12,835 |
| 2010 | CRC | UH Sea Grant | UH Sea Grant staff contributing to RMI coastal assessment | 2,002 |
| 2010 | CRC | LOICZ | Stephen participation in Paris meeting | 2,133 |
| 2010 | WIOMSA | SIDA | Dar es Salaam experts meeting, Feb 2010 | 15,200 |
| 2011 | WIOMSA | ReCoMap | updating MPA training manual | 25,000 |
| 2011 | WIOMSA | Sida | Conducting MPA training course | 20,000 |
| 2011 | WIOMSA | ReCoMap | Conducting MPA training course | 55,000 |
| 2011 | CRC | CTI | Climate change cases, courses, and training of trainers | 58,423 |
| 2011 | UH Seagrant | UNDP | development of shore management guide for the Marshall Islands | 6,000 |
| 2011 | CRC | USAID | IMACS Indonesia Project, year 1 climate change funds implemented by CRC | 183,303 |
| 2011 | CRC | IOC and URI | Climate change related fellowship at CRC for three individuals from Ghana, the Gambia, and Mozambique | 20,550 |
| 2011 | WIOMSA | Sida | Level 2 certification event in Kenya | 3,209 |
| 2011 | WIOMSA | WWF S.A. | Level 2 certification event in Kenya | 1,600 |
| 2011 | CRC | UH Seagrant | Salary and funding for climate change fact sheets | 12,000 |
| 2011 | WIOMSA | WWF TZ | Funding for Level 1 WIOCOMPASS certification in Tanzania | 5,000 |
| 2012 | WIOMSA | SIDA | MPA PRO assessor training | 19,091 |
| 2012 | CRC | TNC | Pam Rubinoff to participate in workshop on Natural Coastal Protection, | 1,600 |
|  | CRC | CRC/BALANCED | Elin and Brian's travel to the Philippines | 6,170 |
| 2012 | WIOMSA | EU | Printing of assessors handbook | 2,500 |
| 2012 | CRC | IUCN | travel to Denmark | 1,600 |
| 2012 | WIOMSA | Various | Level 3 assessment event | 4,000 |
| 2012 | WIOMSA | Sida | Learning meeting in Nairobi | 25,773 |
| 2013 | WIOMSA | Sida | Level 1 assessment on Mafia | 12,510 |
| **LEVERAGED FUNDING TOTAL** | | | | **$ 547,757** |