

# Sustainable Coastal Communities and Ecosystems Program (SUCCESS)

**A Component of the Integrated Management of  
Coastal and Freshwater Systems Program  
(IMCAFS)**

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**Year 10 Workplan**

**October 1, 2013 – September 30, 2014**



**USAID**  
FROM THE AMERICAN PEOPLE



**Leader with Associates Cooperative Agreement  
for  
Sustainable Coastal Communities and Ecosystems (SUCCESS)**

**A component of  
The Integrated Management of Coastal and Freshwater Systems (IMCAFS) Program**

**Year 10 Workplan**

**October 1, 2013 – September 30, 2014**

**(Cooperative Agreement Number: EPP-A-00-04-00014-00)**

**A partnership between:**

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University of Rhode Island  
and  
United States Agency for International Development  
Bureau for Economic Growth, Education and Environment  
Office of Water**

**In association with:**

**University of Hawaii Hilo, Pacific Aquaculture and Coastal Resources Center  
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## 1. 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 with core annual funding of \$750,000 and a \$4,035,000 ceiling. In 2009, USAID awarded a five-year extension (2009-2014) to with core annual funding of \$300,000 for the extension period and a revised ceiling of \$5,600,000. This final workplan will highlight a decade of lessons learned and achievements and details the specific Year 10 activities that will synthesize and share these lessons in the hopes of informing future-looking thinking and action by ourselves and others in the broader international coastal/marine development community.

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, it worked with partners—the Pacific Aquaculture and Coastal Resources Center at the University of Hawaii (PACRC/UHH); 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) in Nicaragua; and EcoCostas, a nongovernmental organization (NGO) based in Ecuador—largely through field applications, to make progress in four major areas:

- 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, the focus turned to leadership activities at the global level to:

- Increase capacity for MPA professionals through certification
- Apply a climate lens to coastal policy, management, and practice
- Capture and disseminate 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***

SUCCESS falls under the Congressional biodiversity earmark secondary code—i.e., programs and activities with biodiversity conservation as an explicit, but not primary, objective.

To meet its goal of helping improve both human quality of life and biodiversity through good governance, SUCCESS focuses 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. Just one example is the Program's innovative new model for certifying the competences of MPA professionals. 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 reason 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 believes stakeholders in sustainable use and conservation efforts must realize tangible benefits if these efforts are to be effective and sustainable beyond the life of USAID investments. When poverty is rampant in a community and there are few alternatives for livelihood opportunities, citizens often engage in destructive marine resource extraction activities. Hence, making enterprise development an essential part of conservation activities thus becomes a critical part of the solution. SUCCESS is sharing what it has learned about livelihoods development in natural resources-rich but economically poor coastal communities so others can better marry the goals of human well-being and the well-being of the coastal environment.

### ***Global Climate Change Adaptation and the SUCCESS Program***

For decades, CRC has used 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 those of SUCCESS—can help coastal communities prepare for the changes of today and the future. 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 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 Adapting to Coastal Climate Change: A Guidebook for Development Planners* is helping programmers and practitioners mainstream adaptation strategies into development program designs and government and community coastal development initiatives.

#### **1.1 Overview and Summary of Accomplishments (October 1, 2009 – September 30, 2013)**

Below is a summary of SUCCESS Program accomplishments for the five-year extension and highlights for the current reporting period. Subsequent are sections on progress made on the three key Program elements (MPA PRO, climate change and collaborative learning); contacts with USAID Missions; updates on Associates Awards; and management opportunities. Annex A is a summary of Year 9 results per indicator against Year 9 targets; Annex B provides the status of Year 9 tasks, indicating if completed, delayed or dropped. Some Year 9 tasks are carried over into Year 10 activities described in Section 2.

- Leveraged over US \$650,000 for project activities related to MPA certification, climate change and learning
- Developed 26 tools/guides/curricula, including the *Adapting to Coastal Climate Change Guide* and associated curricula and worksheets, the *MPA PRO Handbook and Assessor Guide*, *Sustainable Fisheries and Responsible Aquaculture: A Guide for USAID Staff and Partners*, and the *Enterprise Strategies for Coastal and Marine Conservation: A Review of Best Practices and Lessons Learned*

- Produced/presented 38 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 23 technical support interventions on climate change adaptation, conservation-based microenterprise development and MPA certification to organizations in Africa, South East Asia and the Pacific
- Trained 42 individuals who are now implementing projects or providing training or technical assistance to others on climate change, conservation-based enterprise development or MPA certification
- Twenty four 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
- Sixty one institutions improved capacity to address climate change as a result of the SUCCESS

## **1.2 Major accomplishments in Year 9 (FY 13)**

- Continued to expand the MPA-PRO certification programs in Western Indian Ocean nations; with practitioners becoming certified at all three levels. Planning began for an MPA-PRO exchange program. Certified five additional MPA PROs at Level 1: Field Operations
- Accepted an invitation to lead the International Union for Conservation of Nature's (IUCN) World Commission on Protected Areas (WCPA) working group on certification as part of a larger strategy on capacity development, enabling MPA-PRO lessons and experience to be mainstreamed globally
- Leveraged over US \$121,223 (of which US \$22,944 is match/cost-share) for international climate change, WIO-COMPASS, and conservation enterprise workshops. Most of the leveraged funding came from other USAID funded projects and organizations (e.g., Engility, WWF Malaysia/CTSP, and the URI-led COMFISH and Pwani Projects)
- Featured WIO-COMPAS in one journal article, an online success story, the WIOMSA annual report and a conference proceeding
- Conducted a rapid assessment of Senegal's MPA human resources management capacity and introduced the MPA PRO model
- Provided support to several USAID country missions in Africa as part of the process of developing lessons for mainstreaming climate change adaptation at the national level
- Co-organized a national level climate change workshop to prepare for Tanzania's National Adaptation Planning (NAP). The workshop had 38 participants —22 were trained for a combined total of 308 hours, and 16 women were trained for a combined total of 224 hours
- Implemented the three-day West Africa Coastal Climate Change NAP workshop in partnership with several USAID units. The workshop had 30 participants (5 women) together representing 11 countries and seven key leaders for climate change adaptation in the region
- As a result of the NAP workshops, 25 Tanzanian government institutions, NGOs and private sector companies—and 11 countries/institutions and seven key leaders for climate change adaptation from West Africa—have improved capacity to address climate change adaptation

- Printed and disseminated two key Marshall Islands products, the first a publication, known as a “cookbook” for conservation planning facilitators and a guide to shoreline protection approaches for landowners. SUCCESS’s work was featured in a Reimaanlok Equator Prize Case Study
- Three organizations have reported using SUCCESS tools: The G-FISH project is using the Fisheries and Aquaculture guide in its on-line training course for USAID staff; and WWF Malaysia and Conservation International Philippines are using the Conservation Enterprise Review and training curriculum
- Engaged a partnership with The Nature Conservancy and the United Nations University to develop a Coasts at Risk report, building on the World at Risk Report
- Finalized and published online *Sustainable Fisheries and Responsible Aquaculture: A Guide for USAID Staff and Partners* and *Enterprise Strategies for Coastal and Marine Conservation: A Summary of Best Practices*
- Strengthened the capacity of conservation organization and local government personnel on conservation enterprise development and fisheries management via training workshops conducted in Malaysia and Indonesia.

### **1.3 Program Description**

SUCCESS promotes coastal governance worldwide through local leadership in ICM in biologically significant areas using innovative approaches in a participatory, issue-driven, results-oriented process to:

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

SUCCESS provides global leadership in key ICM issues of concern:

- Climate change impacts on coastlines and the need for adaptation strategies to address these
- The need for innovative approaches to capacity building
- Failure to share learning on issues essential to achieving sustainable coastal development
- The need to scale-up on-the-ground ICM practice and results especially in the areas of sustainable livelihoods, improved governance, and sustainable fisheries and mariculture

The following sections outline detailed actions that SUCCESS will take to address these issues.

#### ***Promoting coastal adaptations to climate change***

CRC provides governments, businesses and communities with the knowledge and tools to make good decisions about adapting to the impacts of climate change through training, technical support and a decision and learning framework that aids in selecting measures appropriate to specific contexts. In this last five years of SUCCESS, the team has focused on:

- Synthesis and learning—sharing what works and avoiding what does not—through videos, technical briefs, an expanded web site and participation in selected networks of practitioners
- Capacity building—helping leaders and enabling organizations take action—through formalized training curricula and mentoring of field-based practitioners and USAID programmers



- Providing technical assistance—helping organizations and communities apply solutions
- Situation analysis and strategy formulation—institutionalizing climate change—through a mainstreamed approach within USAID-leveraged programs

As outlined in the strategy for Year 9 and 10, this final year focus on completing products and sharing compelling information and messages for decision-makers and the international development community on the critical need to mainstream climate change and integrated coastal management approaches within their development agendas. The Coasts at Risk activity leverages existing information to develop a geospatial comparative analysis of the economic, social and physical conditions and vulnerabilities of coastal areas worldwide to support efforts to enhance coastal resilience. This web-based output, together with a proposed policy brief that builds from last year’s West Africa regional national adaptation workshop, will target high-level policy-makers in the effective incorporation of climate change adaptation into national-level development planning such as the upcoming National Action Plans (NAPs).

### ***Increasing capacity for effective management of MPAs***

CRC and WIOMSA have developed an innovative certification program for MPA professionals working to promote the stewardship of coastal ecosystems. This certification program defines standards as the benchmark against which to assess whether a professional has the education, knowledge, skills and experience needed to effectively staff MPAs. The pilot of this certification program, WIO-COMPAS (<http://www.wio-compas.org>), is the first of its kind. The objectives of these final five years have been to:

- **Certify**—advance a sustainable WIO-COMPAS model program in the Western Indian Ocean region
- **Solidify**—win four additional endorsements by international and/or national institutions and seek integration of competences and certification into MPA employers’ human resources systems
- **Service**—provide post-certification services to MPA PROs through networking, exchanges, knowledge-sharing and continuing education courses
- **Share**—educate and build constituencies for MPA PRO in two additional regions and/or countries

In Year 10, CRC will continue building a critical mass of MPA PROs and assessors (with full funding from SIDA), increase outreach to management agency directors with the goal to integrate WIO-COMPAS into MPA capacity development policies at the national level, and test an exchange program for MPA PROs. Several legacy products and events will inform those in other world regions interested in the experience and promote adoption of a competency based approach to MPA professional development globally.

### ***Collaborative learning***

CRC promotes a learning-based approach that calls for careful examination of the drivers of change in a specific locale and analytical frameworks designed to encourage learning across sites and at a range of spatial scales. While the early years of SUCCESS were directed at codifying the good practices emerging from the practice of integrated approaches to coastal change and to disseminating this information widely, the final five years have focused on assembling and disseminating good practices in:

- Diversified livelihood strategies
- Sustainable small-scale fisheries and low impact aquaculture
- Methods for the analysis of governance responses to coastal ecosystem change

In Year 10, SUCCESS will transition its learning portfolio. Originally this learning agenda focused on developing curricula and guides to capture lessons learned on livelihoods, and fisheries and aquaculture,

and then using these guides in capacity building interventions. In this final year, we will switch that focus to capturing what we have learned across a full decade long suite of SUCCESS activities including climate change and certification and how these are linked in an integrated approach. We will organize a final outreach and lesson learned event and produce several reflection/position statements/products that inform the coastal management community. These are detailed in subsequent sections of this workplan.

#### **1.4 USAID Strategic Goals and Regional Priority Interests**

SUCCESS contributes to USAID strategic goals and priority interests—“Governing Justly and Democratically” (good governance, consensus-building, civil society); “Investing in People” (health and education services, especially for vulnerable populations); and “Promoting Economic Growth and Prosperity” (environment and biodiversity conservation). SUCCESS also places an emphasis on:

**Food security**—by promoting reform in the policy and practice of near-shore fisheries upon which coastal communities in developing countries depend, but which unless better managed are in rapid decline as a food source; and by introducing alternative food sources such as low-impact mariculture

**Prosperity**—by helping identify and share lessons learned about livelihoods strategies to help reduce poverty—by providing food and income—but through an approach that also sustains and promotes the health of the biodiversity-rich resources upon which this food and income depend

**Management and conservation of natural resources**—by promoting—through guidebooks and training on proven best practices— tools and approaches needed to manage coastal resources within the context of such pressures as those resulting from climate change, approaches that marry short-term needs with longer-term vision; and through recognition that human quality of life and environmental health are intertwined, and it is possible to act in ways to sustain both

**Unsound/contradictory/nonexistent policies**—by promoting best practices to support policies that should be in place, whether those are policies and laws focused on a reformed sustainable fisheries and/or policies that recognize and mainstream considerations of the impacts from climate change

**Local capacity development**—by finalizing development of a long-term capacity-building strategy for MPA management that certifies professionals meet established standards of competence in skills needed for effective MPA management—one tool that can contribute to biodiversity conservation

**Inequality by promoting**—in its guidebooks, piloting of new and innovative models for capacity building or its learning approach including the important role of stakeholder involvement, especially of the disenfranchised, including women

**Local and global health crises of HIV/AIDS**—by disseminating what has been learned about alternative income-generating activities that acknowledge victims’ loss of stamina for energy-demanding jobs; this includes research findings that individuals with HIV/AIDS often use marine/coastal resources in destructive ways to reduce the time it takes to secure their food or income

**Biodiversity as linked to the above**—i.e., people who are physically healthy and have sufficient income and food, who have a voice in the governance of their place, and who are supported by wise policies are more likely to protect the marine/coastal resources biodiversity of their place

## 2. Year 10 Activities

### 2.1 Climate Change Adaptation

**Scale of Activities:** Global

**Lead Implementing Organization:** CRC

**Other Partner Organizations:** The Nature Conservancy, United Nations University, Economic Community of West African States (ECOWAS)

**Activity Coordinator:** Pam Rubinoff

#### Background

With the goal for SUCCESS to stimulate global dialogue and lessons learned, we have advanced on two key activities that were mapped out for FY13 and FY 14 efforts. 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 for action in climate change adaptation in coastal areas where major impacts will occur. Without proactive planning and action, severe ecological, economic and social consequences will occur in many coastal developing nations. Looking towards the program's legacy, CRC and SUCCESS see a critical need and a unique opportunity to explicitly speak to higher-level policy makers and decision-makers as they address "Coasts at Risk: Global trends, Coastal Change and Adaptation Needs." Key to this is how nations can effectively mainstream coastal adaptation within their development goals such as fisheries, tourism and poverty reduction through the NAP process, promoted by USAID and the UNFCCC.

#### Year 9 Accomplishments

- In partnership with the *Pwani* Project, SUCCESS hosted the Tanzania Coastal Climate Change National Adaptation Plan Workshop, which included more than 30 participants and accomplished the defined objectives. A background paper and workshop report were published online
- Implemented a three-day West Africa Coastal Climate Change National Adaptation Planning workshop in partnership with USAID (West Africa Mission, Africa Bureau, GCC, and E3 Water team) and the Economic Community for West African States (ECOWAS), attended by 30 participants, representing 11 coastal ECOWAS countries and regional organizations.
- Convened a working group of 20 West Africa government and regional leaders to identify key aspects of country needs related to NAP and opportunities for regional support, where it emerged that ECOWAS and USAID would develop a strategy to address these needs and opportunities.
- Engaged a partnership with The Nature Conservancy and the United Nations University (UNU) to identify indicators and develop Coasts at Risk geospatial analysis of social, economic and environmental data, building on the World at Risk Report, for coastal areas worldwide.
- Printed and disseminated *The Facilitator's Guide for Community-Based Management* for the Republic of the Marshall Islands (RMI). The 250 publications sent to the RMI country partners are used for training local facilitators and regional networks in conservation planning with consideration for climate change
- Printed and disseminated *A Landowner's Guide to Coastal Protection*, in conjunction with the University of Hawai'i Sea Grant extension program, which has been well received by the Parliament, Environmental Protection Agency and stakeholder groups, and is a tool being used to influence decisions by both landowners and decision-makers in RMI and shared with other countries in the near future

**Objective 1: Advance political support and evidence for the emerging global community of practice in coastal climate change adaptation** by synthesizing information through SUCCESS and sharing approaches to planning and implementing of adaptation actions that integrate climate change impacts across a broader development agenda.

**Activity 1: Develop Coasts at Risk: Global Assessment of Climate Change Vulnerability**

The geospatial database and report will graphically show which coastal areas are most vulnerable to climate change and why. This will contribute to a broader effort to make the compelling case for why coastal countries need to be proactive. These areas are often at higher risk from climate change impacts than inland areas, and therefore need to be given heightened attention and action. Otherwise the economic, environmental and social consequences will be severe.

[The World Risk Report](#) (produced by UNU together with partners including TNC) is the foundation for this effort. Additional coastal indicators are being refined to include fisheries, mangroves and coral reef vulnerability, food and nutrition, coastal livelihoods and indices of coastal ecosystems threatened by direct human impacts (e.g., pollution, habitat change and destructive fishing), infrastructures and potential impacts from floods, storm surges and rise in sea level. It will analyze what future risks (both climate and non-climate stressors) mean for risk. And, it will describe opportunities to reduce risk. We will display the results on an interactive mapping site at [www.network.coastalresilience.org](http://www.network.coastalresilience.org)

The effort will include limited peer review and engagement of key partners. For dissemination, the team will hold a session at the United Nations Framework Convention on Climate Change working group held in Bonn, Germany, in June 2014 as well as several of the overarching SUCCESS legacy events. This activity will have the largest investment of staff time and energy in this final year.

**Tasks, Milestones and Schedule**

<i>Tasks and Milestones</i>	<b>Date</b>
Coasts at Risk – DC meeting. Work session for team	Nov 2013
Draft Report	January 2014
Peer Review	March 2014
Finalize report, layout, and post	May 2014
Develop interactive maps	May 2014
Launch event	June 2014

**Output/Products**

- Draft summary of analysis and trends
- Final report
- Interactive online maps
- Launch event

**Activity 2: Develop a policy brief to influence decision makers to support effective mainstreaming of climate change adaptation and national development planning**

In Year 9 the SUCCESS team worked with USAID’s Global Climate Change (GCC) Office, West Africa Mission and the Africa Bureau and the ECOWAS to convene a regional workshop and working group to advance climate change adaptation mainstreaming as part of the process of the NAP process. The United Nations Framework Convention on Climate Change (UNFCCC) Decision on NAPs states that planning should be based on nationally identified priorities and coordinated with national sustainable development objectives, plans, policies and programs. Rather than starting with climate impacts and vulnerability and

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 while taking into account the larger context of other development stressors and gaps in enabling conditions.

The methodology and messages of the workshop were well-received. It provided a foundation of interest, recommendations and needs seen to move NAP ahead effectively and integrate climate change into key coastal themes including fisheries, infrastructure development and shoreline development. In addition to producing proceedings and a summary (of key attributes, benefits and process recommendations) in English and French, there was a desire and intention to continue to engage, motivate and share experience as the region moves ahead with such approaches.

In efforts to support the interest of ECOWAS and USAID to actively advance adaptation mainstreaming at the country level, SUCCESS team will facilitate the development of a policy brief—which can be used by leaders to share with their ministries, parliament and others. This would also help ECOWAS and USAID to continue to engage these leaders, promote dialogue among them as a peer network engaged on NAP approaches. USAID and ECOWAS are identifying other long-term options. The dialogue would occur virtually over SKYPE and by email, so that they can provide input and feedback, and if planned by ECOWAS or USAID, attend a meeting in the region to work with the group.

The policy brief will build upon the workshop summary, which shares NAP attributes and suggestions to advance effective processes and approaches. The brief will outline the rationale for developing a NAP and mainstreaming adaptation within coastal development agendas. Information from West Africa briefing documents developed last year, together with results from Coasts at Risk, will be incorporated to help convince key decision-makers of the urgency of climate change and the need to incorporate NAP into their development agenda. This policy brief can be a tool for leaders to make the case for an **urgency to act**. The brief will be focused, succinct, practical, feasible, use accessible language (in English and French) and action-oriented.

### Tasks, Milestones and Schedule

<i>Tasks and Milestones</i>	<b>Date</b>
Convene participants virtually	November - May
Draft outline	January 2013
Draft brief and distribute for comment	January - May 2014
Finalize brief, layout, distribute	June 2014

### Output/Products:

- Policy Brief available for leaders

### *Objective 2: Identify and empower climate change adaptation champions to take action*

SUCCESS will identify and empower champions of climate change adaptation who can promote the mainstreaming of adaptation measures within national, local and private sector entry points where CRC is working — and will help these champions to articulate and address the role that climate change plays in increased threats to biodiversity, livelihoods and the well-being of coastal communities and ecosystems.

The third in the series of outreach videos, *From Vulnerability Assessment to Adaptation Success*, is in final production. The first two videos on Ghana and Tanzania are visited regularly with over 2,300 viewers. In this video, the SUCCESS team shares 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 there is a strong commitment and take enough time to prepare an adaptation plan that is widely supported by most of the stakeholders. As the final in this series, the story board for the *Landowner’s Guide to Coastal Protection* is in review, visually depicting the practical guidance outlined in the guide developed in RMI with USAID support.

### Tasks, Milestones and Schedule

<i>Tasks and Milestones</i>	<b>Date</b>
Two videos completed and disseminated	February 2014

### Output/Products:

- Video *Vulnerability Assessment to Adaptation Success*
- Video *Landowner’s Guide to Coastal Protection*

### Results Expected for objectives 1-2

<i>Indicator</i>	<i>Year 10 Target</i>	<i>Comments</i>
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	Two videos; Coasts at Risk interactive online map and document;
5. Stories, articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS	1	Policy brief about NAP attributes for leaders
8. Number of institutions with improved capacity to address climate change issues as a result of USG assistance—adaptation capabilities	1	ECOWAS

## 2.2 Capacity Building: Certification for Marine Protected Area Professionals

**Scale of intervention:** Global

**Lead Implementing Organizations:** CRC

**Other Partnering Organizations:** WIOMSA, IUCN WCPA

**Activity Coordinator:** Glenn Ricci

### Background

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 the experience is that if management agencies are to adopt the MPA PRO model, then certification cannot stand on its own. It needs to be integrated into agency human resource and management systems and linked to other aspects of capacity development, including training and other professional development initiatives. That said, while the MPA PRO model is helping promote a paradigm shift in

traditional capacity development strategies for protected area management, and 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/>). 2012 culminated in implementation of all three certification levels and the convening of a meeting to reflect on lessons with a strategy for the next generation. The message coming out of the meeting was 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 for the final year will be to build institutional support for WIO-COMPAS in the Western Indian Ocean (WIO) region and to set the seed globally for this change in approach to capacity development. While this is the final year of SUCCESS funding WIOMSA will continue to receive funding from the Swedish International Development Agency (SIDA) for WIO-COMPAS through 2016. Our goal is to encourage national governments to increase their financial commitments to WIO-COMPAS for the long-term.

**A Key Learning  
from the MPA-PRO Initiative**

...if management agencies are to adopt the MPA PRO model, then certification cannot stand on its own. It needs to be integrated into agency human resource and management systems and linked to other aspects of capacity development, including training and other professional development initiatives.

Of the four MPA PRO objectives, the first three are focused on strengthening WIO-COMPAS while the fourth focuses on sharing the model globally.

- 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**

The aim of WIO-COMPAS was never to certify every MPA staff member in the region because we knew there was a significant capacity gap. Rather it has always been about recognizing the professionals and raising the standards for others to follow. The table below summarizes the number of applicants and final certified MPA PROs to date. Of the 183 applications (impressive for a rigorous voluntary program!) 80 (43 percent) were selected to attend an assessment event where 51 (30 percent) achieved certification. Of the 80 candidates selected to attend Assessment Events, 51 (63 percent) achieved certification with four still pending. Recognizing the effort, cost and reputations associated with certification we allocate significant attention and energy to the application stage. This ensures that candidates have the appropriate background to enable them to score across all competence areas. We are now approaching the stage where most of the leaders at all levels who are proficient across the WIO-COMPAS competence areas have been assessed. This means that most of the remaining 92 percent of staff have not worked long enough to meet the entrance requirements, do not have the broad skills to be a professional, are not interested in applying or simply are not proficient in their job. Our country assessors know of only a few competent individuals who have chosen not to apply. Considering that WIO-COMPAS is a voluntary program that is gaining a strong reputation, there should be opportunities to continue certifying individuals at a steady pace over the coming decade. The focus for WIO-COMPAS can now turn to addressing competency gaps and new methods for building capacity beyond the traditional training course model. What this information reveals is that there is a tremendous need still to improve competencies of the existing MPA staff in the region at all three professional levels.

**Summary of Certification Events and Outcomes (as of October 2013)**

<b>TOTAL MPA PROs</b> (with percentages of overall staff estimated at that level within the region)			
<b>Total Level 1</b> 29 (6.5%)	<b>Total Level 2</b> 17 (12%)	<b>Total Level 3</b> 5 (7%)	<b>Total MPA-Pros</b> 51 (8% of total MPA staffing in WIO region)
<b>Estimated number</b> 440	<b>Estimated number</b> 140	<b>Estimated number</b> 70	<b>Total estimated number across all levels</b> 650

Based on the achievements and recognition of WIO-COMPAS, CRC partnered with IUCN WCPA to share the MPA PRO model globally. Significant progress was made in 2013 when CRC was appointed a leading role in the IUCN WCPA Capacity Building Program that is now developing guidelines for a certification program that will be part of a larger comprehensive capacity development system, much like the WIO-COMPAS program is modeling. CRC will focus our global outreach effort and legacy on the IUCN program that will culminate at the IUCN World Parks Congress in 2014.

**Year 10 Accomplishments**

- Delivered the fifth Level 1: Field Ranger Certification Assessment Event in March 2013 in Madagascar. Out of nine professionals who applied, eight were accepted, six were enrolled and three earned certification. Two are now in “pending” status. One candidate failed and must reapply in two years. This Assessment Event was the second that Madagascar hosted
- Accepted an invitation from IUCN to Glenn Ricci, as the SUCCESS CRC lead for the MPA PRO initiative, to lead the IUCN WCPA working group on certification as part of a larger strategy on capacity development
- Conducted a rapid assessment of Senegal’s MPA human resources management capacity and introduced the MPA PRO model
- Produced and disseminated posters to be displayed at all MPAs in the WIO region
- Drafted with in-country partners two journal articles focused on MPA directors and the certification community
- Produced an article for the WIOMSA Annual Report that highlighted WIO-COMPAS achievements

***Year 10 Task Objectives***

***Objective 1: Certify to build a critical mass in WIO Region***

With all three levels of certification being conducted and the assessment tools refined, we are focusing on building a critical mass of certified MPA PROs in the WIO region. Our existing 51 MPA PROs are excellent ambassadors to the program, motivate their peers to apply and influence management agency policies. To sustain WIO-COMPAS beyond the life of SUCCESS, however, we must have a significant number and quality of MPA PROs in each WIO country to advocate for the certification model. As the number of MPAs in each country increase, this also expands the pool of possible national assessors in each country, and increases overall opportunities for continued testing and experience in using the



assessment tools developed to date. SIDA has committed funding to conduct two certification offerings each year for five years through 2016. As well, there is a good track record of local partners contributing funds, which helps in keeping down costs. SUCCESS will only be providing a small contribution to staffing time for WIOMSA Secretariat to process the certification application reviews.

**Tasks, Milestones and Schedule**

<i>Tasks and Milestones</i>	<i>Date</i>
Conduct two Certification Offerings (majority of funding from SIDA and local counterparts, with SUCCESS providing minor leverage)	January - August 2014

**Outputs**

- Case studies by candidates and assessment scoring results

**Objective 2: Service MPA PROs post certification**

Post-certification services are an important aspect of the MPA PRO model and a program element that now needs to be strengthened. With over 51 MPA PROs, we have many who are nearing their five year certification renewal period. The goal of any services we provide post-original certification is to improve the networking and sharing of knowledge between MPA PROs within the region. Two years ago we surveyed MPA PROs for their ideas on what services/support needs they saw as a priority. Repeatedly we heard they are interested in exchange programs between sites/MPA PROs and in continuing education course offerings. Based on our assessment conducted in 2013 on the why and how to run an exchange program, we will be piloting up to three exchanges. If it is successful, we hope in the coming years that Sida and the national governments could provide continuing support.

To promote our MPA PROs, we will continue to populate our website with feature profiles of our MPA PROs and with the case studies they produced during their assessment process. We will also continue to conduct our one year post-certification evaluations with the MPA PROs.

**Tasks, Milestones and Schedule**

<i>Tasks and Milestones</i>	<i>Date</i>
Conduct 1-2 exchanges of MPA PROs	December 2013– August 2014
Continue posting MPA PRO profiles and case studies on program website	Ongoing
Evaluate MPA PROs for impact of the program	August 2014

**Outputs/Products**

- Report on the outcomes and impacts of the exchange program trials
- Updated WIO-COMPAS website with new materials, MPA PRO profiles and case studies
- Summary report on the post-certification evaluations by MPA PROs

**Objective 3: Solidify WIO-COMPAS**

To ensure the long-term sustainability of WIO-COMPAS, management agencies need to mainstream all or some of the elements of WIO-COMPAS into their policies and budgets. Partners at the September 2012 WIO-COMPAS Learning Meeting agreed to focus on this objective over the next few years. Our strategy is to use our MPA PROs as the main entrance to senior management agency officials. We will produce materials that MPA PROs can use as they educate and market the program to their institutional

decision-makers.

WIO-COMPAS is a voluntary program with no government officially endorsing or institutionalizing formally into their human resources (HR) policies. We would like to work directly with the Kenya Wildlife Service (KWS) HR Director on finding opportunities to formally get endorsed and incorporated into some of their policies related to hiring, performance review and capacity development (training budget). Arthur Tuda, the KWS Coastal Region Director and MPA PRO/Assessor, has agreed that a workshop/meetings with the KWS HR office would be helpful. We are also close to certifying all of the MPA Site-Managers in the KWS system, which would be a nice platform for others to evaluate the impact of the program over the long-term. Due to our limited resources, we will work only with Kenya. However, their leadership often establishes precedent for other countries in the WIO region.

The WIO-COMPAS website is a main resource for MPA professionals and others to learn about the program. The website will be updated to make minor bug fixes and apply security updates.

### **Tasks, Milestones and Schedule**

<i>Tasks and Milestones</i>	<i>Date</i>
Conduct meeting with KWS to outline how they can adapt their HR policies and programs to be aligned with WIO-COMPAS	December 2012- August 2013
WIO-COMPAS website security updates	July 2014

### **Outputs/Products**

- Meeting summary on opportunities and next steps for aligning KWS and WIO-COMPAS
- Updated WIO-COMPAS website with security patches

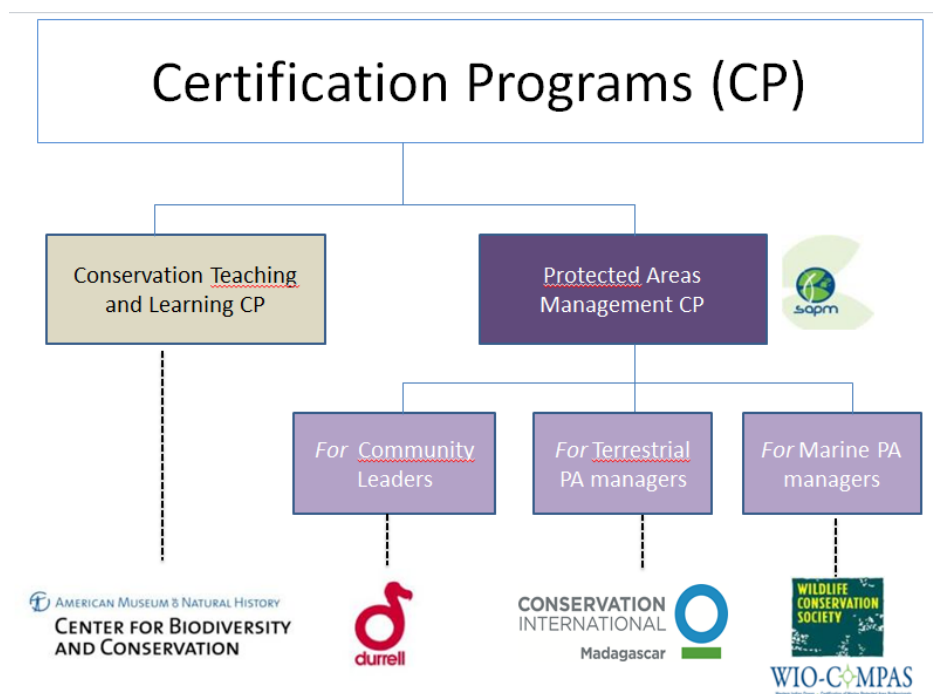
### ***Objective 4: Share the model globally***

MPA PRO has made significant progress last year in promoting the model globally. In addition to presenting the WIO-COMPAS model in Indonesia and Senegal, CRC has continued its partnership with IUCN WCPA to promote a comprehensive capacity development system which includes competencies and certification. We are now at the stage where our message is not only about MPAs but also about capacity development for all programs where staff development is crucial to successful environmental management and community development.

The concept of certification and competency-based assessments for MPA professionals is starting to take hold at the country level and for protected areas in general. This includes the initiatives occurring in Madagascar (see text box below) as well as the USAID/Indonesia Marine Protected Area Governance (MPAG) initiative to develop an MPA competency-based certification program as part of civil service technical position designations and associated requirements. These and other such initiatives make it quite timely for SUCCESS to be sharing its MPA-PRO and WIO-COMPAS models and its experience in honing a competency-based certification program to fit the needs of a place.

## Expansion of the Certification Concept in Madagascar

Our partners in Madagascar have been working with the government to establish a certification program for terrestrial protected area professionals. The image below highlights how they see several programs (training and assessment) linking to provide capacity development across terrestrial and marine sites.



This final year of SUCCESS will support CRC to continue its leading role in shaping IUCN's capacity development program, which includes competences, online training courses, mentoring and certification. CRC is leading the certification element. All of this will be captured in the forthcoming IUCN Protected Areas Management Book (the bible for this field). As part of this effort, CRC will attend the International MPA Conference to lead a workshop on the guidelines for a certification program and to identify a potential pilot country for IUCN to test the Certification Program.

To complement our work with IUCN, CRC will also convene donors and conservation specialists in the Washington, DC, region to discuss the paradigm shift we are proposing. CRC will partner with the American Museum of Natural History, the Wildlife Conservation Society, IUCN and Conservation International to attract an audience focused on capacity development strategies for the conservation field. This is a unique skill set yet is found in most development projects. The goal is to encourage a systems approach to capacity development and to raise the standards from isolated trainings and study tours which are often poorly integrated with the receiving organizations and HR programs. This would likely be a one day event in DC to hear from a variety of perspectives, identify recommendations to guide donors and development proposals and expand the network of colleagues focused on capacity development.

Lastly, we will finalize two informative documents. One is a reflections and "how to" piece that documents the history of the MPA PRO/WIO-COMPAS model along a seven year continuum—from

concept to pilot to refinements to finalization of a full-fledged, ready-to-go program that can be adapted to the needs of a specific place, group, or agency while staying true to the rigor and foundation of the basic model itself. An second internal document that looks at the value of the program from the standpoint of serving as a model of “Recognition for Prior Learning”,( i.e. a model which recognizes and gives value to experiential and work-based learning and competence) will be tailored to submission to a peer reviewed journal. Both of these documents will also be developed into a short policy brief.

### Tasks, Milestones and Schedule

<i>Tasks and Milestones</i>	<i>Date</i>
Summary document of MPA-PRO experience and lessons learned	October 2013
Policy brief of certification and competency based approach to building the capacity of MPA professionals	May 2014
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 2014
Develop global certification guidelines through IUCN WCPA (SUCCESS funds CRC staff time and partial travel)	September 2014
DC Learning Event on Capacity Development Innovations for the Conservation Community	June 2014

### Outputs/Products

- Summary document of MPA-PRO experience and lessons learned
- Policy briefs (2) on the certification and competency-based approach to building the capacity of MPA professionals
- Newsletter articles and blogs on MPA PRO and WIO-COMPAS progress in certifying professionals
- Draft IUCN WCPA Certification Guidelines

### Results Expected for objectives 1-4

<i>Indicator</i>	<i>Year 9 Target</i>	<i>Comments</i>
1. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance—men.	196	Seven men certified in two events. Each certification is four days, seven hours per day.
2. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-women	84	Three women certified in two events. Each certification event is four days, seven hours per day.
4. Tools, protocols, procedures, systems, methodologies, guides, curricula, or indices developed or adapted for country and/or thematic contexts	1	IUCN Certification Guide

5. Stories, articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS	2	Summary of MPA-PRO experience and lessons, policy brief
6. Number of technical support interventions provided by SUCCESS to other partners and programs on toolkits and guidebooks developed by SUCCESS	1	Technical assistance to IUCN (continued from FY13)

### 2.3 Collaborative Learning

**Scale of intervention:** Global

**Lead Implementing Organizations:** CRC

**Other Partnering Organizations:**

**Activity Coordinator:** Elin Torell and Carol McCarthy

### Background

#### *Learning on Livelihoods, Fisheries, and Coastal Governance*

A primary premise of the on-the-ground activities implemented by SUCCESS was that tangible benefits to quality-of-life through a livelihoods approach are a necessary (but not alone sufficient) condition to sustained success of ICM programs. Unfortunately, there is a growing body of anecdotal evidence suggesting that many livelihood activities are neither increasing household income in coastal communities, nor reducing pressure on coastal and marine resources. For this reason, SUCCESS selected livelihoods as the theme for a cross-portfolio global learning agenda. Since the SUCCESS field sites in Tanzania, Nicaragua, Ecuador and Thailand had significant livelihood components, they provided living laboratories for the learning agenda, and local partners involved in their implementation are clients for the learning outputs. Based on the first five years of SUCCESS experience, the learning team developed a document entitled, *Enterprise Strategies for Coastal and Marine Conservation: A Review of Best Practices and Lessons Learned*. The document was accompanied by a shorter summary document and a two-day training curriculum. The documents and training curriculum aim to assist coastal practitioners and local government officials interested in developing conservation enterprises as a component of broader coastal and fisheries management strategies. The training curriculum has been used at several international training workshops in the U.S. and South East Asia. The summary of the lessons and tools and associated training materials were also translated into Indonesian for one training workshop implemented through the USAID/Indonesia IMACS Project.

Another learning activity was developing the publication, *Sustainable Fisheries and Responsible Aquaculture: A Guide for USAID Staff and Partners*. This guide was designed to encourage USAID Missions to invest in these sectors as they can contribute significantly to USAID’s objectives for food security and economic growth, and there is an emerging body of tools and approaches that can work in small-scale developing country contexts to achieve sustainable fisheries. The guide provided a basis for an online fisheries course designed for USAID staff (by the G-Fish Project) and has been used at several international training courses, including the URI Fisheries Institute and the G-FISH training course for USAID staff.

Another learning topic has been coastal ecosystem governance. Over the last nine years, SUCCESS has developed simple guidelines and methodologies for assessing governance responses to ecosystem change. The goal has been to disseminate, apply and refine the methods developed at CRC for assessing the

sequence of outcomes that mark an advance to more sustainable forms of development and to analyze the governance dimensions of ecosystem change. These learning activities were spearheaded by the former CRC Director, Stephen Olsen, who is still providing technical assistance on this topic to the Integrated Coastal and Fisheries Governance Initiative in Ghana.

### ***Communicating the Legacy of SUCCESS***

As SUCCESS draws to a close, communicating its achievements, challenges, lessons learned and future guidance emerges as the significant focus in this 10th and final year. To ensure lasting impact, SUCCESS must leave a legacy of clear communications through a variety of platforms and methods to reach diverse audiences—some of whom ultimately will be responsible for sustaining Program achievements.

Additionally, in Year 10, SUCCESS will continue to demonstrate and communicate the effectiveness of adopting ICM, which, while challenging to implement, can bring real change and sustainable results. In addition, climate change considerations, lessons learned and activities must become cross-cutting throughout any ICM program. SUCCESS also will continue to show that tapping into the knowledge, skills, history and experience of local communities is vital to building capacity for long-term sustainability. SUCCESS's final year will continue to illustrate positive outcomes gained through cooperative agreements, such as those created through the Leader with Associates framework. Such agreements allow for flexibility and adaptation to changing circumstances and new findings, foster collaboration and result in greater value added.

However, it is of great concern that USAID has no overarching coastal/marine strategy, and will unlikely continue to support any global marine and coastal program, particularly as the post-2015 United Nations Development Agenda places high priority on marine/coastal environment and climate change issues for the development community. The World Bank is also supporting the Global Partnership for the Oceans, where the core strategy recommendations of this group on sustainable fisheries, marine habitat protection and pollution abatement will likely guide its future investment portfolio of hundreds of millions of dollars to address these issues. The GEF International Waters Program is projecting investments of several billion dollars in the governance of Large Marine Ecosystems around the world. USAID has long invested in its valuable commitment to marine/coastal issues, and this investment has reaped real returns for stakeholders. At this time of accelerating change in marine and coastal environments, USAID should not back away from its commitment but should embrace its role as a leader in the field. What follows is an accounting of the progress made in the ninth year of SUCCESS and plans for communicating key messages to the appropriate audiences in the final year.

### **Year 9 Accomplishments**

- Published online *Enterprise Strategies for Coastal and Marine Conservation: A Review of Best Practices and Lessons Learned* as well as a shorter summary document on the same topic.
- Published online *Sustainable Fisheries and Responsible Aquaculture: A Guide for USAID Staff and Partners*
- Conducted a four-day workshop on coastal conservation enterprise development and fisheries, held in Kota Kinabalu, Malaysia April 11-14, 2013 (with partial CTI support)
- Conducted a two-day workshop on coastal conservation enterprise development in Indonesia in September 2013. The training was attended by 10 men and 12 women (funded by USAID/Indonesia IMACS Project).
- Used the *Fisheries and Aquaculture Guide* as a core document during a G-FISH training course for USAID staff as well as for the Fisheries Institute organized for a delegation of Indonesians

sponsored by the IMACS project.

- Used the *Fisheries and Aquaculture Guide* as a basis for an online fisheries management course for USAID staff developed by the G-Fish Project.
- Held a short SUCCESS team workshop to plan for year 10 legacy, reflection and learning.

## **Year 10 Task Objectives**

In Year 10, SUCCESS will shift its focus from developing and implementing applied research, guides and training curricula related to enterprise development, fisheries and coastal ecosystem governance, to synthesizing and communicating our experience, legacy and learning.

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

SUCCESS will not implement any direct activities related to conservation enterprise development and fisheries management in Year 10. However, the SUCCESS team will provide technical assistance on these topics to other projects. Illustrative activities will include:

- Conduct an one-day seminar on conservation enterprise development as an alternative or supplement for community based fisheries (funded by the Rockefeller Foundation)
- Analyze data from a survey of entrepreneurs and savings and credit association members supported by the Pwani Project in Tanzania. The survey, conducted in July 2013, follows up on a similar survey conducted by SUCCESS in 2007. Some of the survey respondents are entrepreneurs that were supported by SUCCESS in its first phase
- Use the fisheries guide and conservation enterprise review in CRC-led training courses

### ***Objective 2: Implementation of Year 10 Legacy, Reflection and Learning***

In the final year, the SUCCESS will organize a number of events and legacy documents that emphasize the following priority messages:

**Embrace, continue ICM approach:** An integrated approach to coastal management remains a highly valuable route to sustainability—creating lasting change that can be maintained by and replicated in affected communities long after a project ends. Single sector efforts fall short in addressing the myriad, interconnected issues in people’s real lives; while integrated efforts such as ICM, which marry linked issues such as food security and livelihoods (fisheries) along with issues of climate change impacts, gender equity, good governance, etc. are more effective

**Climate Change Adaptation /Urgency to act:** Climate change is here and already impacting biodiversity, fisheries, livelihoods and population/health—this, at a time of rapid population growth in vulnerable coastal communities. While adaptation or mitigation can be costly, waiting to take action could be even more so. This calls for a “no-regrets” approach and applying a climate change lens when developing coastal policy, and engaging in coastal management and practice. The time to weave climate change into coastal management programs and national development plans is *now*.

**Sustain fisheries for health and livelihoods:** Tens of millions of people in coastal developing countries rely on fish as their main food/protein source. While solutions to overfishing/stock collapse of small-scale fisheries are starting to emerge, the linchpin to success lies in managed access through such mechanisms as co-management plans, use rights for artisanal fishermen/ women, and fishery closure periods. A system of managed access then creates the opportunity for other livelihood options to gain a

foothold—reducing the pressure on the stocks, still leaving individuals with a way to make a living, and helping the stocks recoup to ensure the food supply

**Capacity building from within:** An enduring lesson from the MPA PRO/WIO-COMPAS experience is that capacity building must become institutionalized and funded within an organization for it to be sustained and truly build professional competences. To achieve this requires building the program from both the top-down and the bottom-up, so all the players see the need for and value in certification as a path to strengthening the protected area profession overall.

**Sustainability and replication:** For gains to be both sustainable and replicable at the most local level there must be strong political will and policy support at higher levels of the governance system of a particular place. This “two-track” approach, a proven success for CRC’s USAID programs, requires that you engage and learn from the people of the place; that you build the capacity of the people of the place vs. providing technical assistance that does it “for” them; and that you design and implement work that takes an integrated approach, mirroring the interrelated issues of people’s everyday lives.

### ***Key Audiences***

**Funders and decision-makers:** USAID (Washington office country missions, regional bureaus), State Department, other bi-lateral, multi-lateral donors (current and potential), Congress, Capitol Hill staffers, journalists, lobbyists, international NGOs

**People in nations where we work:** Local and national governments, civil society organizations, members of the public/directly affected stakeholders, country missions

**Program partners/peers:** Local in-country governments, local NGOs, public/directly affected stakeholders, country missions, other universities, development consultants and USAID project implementers

### ***Rationale of SUCCESS Legacy Communications***

- Increase legacy audiences’ awareness of the long history and suite of USAID investments in coastal/marine programs, including SUCCESS
- Chart the way forward on international coastal/marine issues and articulate USAID’s competitive advantage and what they can contribute to the global dialogue
- Share knowledge on what has been learned—successes, challenges, failures and how to adapt/solve issues as they emerge
- Stress the necessity for and effectiveness of integration, collaboration and knowledge sharing—“the whole is greater than the sum of the parts” and “all of us together are more knowledgeable than any one of us alone”

### **Products and Outputs**

Planning for well executed legacy events and products is underway. A significant focus of Year 10 will be a capstone event (tentatively scheduled for the week of June 9, 2014, in Washington, DC) in concert with smaller, theme-specific presentations. Leading up to this final event, SUCCESS will continue producing documents and articles, and leading workshops, presentations and related activities for stakeholders and peers. Key events and products include:

- A capstone event to be held in Washington, D.C., in June 2014 to coincide with Capitol Hill Ocean Week (CHOW) sponsored by National Marine Sanctuary Foundation. Invitees will include USAID, partner organizations, government officials, private donors and national policy



decision-makers and stakeholders such as the DC Marine Community (an informal and non-partisan network supported by the IUCN)

- Concurrent with this event, SUCCESS will offer thematic brown bags for smaller audiences with interest in specific areas such as fisheries, livelihoods, Coasts at Risk/climate change adaptation and capacity building
- Video tele-conferencing of selected events will be offered to reach wider audiences beyond those who can attend
- Lessons learned documents (including full reports, more concise summations of project activities/approaches) will be finalized and published electronically on relevant organization websites, with links through social media.
- Development of multi-media products to engage future generation of leaders—to include a short video that encapsulates key messages and legacies of the SUCCESS program and the USAID investment in coastal/marine writ large
- Sharing of specific activity-related success stories: two-page handouts for events; submission of stories for possible inclusion in USAID and development community publications

### SUCCESS Legacy Communications Matrix

<i>Event/product</i>	<i>Outcome</i>	<i>Comments</i>
Capstone event in Washington, D.C., June 2014, with concurrent thematic brown bags, VTC, handouts	Raise profile of SUCCESS achievements	Include people from nations where SUCCESS team worked who can tell own stories:
Develop/share lessons learned documents on project activities	Knowledge sharing of successes/failures, solutions	Use multiple formats: report, event handouts, ‘scorecards’
Help promote the use of NAP in Africa, in collaboration with ECOWAS through policy brief development and dissemination	Support decision-maker network for nations to continue, expand SUCCESS gains	Dependent on USAID and ECOWAS follow-up in West Africa
Multimedia tools to engage future generation of stakeholders and leaders (video, app)	Get messages of integration, urgency to sustainability to younger audience	Budget dependent
Produce handouts (two-page summaries of approach, success stories, good practices) for distribution at capstone, thematic workshops (World Parks Congress) and through email	Give stakeholders, potential donors/stakeholders material to refer to	Determine target platforms/events/ audiences, as budget allows

### Expected Results

<i>Indicator</i>	<i>Year 9 Target</i>	<i>Comments</i>
5. Stories, articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS	3	Lessons learned summaries for capstone event

### 3. Associate Awards, Leveraged and Complementary Activities

#### 3.1 Associate Awards

The SUCCESS Leader Award has generated four field level Associate Awards to date (Thailand, Ghana, West Africa, Senegal) for a total estimated funding of over US \$25m. While the work implemented through these awards responds to the programmatic priorities of the funding Mission and the coastal issues of the country/place, it 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. Details of the three ongoing Associate Awards (Thailand has been completed) by project country follow.

Associate Award	Total Estimated Amount	Total Obligations to Date (as of 6/30/13)	Incremental Obligations Received FY13	Incremental Obligations Received between 4/1/13-6/30/13
USAID Ghana “Integrated Coastal and Fisheries Governance/ICFG – <i>Hen Mpoano</i> ”	US \$10,000,000	US \$10,000,000	US \$1,574,734	US \$0.00
USAID Senegal COMFISH	US \$11,499,709	US \$5,951,000	US \$700,000	US \$700,000
USAID West Africa <i>Ba Nafaa</i>	US \$ 3,414,566	US \$3,414,566	US \$0.00	US \$ 0.00

#### **The Integrated Coastal and Fisheries Governance Initiative in Ghana (Associate Award: \$10 million; September 15, 2009-January 13, 2014)**

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 the Year 4 (2013) reporting period the ICFG (*Hen Mpoano*) Initiative continued to make significant progress towards attaining the objectives set out in the initial project design, both in terms of designing fresh approaches to governance within the coast of Western Region and in fisheries governance using 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. This includes DFID, which is preparing to create the Coastal Foundation to fund activities of a community platform that addresses oil and gas development issues; the World Bank, which is now implementing the West Africa Regional Fisheries Project; and 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. Discussions continue on creating a Western Region Development Corridor that

could also be a possible future institutional home for the ICFG Advisory Council that now oversees project activities. The project was also given a four month no-cost extension to complete several activities including project documentation and outreach on key policy proposals.

During the reporting period, a workshop was held with staff and partners to reflect on the experience and lessons learned from the four-year effort. These ideas are being incorporated into a capstone document *Building Capacity for Adapting to a Rapidly Changing Coastal Zone* which neared the first draft stage. In addition, Hen Mpoano was formed and registered as a Ghanaian NGO in order to provide an organizational framework for continuing on the technical and extension work of the ICFG initiative. Organizational strengthening activities were carried out for Friends of the Nation and Hen Mpoano with the assistance of a Ghanaian organizational development specialist.

### ***Marine and Coastal Governance***

During the reporting period, 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. A revised proposal for area wide coastal planning and decision-making utilizing the joint development planning area mechanism was drafted, and support for the initiative is coming from leaders in all six coastal districts. A final round table is in the planning stage for December, 2013.

### ***Fisheries Governance***

The ICFG Initiative built upon its very successful second national dialogue on co-management in fisheries by carrying out the third and final Fisheries Dialogue. Held in the fishing port of Elmina, it attracted a wide range of stakeholders including the new Minister of Fisheries, and was inaugurated by the director of USAID/Ghana. The dialogue revealed that legal reforms are essential if the widely discussed desire for co-management of key near-shore fisheries is to be realized. A new policy brief and proceedings of this event, along with several other fisheries related publications were completed with the assistance of partners WorldFish and Friends of the Nation. Follow-up includes holding a retreat on fisheries co-management with members of Parliament.

The efforts of the *Hen Mpoano* program in compliance and enforcement continue to bear 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* expects the World Bank representatives and Fisheries Commission involved in the West Africa Regional Fisheries Program to 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. Demand for the training was so great that another event was programmed for the period of the no-cost extension.

### ***Focal Area Actions***

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

In this reporting quarter, communication with national agencies in the form of substantive inputs into National Development Planning Council priorities and guidance for upcoming Mid-Term Development Plans led to the adoption and mainstreaming of coastal management, climate change adaptation and hazard mitigation requirements for all coastal districts.

### *Shama District*

The Shama District is an early adopter of integrated coastal zone management. This quarter, ICM issues were incorporated and adopted in the structure plan (comprehensive plan) for a large section of its coastal area and steps were taken to adopt bylaws on shoreline development, flood plain management and conservation of critically important wetlands. Practical actions aimed at the Anlo Beach fish landing area included planning for a local market in a safe location away from coastal hazards. Equipment and training was successfully completed for women involved in fish processing but who are interested in gaining seamstress and hairdressing skills to shift the focus of their livelihoods. Partner Friends of the Nation initiated work on a two-year grant from the French GEF (Global Environment Facility) to work in the community and the surrounding Pra River wetlands on improving fish processing and smoking technology and managing local fisheries resources.

### *Cape Three Points*

Coastal community vulnerability assessments and adaptation plans were undertaken in two fish landing sites previously identified in a District-wide assessment of adaptive capacity. Akwidaa is a highly exposed and vulnerable community that has many needs for improving community resilience, including resettlement of part of the population. Dixcove has an active waterfront with an eroding shoreline and flooding. Progress was made in strengthening the institutional basis for local management of four critical wetlands areas and marine habitats and community-based conservation programs for the forest areas of the “green belt.” Follow-up contacts were maintained after the district forum on shore issues in support of the District Assembly’s Marine and Coastal Management Committee by the District Assembly that helps provide input into their newest Mid-Term Development Plan. Drafts of hazard and climate change adaptation plans were completed for the fishing communities of Akwidaa and Dixcove.

### *Greater Amanzule Wetlands*

The Amanzule wetlands landscape has been zoned for conservation purposes and this status has the endorsement of the traditional authorities. The Amanzule Working Group had several consultative meetings and studies, which culminated in the decision to merge the Community Resources Management Area (CREMA) and Project Management Committee (PMC) models for the management of the Amanzule wetlands and other resources in the Ellembelle and Jomoro Districts. The result after the merger is the Greater Amanzule Conservation Area (GACA) and Greater Amanzule Community Committees (ACC). A team of GIS experts from the University of Rhode Island Environmental Data Center completed a new, high-resolution satellite-based map of land cover in the ecosystem. The new map includes a statistical comparison to a similar study using data from 10 years earlier to detect environmental change. The U.S. Forest Service initiated its three-year, three-million dollar program to **follow up on opportunities for sustainable landscapes and wetlands management in all six coastal districts** in the Western Region, including the Amanzule.

### **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 (DPM), to implement the National Fisheries Sectoral Policy Letter (LPS) that gives policy guidance for achieving sustainable management of marine resources. The primary strategy in support of the LPS is to develop plans for the participatory and

ecosystem-based management of targeted priority stocks using the Local Artisanal Fishing Councils (CLPA) as the entry point at the institutional level. This is designed to increase food security and strengthen the resilience of marine and coastal ecosystems and communities to climate change by improving livelihoods and sustainability of marine fisheries.

The USAID/COMFISH project uses Local Conventions as the legal instrument for negotiating management rules in local communities and formalizing inter-CLPA relations to develop and implement fish stock management plans. Highlights of project assistance as of the third quarter of Fiscal Year 13 follow.

### ***Institutional capacity building***

During the current reporting period, the project organized several events with respect to policy dialogue and reform:

- Supporting the formal appointment of a national Technical Committee within DPM to lead deliberations on managing fishing capacity (overfishing) and Illegal, Unreported and Unregulated (IUU) fishing
- Holding working sessions with the authorities for exchange and policy dialogue on landings from the sub-region (outside of Senegalese Exclusive Economic Zone (EEZ))
- Re-opening discussions on improving the presence of women in fisheries governance

The project also provided training to five research bodies, training institutes and government departments along with over 19 local beneficiary organizations (CLPAs, CLPs, and Economic Interest Groups or EIGs) in the project area. Leadership training workshops also benefited 15 women leaders from 11 community-based organizations. These women leaders will replicate what they learned with their members of their community-based organizations through focus group discussions that they have regularly at the “tea-time chats” in the “mbars” (Fishers’ rest areas on the landing site). In doing so, they will enable the project to reach a considerable number of women from artisanal processing sites in Senegal.

### ***Sustainable marine resource use, increased resilience, and conservation of biodiversity***

To continue implementing the Local Conventions of the Mbour, Joal/Fadiouth and Sindia CLPAs, the project convened 33 meetings on the premises of fisheries stakeholders to educate 654 individuals. It also organized 39 radio programs in three community radios along the coastal area in the hope of educating a wider group on these local conventions. In addition, members were elected for four technical committees set up by the Project to implement the local conventions for Mbour, Joal/Fadiouth and Sindia CLPAs. These were the Committee for Surveillance and Safety at Sea (the Joint Surveillance Brigade), the Outreach, Information, Education and Communication Committee, the Conflict Resolution and External Relations Committee and the Scientific and Management of Fishery Resources, Environment and Participatory Research Committee. In Joal/Fadiouth, these four committees had a total number of 108 members representing all the CLPAs, while in Mbour and Sindia had 73 and 383 members; respectively. All these members will be trained to implement and monitor the Local Conventions.

The project continued the process to establish new Local Conventions (CL) in the CLPAs of Yenne/Dialaw, Rufisque/Bargy and Cayar. The CL provides the legal basis for negotiating management rules in local communities and to formalize relations between CLPAs on the way they should engage with one another to develop and implement stock-based management plans. In Cayar, Rufisque/Bargy and Yenne/Dialaw an assessment of the stakeholders, their equipment and capacity to manage fisheries resources was completed. To understand the management initiatives in place and to make proposals for new management measures, the Project team held 60 focus group meetings with a total of 933

participants in the three CLPAs with different categories of actors. In addition to working on CLs, the project made progress in the development of a sardinella management plan. A first meeting of the sardinella Technical Task Force took place on May 17, 2013, at the DPM to validate a synthesis report produced by USAID/COMFISH on the status of the sardinella fishery. A second meeting took place in Mbour on June 20, 2013, to review the synthesis report and define future activities.

To develop the sardinella management plan, the Project organized 16 stakeholder information and awareness events for 618 beneficiaries in various CLPAs. The objectives of these meetings were to inform and educate stakeholders on how management plans are developed and to obtain their views for identifying the problems and solutions for a sustainable catch of sardinella stocks. In this quarter, the project finalized most of the scientific analyses and syntheses that have been under way since last year for the purpose of improved fisheries management decision making. These include the CRODT reports on assessing landings from the Senegalese boats fishing in the sub-region; population dynamics of Sardinella; and, IUU fishing. With regards to biological data, the Project applied a modified ELEFAN stock assessment software (produced by USAID/COMFISH in partnership with the Sea Around Us center at the University of British Columbia) to analyze biological data sets collected for USAID/COMFISH by the IUPA and IRD/IFAN on flat and round sardinella, bonga, thiof, shrimp and octopus. Individuals trained in ELEFAN represented 11 national and regional fisheries institutions. Finally, together with the Ecological Monitoring Center (CSE), the Project mapped out cymbium, octopus, grouper and sardinella stock dynamics, based on data collected in the field

#### ***Climate change vulnerability assessment and adaptation***

Meetings were organized with the Department of Environment (DEEC) on climate change, a national Steering Committee for fisheries and climate change was established on May 14, 2013. The Project is also supporting a GIS study of coastline and land use dynamics based on satellite images taken in 1954, 1978, 1989 and 2012. Also, in the Project sites, discussions on climate change impacts and adaptation options were conducted. Three workshops were held in Joal, Ngaparou and Rufisque to share the preliminary findings of studies on coastal community vulnerability to climate change. At these workshops, 132 people, including 36 women, were trained on the impacts of climate change on coastal communities. The Project trained 835 stakeholders on climate change out of an FY13 target of 950 individuals. The findings on the vulnerability assessment of the targeted sites were disseminated, and draft adaptation plans for each study site have been prepared.

#### ***Socio-economic benefits to fishing communities***

With respect to the Intermediate Result “improve social and economic benefits for fishing communities,” the construction of a modern fish-processing facility in Cayar continued, as well as functional literacy training to the women’s processing group and training workshops on the Code of Conduct for operations of the processing facility. Construction of the processing facility is almost complete. The Project also completed the implementation of improved fish storage conditions, strengthened women processors hygiene committee, hosted a delegation from USAID/YAJEENDE and began discussions on setting up a revolving micro-finance committee.. Lastly, the Project purchased computer equipment and furniture for the modern processing facility and in Dakar organized a “coffee chat” on the role of women in fisheries to call the attention of authorities to the importance of taking a gender-balanced approach in the fisheries decision-making process.

**Gambia-Senegal Sustainable Fisheries Project**  
**(Associate Award: \$3.4 million; May 1, 2009 – April 30, 2014)**

This project, locally known as USAID/BaNafaa, has developed and promoted 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 plans' biological, economic, social and ecological objectives including implementation of a WASH component at six fisheries landing/oyster harvesting sites. In FY 14, field activities carried out under the WWF sub-award, as well as activities conducted by NASCOM and TRY under their seed grants, will cease at the end of December 2013. The January–April 2014 period will focus on completing WASH and shellfish sanitation planning activities, finalizing technical, financial and program reports and project closeout. As of the end of FY13, highlights of project assistance include:

- Implementation of the Sole Co-Management Plan:
  - First annual Co-Management Plan review meeting hosted by NASCOM in early FY13
  - Outreach by NASCOM at the community, fisherfolk and institutional stakeholder level on implementation, compliance and enforcement of the management measures in the plan
  - Construction and deployment by NASCOM of 42 spar buoys to mark the 1-nautical mile seasonally closed area from May 1–October 31, 2013 along the entire Atlantic coast of the Gambia
  - Updating of the sole stock assessment using new 2012 data. The results will be presented and discussed at the 2<sup>nd</sup> annual co-management plan review meeting in November 2013. Eleven DoFish field staff completed a five-day Fish Biology course to improve their capacity in landings data collection needed for more robust stock assessments
  - Donation of 100,000 Euros to NASCOM by German Seafood Company Kaufland to support further progress towards MSC certification
  - Completion of a gillnet study on the effects of increasing the mesh size restriction from the current 40mm to 42-46mm as recommended by the first annual co-management plan review meeting in 2012. Results show that mesh sizes in this range are effective for selectively catching larger size sole and catfish. The results will be presented and considered for decision-making at the 2<sup>nd</sup> annual sole co-management plan review meeting in November 2013
  - A draft amendment to the sole co-management plan (also to be considered at the 2<sup>nd</sup> annual sole co-management plan meeting) to expand the scope of the plan to the demersal fishery, and in particular catfish
- Implementation of the Oyster and Cockle Co-Management Plan:
  - First annual Co-Management plan review meeting hosted by TRY in early FY13
  - Annual closed season for oyster and cockle harvesting in the Tanbi Wetlands National Park from July - February respected
  - Outreach to 15 TRY communities to establish community committees to engage the broader community at each harvesting site to support management plan implementation
  - Biological sampling of Oysters at selected sales points conducted every two weeks during the four-month open season in 2013 by TRY to understand if oyster size and weight declines

significantly over the harvesting season, indicating overharvesting. Results do not show a significant decline

- TRY General Assembly meeting held with 200 members to review the season's activities and to decide on a proposal to extend the open season for more than four months and move it to January. After consideration of economic, biological, ecological and social factors, the members decided unanimously not to make a change
- Study tour by TRY members to Atlantic Seafood export processing plant in The Gambia
- Bi-weekly water quality testing at 19 harvesting sites in the Tanbi continued and shoreline sanitation surveys conducted every six months. Ongoing development of a Shellfish Sanitation Plan for the Tanbi based on these findings
- TRY Director shared TRY's experience in Population, Health, Environment (PHE) in a presentation at the Woodrow Wilson Center in Washington, DC, in July 2013 and has been accepted to present at the 2013 International Population, Health, Environment Conference in Ethiopia in November. She was also invited to speak about TRY's work on a panel on Coastal Livelihoods, Communities and Conservation at the 2013 SOCAP (Social Capital Markets) Conference in California in September.
- Training of 160 participants at four fishery landing/oyster harvesting sites in Participatory Hygiene and Sanitation Transformation (PHAST) and Training of 80 trainers in Community Outreach and Hygiene Promotion
- WASH Management Plans and WASH facilities completed at 2 of 6 selected fish landing /oyster harvesting sites. Plans and facilities almost complete at 2 additional sites

### **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 also by improving 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. 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 curricula. Since 2011, the *Pwani* Project has completed four vulnerability assessments on the mainland and Zanzibar—and more assessments are under way. Learning from SUCCESS and *Hen Mpoano*, the *Pwani* Project is revising its Vulnerability & Adaptation process to focus less on single villages and more on a larger ecosystem/district-wide level.

In early March, 2013, *Pwani* collaborated with SUCCESS in hosting a national level workshop called "Climate Change Adaptation and Development Mainstreaming for the Coast" (see Objective 3 of the climate change section). The workshop, hosted by the Division of Environment in the VPO, focused on the cross-sectoral nature of climate change impacts on the coast and marine environment and on measures and institutions that could be used to respond. It was intended to build momentum and lay the groundwork for the NAP process that the Government of Tanzania is committed to with the UNFCCC. A workshop report has been prepared and can be provided upon request.



*Pwani* is also a learning site for enterprise development and it is one of the cases featured in the *Conservation-based Enterprise Review*. In June 2013, the *Pwani* Project conducted a survey of all individuals involved in the Project's livelihoods activities. The survey followed up on one conducted by SUCCESS in 2007, and it included several of the SUCCESS livelihood beneficiaries. Hence, the survey assessed to what extent the former SUCCESS livelihood 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 focuses on building the capacity of the Indonesia Ministry of Marine Affairs and Fisheries (MMAF) to address fisheries and climate change issues. CRC plays 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 local and national government to improve coastal resources planning that incorporates climate change factors. CRC also assists the national government in improving their fisheries management plans. In 2012, CRC had five IMACS project partners attend a three-week Coastal Community Resilience Course. To sustain the success, IMACS and USAID Indonesia funded 16 Indonesians to attend the September 2013 Leadership in Fisheries Management Course at URI. CRC also organized a national workshop to assess the implementation of the Coastal Zone management Act and develop recommendations 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 (US CTI)**

As noted in the work plan above, SUCCESS, with leveraged funding from CTSP and WWF Malaysia, implemented a training workshop in Sabah Malaysia for WWF national staff, based on the on the SUCCESS Project Enterprise and Fisheries guides

### **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, ended September 16, 2013. Its goal was 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. Following is a brief summary of just a few highlights from the project.

*BALANCED* supported PHE activities built into the *Pwani* project. Several of the PHE champions involved in these activities were highlighted in what continues to be a widely viewed video produced in partnership with the Woodrow Wilson Center [Healthy People, Healthy Environment: Integrated Development in Tanzania](#). The project conducted several applied research surveys in both Tanzania and the Philippines to assess changes in thinking and behavior about both the environment and human health (reproductive health and family planning) as a result of the PHE interventions; and on the value-added of the integrated PHE approach. It provided support to the HOPE-LVB (Health of People and the Environment in the Lake Victoria Basin) project, which is jointly funded by a partnership of USAID, the David and Lucile Packard Foundation, and the MacArthur Foundation. This support took the form of technical assistance on issues of coastal/fisheries governance and on scale-up. The Project also developed a one-stop-shopping library (Toolkit) of easy-to-access PHE publications, tools and other resources.

Though BALANCED has ended, the Toolkit will continue to reside on the Johns Hopkins Knowledge for Health site as a resource for PHE practitioners <http://www.k4health.org/toolkits/phe>. Lastly, BALANCED was the first ever USAID-funded PHE project to win a Buy-in funded by two different offices within one Mission—the USAID Philippines Office of Health and its Office of Energy, Environment and Climate Change.

A final event on September 10, 2013, in Washington, DC, highlighted these and many other Project activities and lessons learned followed by some thought-provoking questions from and dialogue with the audience and some interesting reflection on the future of PHE as an integrated approach.

### 3.2 Leveraged and Complementary Activities

In Year 9, SUCCESS leveraged over US \$49,870 from various sources (see table below).

#### Year 1-5 Leveraged Funding Results

REGION	Leveraged Funds
Latin America Region	\$ 222,676
Ecuador	79,216
Nicaragua	110,825
East Africa Region	250,647
Tanzania	746,074
Global (non-site related)	<b>214,779</b>
<b>LEVERAGED FUNDING TOTAL FOR YEARS 1-5</b>	<b>\$1,624,217</b>

#### Leveraged Funds Years 6-9

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 Olsen’s participation in Paris meeting	2,133
2010	WIOMSA	SIDA	Dar es Salaam experts meeting, February 2010	15,200
2011	WIOMSA	ReCoMap	Updating MPA training manual	25,000
2011	WIOMSA	Sida	Conducting MPA training course	20,000

<b>Fiscal Year</b>	<b>Leveraging Partner</b>	<b>Donor</b>	<b>Activity</b>	<b>Leveraged Funds</b>
2011	WIOMSA	ReCoMap	Conducting MPA training course	55,000
2011	CRC	CTI	Climate change cases, courses, and training of trainers	58,423
2011	UH Sea Grant	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 Sea Grant	Salary and funding for climate change fact sheets	12,000
2011	WIOMSA	WWF TZ	Funding for Level 1 WIO-COMPASS 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 Torell and Brian Crawford'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
2013	WIOMSA	WIOMSA match	Madagascar Level 1 assessment	7,478
2013	WIOMSA	WCS Madagascar	Madagascar Level 1 assessment	13,000
2013	CRC	Manonmaniam Sundaranar Univerisity	Brian Crawford's trip to India	2,466
2013	CRC	Pwani/USAID Tanzania	Tanzania preparing for NAP workshop	12,401
2013	CRC	WWF Malaysia/CTSP/USAID	Conservation enterprise and fisheries training	12,057
2013	CRC	COMFISH/USAID	Glenn Ricci's trip to Senegal and his time for working with COMFISH on introducing MPA PRO and translating the handbook to French.	11,311
2013	CRC	Engility/USAID	West Africa NAP workshop	50,000*
<b>LEVERAGED FUNDING TOTAL</b>				<b>\$ 656,470</b>

## 4. Program Management

### 4.1 Key Staff

#### Directors

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	URI	

### 4.2 Key Reports

The following table lists key reports that will be produced in Year 10 along with completion dates.

<i>Key Products and Outputs</i>	<i>Schedule</i>	<i>Recipient</i>
<b>Program Reports</b>		
Quarterly PMP report (in this workplan)	30 September 2013	Richard Volk, AOTR and AO
Semi-annual Report & PMP Report (July 2013 - December 2013)	20 December 2013	Richard Volk, AOTR and AO
Quarterly Progress Report (January 2014 - March 2014)	30 April 2014	Richard Volk, AOTR and AO
Semi-annual Report & PMP Report (January 2014 - June 2014)	30 July 2014	Richard Volk, AOTR and AO
Final Project Report	30 September 2014	Richard Volk, AOR and AO
<b>Financial Reports</b>		
Forms SF 425	Quarterly	Richard Volk, AOR and AO
Accruals	Quarterly	Richard Volk, AOR
Pipeline and request for additional funds	Annually as needed	Richard Volk, AOR
Final financial report SF 425	90 days after project end	Richard Volk, AOR and AO
<b>TraiNet Data</b>	30 days post event	USAID TraiNet database
<b>Publications</b>	30 days post pub.	Richard Volk, AOTR and USAID Clearinghouse

### 4.3 Tentative International and US Travel Schedule

<i>Program Element</i>				
<i>Month</i>	<i>Climate Change</i>	<i>Capacity Building</i>	<i>Learning and Outreach</i>	<i>Project Mgt.</i>
October 13		Ricci: France, IMPAC Conference Workshop	Legacy event planning meeting with GLOWS Ricci and McCarthy	
November 13				
December 13				
January 14				
February 14	Kent to West Africa for ECOWAS outreach meeting	Ricci: Kenya Institutionalize WIO-COMPAS Workshop		
March 14				
April 14				
May 14				
June 14	Rubinoff to Bonn for Coasts at Risk Launch	Ricci & Francis: DC Capacity Building Meeting	DC Event: Crawford, Torell, McCarthy	
August 14				
September 14				

### 4.4 Monitoring, Evaluation and Reporting

As part of the SUCCESS extension, the indicators tracked in the Performance Management Plan have been revised to better correspond with the global leadership activities undertaken. Since the work outlined for the SUCCESS extension period (FY 10 to FY 14) does not include field programs, the original SUCCESS indicators that were connected to on-the-ground results will no longer be active (see Appendix A for a full listing of the original indicators) <sup>1</sup>:

During Years 6 and 7, the following nine indicators were tracked:

1. Individuals trained (gender disaggregated)
2. Dollar value of funds leveraged from USAID Missions and non-USG sources

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<sup>1</sup> Two exceptions are numbers of policies, etc., promoting sustainable natural resource management and conservation implemented and numbers of hectares under improved management. Although we will not set targets for these indicators, they will remain in the PMP because there is a possibility that we will be able to see results related to them as part of our climate change adaptation work.

3. Tools, protocols, procedures, systems, methodologies, guides, curricula or indices developed or adapted for country and/or thematic contexts
4. Success stories, peer review articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS
5. Technical support interventions provided by SUCCESS to other partners and programs on toolkits and guidebooks developed by SUCCESS
6. Participants who received SUCCESS training and/or mentoring that are now implementing projects or providing training or TA to others on the topics that they were trained in.
7. Target organizations incorporating SUCCESS tools, etc., into their work
8. Hectares in areas of biological significance under improved management
9. Policies, laws, agreements or regulations promoting sustainable natural resource management and conservation implemented

During course of preparing the Year 8 work plan, some indicators were added or revised. These changes were reflected in a revised PMP. Beginning in FY 12, the following indicators are tracked:

1. *NEW*: 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)
  - a. Person hours of training completed in climate change supported by USG assistance-adaptation (men)
2. *NEW*: 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)
  - a. Person hours of training completed in climate change supported by USG assistance-adaptation (women)
3. *REVISED*: Dollar value of funds leveraged from USAID Missions and non-USG sources
  - a. Amount of investment leveraged in U.S. dollars, from private and public sources, for climate change as a result of USG assistance— Adaptation public sector investments (previously part of Ind 2 in SUCCESS)
4. *REVISED*: Tools, protocols, procedures, systems, methodologies, guides, curricula or indices developed or adapted for country and/or thematic contexts
  - a. Number of climate change mitigation and/or adaptation tools, technologies and methodologies developed, tested and/or adopted as a result of USG assistance
5. Success stories, peer review articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS
6. Technical support interventions provided by SUCCESS to other partners and programs on toolkits and guidebooks developed by SUCCESS
7. *NEW*: Number of institutions with improved capacity to address climate change issues as a result of USG assistance—adaptation capabilities
8. Participants who received SUCCESS training and/or mentoring that are now implementing projects or providing training or TA to others on the topics that they were trained in.
9. Target organizations incorporating SUCCESS tools, etc., into their work
10. Hectares in areas of biological significance under improved management
11. Policies, laws, agreements or regulations promoting sustainable natural resource management and conservation implemented

Some of the new and revised indicators include sub-indicators. This means that data are collected for the indicator as a whole, but reporting is split up according to USAID earmark indicators (e.g. number of person hours of training is split up between climate change and other trainings).

The PMP indicators aim to measure the outputs and impacts of SUCCESS activities related to MPA certification, climate change adaptation, and learning. Life-of-Program targets were established for the

first indicator only:

**Original LOP Indicator targets for person hours of training**

<b>Indicator</b>	<b>FY 12</b>	<b>FY 13</b>	<b>FY 14</b>
1.a 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)	2560 hrs	520 hrs	550 s
1.b. Person hours of training completed in climate change supported by USG assistance-adaptation (men)	NO Target but tracked	NO Target but tracked	NO Target but tracked
2.a 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)	1240 hrs	208 hrs	120 hrs
2.b Person hours of training completed in climate change supported by USG assistance-adaptation (women)	NO Target but tracked	NO Target but tracked	NO Target but tracked

Targets for all other indicators are set annually during work planning. During the FY 14 work planning, we reduced original targets for number of person hours of training for both men and women to reflect the actual activities that will be undertaken in FY 14.

**FY 14 Targets for all indicators**

<b>INDICATOR</b>	<b>FY 14 Targets</b>
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)	196
1.b. Person hours of training completed in climate change supported by USG assistance- adaptation (men)	0
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)	84
2.b Person hours of training completed in climate change supported by USG assistance- adaptation (women)	0
3. Dollar value of funds leveraged from USAID Missions and non-USG sources	0
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	6
6. Technical support interventions provided by SUCCESS to other partners and programs on toolkits and guidebooks developed by SUCCESS	1

<b>INDICATOR</b>	<b>FY 14 Targets</b>
7. Recipients of SUCCESS training and/or mentoring subsequently implementing projects or providing training or technical assistance in these topics to others	0
8. Number of institutions with improved capacity to address climate change issues as a result of USG assistance - adaptation capabilities	1
9. Target organizations incorporating SUCCESS tools etc. into their work	0
10. Hectares in areas of biological significance under improved management	0
11. Policies, laws, agreements, or regulations promoting sustainable natural resource management and conservation implemented	0

The web-based monitoring system is no longer used to collect PMP data. This system worked well when SUCCESS was working with multiple field partners, who were submitting quarterly PMP data. It is not appropriate for the current SUCCESS Program, which has a smaller set of indicators and where the PMP data is collected in-house. However, all PMP data will go through the same quality control checks by the M&E coordinator at CRC, who will also store electronic evidence files for reported numbers.

#### **Tasks and Milestones**

<i>Tasks and Milestones</i>	<b>Date</b>
Final self-assessment	August 2014
Collect PMP data	Quarterly
Prepare and submit quarterly and semiannual reports to USAID	Quarterly

#### **4.5 Opportunities**

In its final year, SUCCESS will place a greater emphasis on outreach and the opportunity to share key messages at major events and venues—with the goal of reaching policy makers and influencing decisions on a US international ocean and coastal agenda for the future. Such venues include:

- United Nations Framework Convention on Climate Change working group held in Bonn, Germany in June 2014 to communicate climate change adaptation messages
- Chairing the IUCN WCPA Capacity Building Program that is now developing guidelines for a certification program as part of a larger comprehensive capacity development system for IUCN; and helping incorporate the certification and competency-based approach to MPA professionals' capacity development into the IUCN's forthcoming Protected Areas Management Book
- The final legacy capstone outreach event to coincide with Capitol Hill Ocean Week (CHOW), June 2014, to try to target a larger and more diverse audience
- A short legacy video and a capstone communication product to be aired during the capstone event
- CRC involvement in the Global Partnership for the Oceans and as a learning partner to the Rockefeller Foundation as the Foundation designs a \$100 million initiative in sustainable fisheries—providing an opportunity to build off of the field experiences and lessons learned of the SUCCESS Associate Awards. It also provides the chance to promote the information, tools and approaches laid out in the guidebooks produced under the Leader Award and hopefully see this information become incorporated into the emerging fisheries strategies of other donor institutions investing heavily in oceans and sustainable fisheries



## 5. Budget

This section provides details of the annual budget aggregated in different ways. The budget assumes a Year 10 planned USAID budget of \$356,646. URI Cost share for Year 10 is budgeted at \$153,545.

### Budget by Line Item

Item	USAID	CRC Cost Share	Total
Salary	127,812	70,180	197,992
Consultants	7,900		7,900
Fringe benefits	56,063	28,079	84,142
Other direct Costs	15,180		15,180
Travel	38,893		38,893
Sub-agreements	10,000	15,000	25,000
Direct Costs	245,848	98,259	344,107
Indirect @ 41%	100,798	40,286	141,084
<b>Total</b>	<b>356,646</b>	<b>153,545</b>	<b>510,191</b>

### Budget by Program Element

Program Element	USAID	CRC Cost-share	Total
Climate Change	146,892		146,892
Capacity Building	81,313	15,000	96,313
Livelihoods and Outreach	82,042		82,042
Program Management	46,399	138,545	184,944
<b>Total</b>	<b>356,646</b>	<b>153,545</b>	<b>510,191</b>

### International and US Based Travel Budget

Program Element	CRC	Total
Climate Change	22,934	22,934
Capacity Building	14,063	14,063
Livelihoods and Outreach	1,413	1,413
Program Management	483	483
<b>Total</b>	<b>38,893</b>	<b>38,893</b>

## Annex A: FY 13 PMP Results and Targets

Indicator	FY 13 Target	FY 13 Cumulative total	Q4	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)	1,060	1,632	160	Above target
1.b. Person hours of training completed in climate change supported by USG assistance-adaptation (men)	384	908	0	Above target
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	881	192	Above target
2.b Person hours of training completed in climate change supported by USG assistance-adaptation (women)	96	344	0.00	Above target
3. Dollar value of funds leveraged from USAID Missions and non-USG sources	10,000	121,223	0	Above target
4. Tools, protocols, procedures, systems, methodologies, guides, curricula, or indices developed or adapted for country and/or thematic contexts	4	3	0	Below target. Two climate change videos will be finalized in Year 10.
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	1	0	Below target. Two climate change videos will be finalized in Year 10.
5. Success stories, peer review articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS	4	12	2	Above target. The Tanzania NAP background paper and workshop report were published online in Quarter 4.
6. Technical support interventions provided by SUCCESS to other partners and programs on toolkits and guidebooks developed by SUCCESS	4	7	2	Above target
7. Recipients of SUCCESS training and/or mentoring	5	2	0	Below target.

subsequently implementing projects or providing training or technical assistance in these topics to others				
8. Number of institutions with improved capacity to address climate change issues as a result of USG assistance - adaptation capabilities	8	44	0	Above target as a result of Tanzania and West Africa NAP workshops.
9. Target organizations incorporating SUCCESS tools etc. into their work	2	4	0	Above target
10. Hectares in areas of biological significance under improved management	0	0	0	
11. Policies, laws, agreements, or regulations promoting sustainable natural resource management and conservation implemented	0	0	0	

## Annex B: Status of Year 9 Workplan Tasks and Products

<i>Output</i>	<i>Date</i>	<i>Status</i>
<b>MPA PRO</b>		
Conduct two Certification Offerings (majority of funding from SIDA and local counterparts, with SUCCESS providing leverage)	November 2012 – June 2013	Two completed
Posters of WIO-COMPAS to increase awareness and applications by MPA rangers	November 2012 – January 2013	Completed
Conduct one to two exchanges of MPA PROs	December 2012– August 2013	Carry over into YR 10. Assessment Report completed and Call for Exchange starts September 2013.
Brief MPA management agency directors and identify their needs	December 2012 – August 2013	Completed
Lessons from the first phase of WIO-COMPAS	December 2012 – March 2013	Completed
Journal article submitted on capacity-building through the MPA PRO model: summing up the program’s “first generation”	November 2012 – February 2013	1 paper completed and submitted to journal. Second paper in draft.
Present at the International Ranger Federation (IRF) World Ranger Conference in Tanzania	October 2012	Completed
Share the MPA PRO model with Mexico and Indonesia (or other countries upon request)	October 2012 – September 2013	Completed. Shared with Indonesia, Senegal 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	Completed

<i>Output</i>	<i>Date</i>	<i>Status</i>
<b>CLIMATE CHANGE</b>		
Facilitator's Guide printed	November 2012	Completed August 2013
Dissemination of the Facilitator's Guide	December 2012	Completed August 2013
Shoreline Protection Guidelines printed	November 2012	Completed August 2013
Shoreline Protection Guidelines disseminated	December 2012	Completed August 2013
Collect Coasts at Risk existing data regarding socio-economic and bio-physical status of coastal areas	April 2013	Completion in November 2013. Underway; in process of being synthesized to determine if we need additional information
Summary statement of Coasts at Risk key trends ready to present at Global Ocean Forum	June 2013	Postponed. Global Ocean Forum still not planned; looking at other i.e. UNFCCC June 2014 event in Bonn
Coasts at Risk draft summary of analysis and trends to circulate among Working Group	September 2013	Outline developed and draft underway for completion in January 2014. Team will review indices and results in Nov 2013
Background Paper on NAP efforts in Tanzania	February 2013	Completed NEW milestone, replacing case studies
Conduct national level workshop in Tanzania	December 2012	Completed March 2013. Delayed due to timing of counterpart agency
Generate report of major outcomes from Tanzania Workshop	February 2013	Completed in April 2013.
Background information gathering for W. Africa workshop	April 2013	Completed June 2013. NEW milestone, replacing case studies
Conduct W. Africa workshop with regional leaders and sectors	April 2013	Completed June 2013 Delayed due to workshop expansion from 3 to 11 countries.
Generate summary report of major outcomes from W. Africa workshop.	May 2013	Completed August 2013 in English and French

<i>Output</i>	<i>Date</i>	<i>Status</i>
Form a Working Group to focus on national-level planning incorporating climate change adaptation	December 2012	Completed.
Conduct West Africa/Accra meeting with regional planners and above Working Group	April 2013	Completed.
Generate report of major outcomes from meeting	May 2013	Completed.
Conduct a special session at the Global Ocean Forum or another venue with Working Group to present the outcomes of the West Africa meeting	Nov 2013 – June 2014	Postponed, since GOF has not been scheduled. Event planned for US delegation side event at UNFCCC Warsaw in 11/13 conference with USAID and partners
NAP Assemble feedback into final recommendations	September 2013	Propose that this be transformed into a Policy Brief for FY 14
<b>LEARNING</b>		
Develop a summary of the conservation enterprise guide (fact sheet and/or video)	December 2012	Completed
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	Completed; workshops conducted in Indonesia and Malaysia
Deliver session during G-FISH course on fisheries programming for USAID	June 2013	Completed; sessions delivered