Sustainable Coastal Communities and Ecosystems Program (SUCCESS)

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

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Year 1 Work Plan

October 1, 2004 – September 30, 2005

Integrated Management of Coastal and Freshwater Systems

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

Year 1 Work Plan

October 1, 2004 – September 30, 2005

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A partnership between:

Coastal Resources Center
University of Rhode Island
and
United States Agency for International Development
Bureau for Economic Growth, Agriculture and Trade
Office of Natural Resource Management

In association with:

University of Hawaii Hilo, Pacific Aquaculture and Coastal Resources Center
Western Indian Ocean Marine Science Association (WIOMSA)
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I. Introduction

Program Strategic Context

The Development Challenge

Coastal regions (coastal watersheds, their associated estuaries and inshore marine waters) are where human populations and their supporting infrastructure are increasingly concentrated. In these regions, the major development challenge is the absence of resilient governance institutions capable of effectively and efficiently addressing the many inter-related issues central to the forging of sustainable forms of development and ecosystem health. Such institutions must be capable of implementing the planning and decision making structures that are sustained over the long term and that operate as nested systems that link actions at the community level with similar actions at the scale of a province, nation and region. While the number of governance initiatives addressing coastal issues more than doubled in the decade following the Rio Conference in 1993, their impacts are modest. The challenge today is to work with existing programs, and launch new ones that:

- More clearly define their goals
- Attach greater importance to strengthening institutional capacity
- Place more emphasis on partnership, participation and ownership in programming external assistance
- Produce tangible socioeconomic results in the short-term to assist in building constituency and political support
- Pay more attention to absorptive capacity constraints
- Improve donor coordination

These are the necessary features of aid highlighted in the recent USAID White Paper on its development challenges (*USAID, 2004).*

The priority issues that must be addressed through long-term governance processes in the coastal regions of developing nations are remarkably constant:

- Poverty
- Efficient use and equitable allocation of fresh water
- Optimizing the sustained contributions of estuarine and marine ecosystems to food security
- Promoting justice, transparency and accountability in public and private institutions
- Improving quality of life of coastal people including health improvements by combating HIV/AIDS
- Achieving greater equity, including gender equity

Since the inter-relationships among these issues are complex and occur in a context of constant change, it is essential that governance systems practice adaptive management.

USAID Strategic Interests

USAID has stated that "development progress is first and foremost a function of commitment and political will directed at ruling justly, promoting economic freedom, and investing in people" (USAID, 2004). The SUCCESS Program is constructed around this fundamental truth and therefore places the establishment of flexible and resilient governance systems at the core of all of its work. In SUCCESS, the central challenge is to create sufficient governance capacity at a suite of interconnected spatial scales to sustain forward progress towards unambiguous coastal management goals. These goals are defined with the people of the places and respond to their values, their needs and how they believe the principles of democracy must be adapted to their culture and heritage.

Development Hypotheses

Nearly three decades of experience in a wide diversity of settings has convinced CRC and its partners that the design, administration and evaluation of coastal governance initiatives in all settings is made more efficient and transparent when structured within the Orders of Outcomes framework (Olsen, 2004; Olsen, 2003).

As illustrated by Figure 1, the ultimate goals of coastal management are (1) healthy, productive ecosystems, (2) an acceptable quality of life for their associated human populations and (3) a governance system that is equitable, transparent and just. These are defined as Third Order outcomes and must be defined in specific terms for a specific locale. Sustained progress towards Third Order goals requires first creating the necessary enabling conditions (the First Order) and then implementing a plan of action (the Second Order). The Second Order is signaled by specified changes in the behavior of user groups, relevant institutions and – often - making the necessary investments in infrastructure. Attainment of Third Order goals in human dominated, typically stressed coastal ecosystems at the large scale (thousands of square kilometers) typically requires decades of sustained effort (Olsen 2004). Third Order goals have been documented at the community scale (ten to hundreds of square kilometers) within the span of three to ten years. Verifying and refining the Orders of Outcome framework requires probing a set of hypotheses that include the following:

(1) The practice of *adaptive* governance requires documenting change on topics of central importance to the initiative as this relates to a governance baseline. Our hypothesis is that preparing such *governance baselines* is an efficient strategy for assessing the existing capacity and framing goals in terms that reflect the heritage of a place. Such baselines must document the status of the Third Order variables that will subsequently be used to assess progress towards the goals of an initiative.

(2) In young programs, our hypothesis is that the first threshold of achievement requires assembling *all* the enabling conditions (unambiguous goals, commitment to a course of action, capacity to implement and constituencies that support the program). An associated hypothesis is that tangible early actions that demonstrate the benefits of the program's approach are crucial to success. When framed in this manner, First Order

outcomes require a highly participatory approach to governance that addresses issues of equity, transparency, corruption and efficiency in the planning and decision making process.
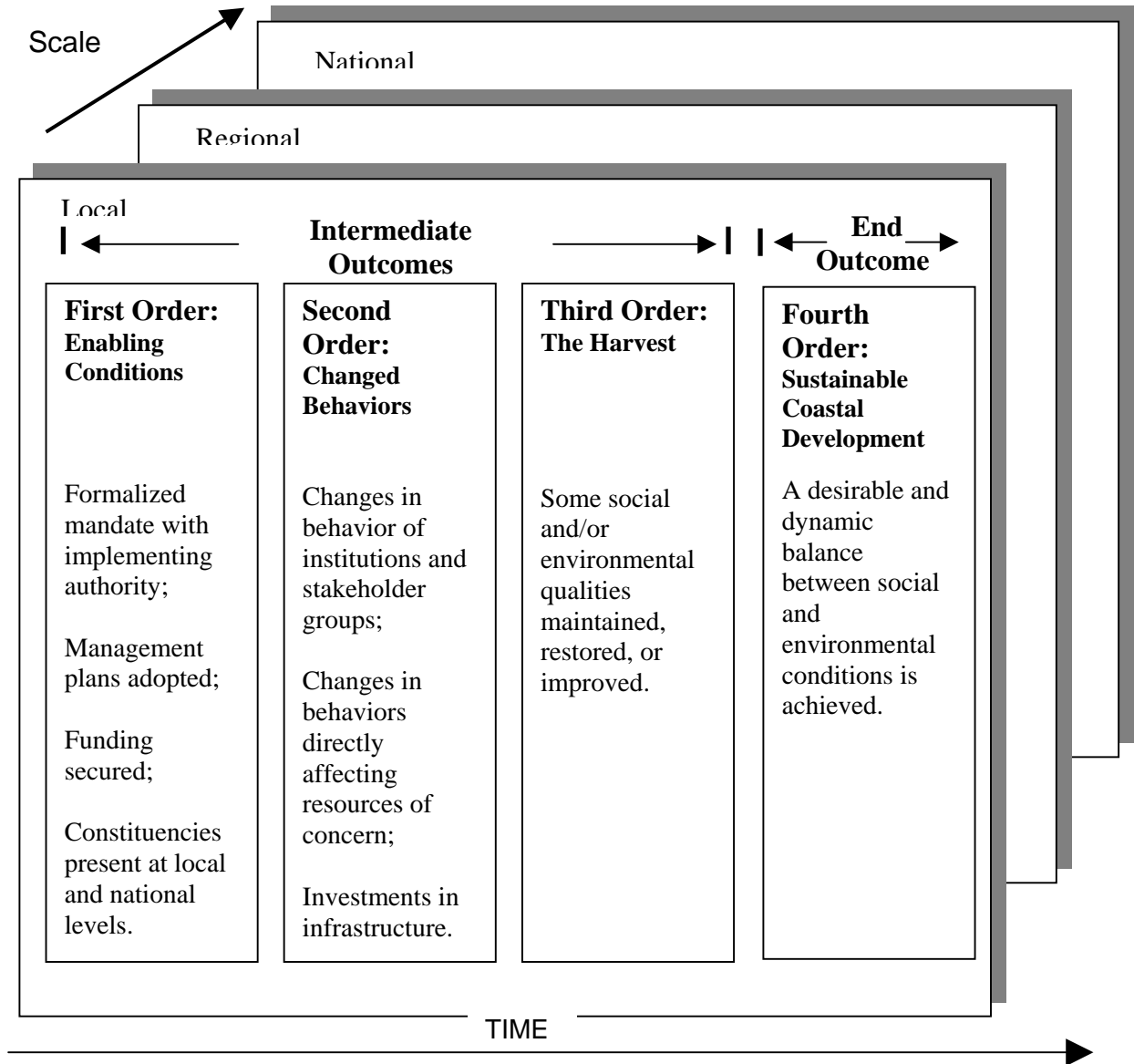
Scale

National

Regional

Local

Intermediate Outcomes			End Outcome
First Order: Enabling Conditions	**Second Order:** Changed Behaviors	**Third Order:** The Harvest	**Fourth Order:** Sustainable Coastal Development
Formalized mandate with implementing authority; Management plans adopted; Funding secured; Constituencies present at local and national levels.	Changes in behavior of institutions and stakeholder groups; Changes in behaviors directly affecting resources of concern; Investments in infrastructure.	Some social and/or environmental qualities maintained, restored, or improved.	A desirable and dynamic balance between social and environmental conditions is achieved.

TIME

Figure 1: The Orders of Outcomes Framework

(3) A third hypothesis is that sustained progress can be achieved only if a governance system is constructed from the outset as a *nested system* in which the approach and actions are reflected across a range of spatial scales that link a coastal community to supportive policies and procedures at the national scale.

(4) Finally, the SUCCESS Program is predicated on the hypothesis that sufficient experience now exists in the practice of effective and equitable coastal governance

that makes it necessary to invest in the codification of good practices and their dissemination through networks of well trained extensionists grounded in the culture of a region.

Program Description

The hallmark of this Program is active engagement with coastal people at the grass roots level. CRC and its partners believe that if the needs of coastal people are to be met in a rapidly changing world, it is essential to create a network of institutions in the regions where SUCCESS operates that have the knowledge and skills to analyze problems and opportunities, develop the tools and practices that respond to priority issues and then widely disseminate them. The SUCCESS Program has adopted the Sea Grant model for building institutions that link extension with applied research and education. The goal is to create in each region where SUCCESS operates, a permanent capacity-building resource that responds to the needs of its coastal ecosystems and the human populations they contain.

Summary of Overall Expected Results

The Program's overarching goal is to help the people of a place improve both their quality of life (health, income, education) and their physical environment through good governance. SUCCESS will apply a mechanism for new thinking and for developing and refining innovative approaches and new models for addressing the complex issues posed by the urgent needs for both development and conservation in coastal ecosystems. SUCCESS hopes to play a catalytic role through modest field programs, linked to regional networks of practitioners and linked series of training courses that will demonstrate the benefits of integrated approaches to coastal governance. These four interlocking components of the Program will deliver a coherent capacity-building program aimed at institutions operating at a range of spatial scales.

1. The first "layer" of the SUCCESS design is a global network of incubators, grouped by region, that are serving as living demonstrations of the benefits of just governance and the effective application of coastal stewardship practices. These incubators will initially operate at the community scale where they will demonstrate and document the benefits of applying a suite of actions that together can generate, at a small scale, the Third Order outcomes of improved quality of life in the context of healthy ecosystems. The incubators will be placed in a wide diversity of settings in Latin America (LA) and East Africa (EA). All incubators will be working to apply and refine known good practices in coastal land use and livelihoods, including (but not limited to) fisheries, mariculture and tourism.

2. The second "layer" is the regional networks of coastal management practitioners that draw together the many ongoing, but typically isolated, projects and programs in the two regions. Projects and programs will be invited to participate in the networks if they have attained sufficient maturity to offer insights on "what works, what doesn't and why" within their setting. Participating programs will be requested to generate

governance baselines that organize their past experience and future aspirations in a common format using standardized terms. This will be the basis of a knowledge management system available to all members of the network.

3. A series of linked training courses will be offered in each region that brings together practitioners at the incubator sites with participants in the regional network. Completing a sequence of courses and demonstrations of professional competence will be the basis for certification. Courses will have a strong learning-by-doing theme and will be conducted at one of the field sites that are conducting pertinent activities.

4. The research undertaken through SUCCESS will be directed primarily at better understanding the linkages and interdependencies between the actions associated with the different Orders of Outcomes and probing how sustained progress is influenced by the conditions that are present in a given locale.

In the two regions where the SUCCESS Program operates, these components come together as a coherent, mutually reinforcing set of strategies. The approaches developed and refined through SUCCESS are designed for replication in other USAID coastal countries after adaptation for differences in the context, scale, complexity, and governance capacity in a specific locale.

Key Principles and Approaches Employed

- The *values that underpin coastal governance* — participation, transparency, accountability, equity and the involvement of marginalized groups — are essential to building vigorous constituencies.
- *Government commitment*, including provision of human and financial resources, is essential to successful, long-term coastal governance in any place.
- *Pilot projects* can catalyze the enabling conditions and behavioral changes that, when sustained, can produce a harvest of improved societal and environmental conditions.
- Successful programs *set clear, unambiguous goals* for the social and environmental outcomes that the Program is working to achieve.
- *Individual and institutional capacity* is the foundation for translating the principles of coastal stewardship and participatory democracy into an operational reality.
- *Good practices* – refined and adapted to the needs of the place – must guide the actions, and linkages among actions, that bridge planning and implementation.
- *Improved human well being* is inextricably linked to the sustained health of coastal ecosystems.
- A *nested governance system*—where management power and responsibility is shared across scales and throughout a hierarchy of management institutions to address the cross-scale nature and complexity of management issues—is essential to success.
- ICM must address *social and environmental change in ecosystems* and link the impacts of watershed activities to processes in estuaries and along the coastlines.
- It is time to *codify how best to achieve the changes in values and behaviors* that are essential to the practice of coastal stewardship.

Technical Program Elements and Life-Of-Program Results

On the Ground Results

The incubator sites have been selected for the presence of an on-going effort to apply and refine good practices at the community scale. At these sites in Nicaragua, Ecuador and Tanzania, SUCCESS will emphasize tangible actions that demonstrate the benefits of applying selected ICM practices to community development, mariculture and fisheries. Once an initial threshold of First Order enabling conditions are in place in these communities, the SUCCESS Program expects to see and measure in its five years:

- Local capacity at the district level that is sufficient to sustain implementation of ICM district action plans, including monitoring, evaluation and adaptive management as evidence that Second Order outcomes are being achieved.
- Local capacity at the community level that is sufficient to see Second and Third Order outcomes including, for example, monitoring and surveillance of nearshore fisheries resources, and adoption of more participatory planning and decision making procedures at the community level.
- Sustainable natural resource-based, small-scale enterprises in mariculture, fisheries or tourism are benefiting local households.
- Good practices are being applied to shorefront development and sanitation.
- Progress is being documented towards a permanent nested system of governance that can sustain the enabling conditions that catalyze on-the-ground results.
- A core group of community ICM extension agents is established.
- A community of local ICM practitioners is practicing the active learning and adaptive management in program implementation.

While the above mentioned life of Program results apply generally across all three of the field sites selected, more detailed life of Program results for each site will be identified during Year1 as part of initial phases of workplan activities. This will require a careful scoping of the local context and capacity of local partners to carry out work. In addition, this needs to be undertaken in a participatory manner with the local partners at each site. As a result of this process, we expect that more quantitative targets can be set for the life of the Program and this will be reflected in the program results framework and detailed monitoring and evaluation plan developed in Year1. For more background information on each site and specific tasks, see Section III.

Regional Training

Training agendas will be tailored to the needs of the place as defined through activities at the community level and by the regional networks of ICM practitioners. IN the initial year, the courses will be targeted at a core group of professionals working at the on-the-ground field sites. The courses will feature open enrollment for a limited number of participants from each region. A central purpose of the training program is to widely disseminate and apply the ICM good practices that are now known and to create multidisciplinary teams of extension agents with the knowledge and skills required to

apply such practices in a diversity of settings. SUCCESS will also work to create the larger institutional context for the next generation of practitioners at universities, and within selected governmental institutions and nongovernmental organizations (NGOs).

Specifically this element of the SUCCESS Program will deliver the following over the life of the Program:

- A series of at least 10 regional training courses implemented in the two regions (LA and EA) on a range of topics including ICM, mariculture and fisheries for at least 200 participants.
- Curriculum materials and extension bulletins on at least five topics in ICM, mariculture and fisheries are written and published in both English and Spanish (and Kiswahili as appropriate), with content that draws from the regional training courses. These materials are accessible as both hard copy documents and electronically through the CRC knowledge management system (described below)
- At least two institutions in each region are made capable of sustaining regional training initiatives after the SUCCESS Program concludes.
- Partner regional institutions have a full-time, experienced capacity building specialist on staff who is leading – vs. co-leading, as initially will be the case – the regional training effort.
- A cadre of at least six regional trainers has been established in each region and is actively participating in the design and delivery of the suite of courses.
- There is a certification program that is endorsed by multiple agencies in both regions and which has at least 10 individuals (between the two regions) who have either received or are in the process of receiving their certification.

The capacity building effort is designed as a sequence of inter-connected training courses. Initial courses will cover the basics of ICM practice and how to "do" good extension. Subsequent sessions will build sophisticated skills in practices identified by the regional networks as those needed to address specific topics of concern/interest for the field sites. Successful completion of the full suite of training courses qualifies participants for ICM certification. This certification would be issued in the name of the CRC, EcoCostas, WIOMSA Partnership with endorsements from respected national and regional agencies, NGOs, universities and private sector companies. Where possible, links will be made to larger professional certification programs and to international organizations. A feature of the training component is a strong learning-by-doing theme. Throughout the suite of courses, trainees will undertake and report on early actions at their home sites and will share the experiences and lessons learned as they apply the skills and practices from the training to their work on-the-ground.

Regional Networks and Knowledge Management

ICM programs and practitioners are often isolated from other efforts in their own country and unaware of programs elsewhere in their region. Information of practical usefulness to ICM practitioners is often hard to obtain. The result is that programs often reinvent the wheel, or worse, repeat mistakes that others have learned to avoid. This is inefficient and

breeds frustration and cynicism. Program success is higher when practitioners have ready access to the information they need and when they participate as members of regional associations of peers. The regional networks organized by this LWA accelerate the rate of and improve the probability of program success. They feature peer-to-peer exchanges and peer assessments, sustained collaborative learning and action among network participants in a given region and globally.

The SUCCESS knowledge management components are designed as web-based layered systems that are demand driven and designed to assist in problem solving and the dissemination of good practices on a wide range of coastal ecosystem governance topics. They combine face-to-face interactions with web based materials. The networks' knowledge management elements provide for documenting, archiving and making available the Program's working and final documents in a variety of formats. Documentation is supported by electronic services including internal and external web sites, CD-ROMs, and electronic collaborative workspaces for Program teams. CRC uses open source servers and software and a database-driven system for its public and restricted-access web sites. This allows Program teams to upload and manage their own content, permitting information services to focus on maintaining core systems, data bases and programming that meet the needs of different work groups. This approach is low cost, flexible and readily extensible.

Specifically, the SUCCESS Program will put primary emphasis on building web-based knowledge management systems for the two regional networks and promoting creation of Sea Grant-like programs. In the first year, SUCCESS Program resources will be too small to support regional meetings of practitioners. Funding for such events are a priority target for leveraged funding and program alliances. Specifically we expect the Program to:

- collaborate with, or establish, not less than two regional networks of ICM practitioners with parallel agendas for collaborative learning and action;
- establish and maintain two functional web-based KM systems – one in Latin America operating in Spanish and a second in East Africa operating in English with Kiswahili sub-elements;
- encourage peer to peer exchanges and collaboration;
- build Sea Grant-like programs of linked programs in education, extension and research at selected universities in the two regions linked specifically to the on-the-ground field initiatives; and
- provide easy access to documentation of tangible expressions of the successful application of ICM in specific geographic locales.

Science for Management

The wealth of scientific information available to coastal managers in the U.S. is not present in most developing countries. Where scientific capacity does exist, too often it is not applied to planning and decision-making on natural resource issues. The SUCCESS Program seeks to strengthen this link and thereby increase understanding of the

relationships between human activities and the condition of the coastal environment and its resources. The focus is on applying and analyzing the conditions and the practices that contribute to effectively linking among the three Orders of Outcomes as nested coastal governance systems emerge at the incubator sites and across the two regions. A second priority is to apply and refine simple and robust techniques for forecasting the impacts upon estuaries of changes to the quality, quantity and pulsing of fresh water inflows. The science for management program element is not seen as a series of stand alone activities but is integrated into all aspects of SUCCESS, particularly with the on-the-ground field sites, knowledge management as well as monitoring and evaluation.

Specifically, the SUCCESS Program anticipates that after five years:

- Local stakeholders will be generating baselines and implementing goal-based monitoring of social and environmental variables as the basis for assessing progress toward stated ICM goals.
- Good practices in ecosystem-based fisheries and aquaculture are being applied and their impacts are being documented at the community scale.
- Testing and refining the governance hypotheses that underlie the Program will codify the knowledge that emerges from field programs and strengthen emerging good practices.
- Techniques for forecasting change within estuaries are being applied in several sites and are influencing planning and decision making within watersheds.

Global Leadership

CRC and its partners will continue to play an active role in advocating globally for sound coastal governance and a stewardship ethic within coastal ecosystems. On-the-ground field sites will serve as tangible demonstrations and examples of how ICM can and should be carried out successfully. The regional networks in themselves provide important fora for promoting collaborative approaches to learning and action. The experience and energy generated by SUCCESS will be showcased in appropriate regional and global events. Linkages to the global Millennium Goals will be drawn. Major findings and conclusions will be reported in appropriate journals and more popular media. The CRC Director is a member of the Science Steering Committee of the Land-Ocean Interface in the Coastal Zone (LOICZ) program of the International Biosphere Geosphere Program that, in its second decade will be working to link the latest coastal research to policy making and coastal management. CRC is also an active participant in such United Nations-sponsored programs as the UNESCO International Oceanographic Commission and the Global Plan of Action on Land Based Sources of Pollution. In all these venues, CRC and its partners will be advocating for the pragmatic and learning-based approach to coastal governance that lies at the core of the SUCCESS Program.

Cross Cutting Program Elements

A priority set of cross cutting issues link between the incubator sites, the regional networks and the training courses. These common themes are as follows:

- Partnerships and alliances
- Gender mainstreaming
- Nested governance structures and procedures
- Health and HIV/AIDS
- Livelihoods and Economic Growth

These themes give substance to the integrated approach to development challenges that is the hallmark of the SUCCESS Program. They are topics that are highlighted as important in recent statements of USAID policy, and with the exception of HIV/AIDS, are all topics in which CRC and its partners have developed skills and experience in recent years.

Volunteers for Prosperity

By the end of the Program, the volunteer program element would expect to see that United States professionals have offered technical assistance to various aspects of the Program and its clients, including field assignments in the countries and regions where the Program will work. We expect that such assignments will be for an average of two to four weeks in Nicaragua, Tanzania or Ecuador, or in areas where regional training courses are implemented. Assignments to other countries would be determined based on the origin of the Associate Awards. The anticipated total per person level of effort would be 70 hours to 160 hours depending upon the nature of the assignment and the length of stay of the volunteer.

- At the end of five years, CRC will have provided international opportunities to at least 15 US professionals to work on technical projects overseas.
- Volunteer opportunities will be initiated and coordinated through the Leader with Associates Award on a small scale and will grow in volunteer numbers as associate awards are received by the Coastal Resources Center (CRC).

II.   The Program Results Framework

The SUCCESS Program will use the Orders of Outcome Framework (see Section I) for tracking progress and performance across all its components/elements. Other simplifying conceptual maps developed by the CRC and its partners during previous USAID-sponsored cooperative agreements will be used to guide the sequencing of activities in coastal governance initiatives at different degrees of maturity.

Experience has demonstrated repeatedly that it is difficult or impossible to trace or to confidently link the efforts of a coastal management program with desired Second and Third Order outcomes in the absence of a baseline. Such governance baselines must trace the previous trajectory of coastal change in the locale that is to be the subject of a program and to thereby assess (1) the existing governance capacity and (2) the traditions and culture of governance within which a new initiative must unfold. The baselining process must feature the definition of an initiative's Third Order goals and then document the conditions that characterize these conditions at the beginning of the Program and at future dates. Such governance baselines will be documented at all incubator sites and by programs participating in the regional networks sponsored by the SUCCESS Program.

By far the greatest body of experience lies in establishing first generation coastal management programs. This was the focus of the USAID/CRC partnerships conducted through The Coastal Resources Management Program I and II and of the great majority of other initiatives in developing nations sponsored by various donors, development banks and national governments. Such efforts are directed primarily at assembling First Order enabling conditions. The policy cycle (GESAMP, 1996: Olsen et al, 1999) has proved to be a useful roadmap for sequencing the activities that can produce an initial threshold of enabling conditions.
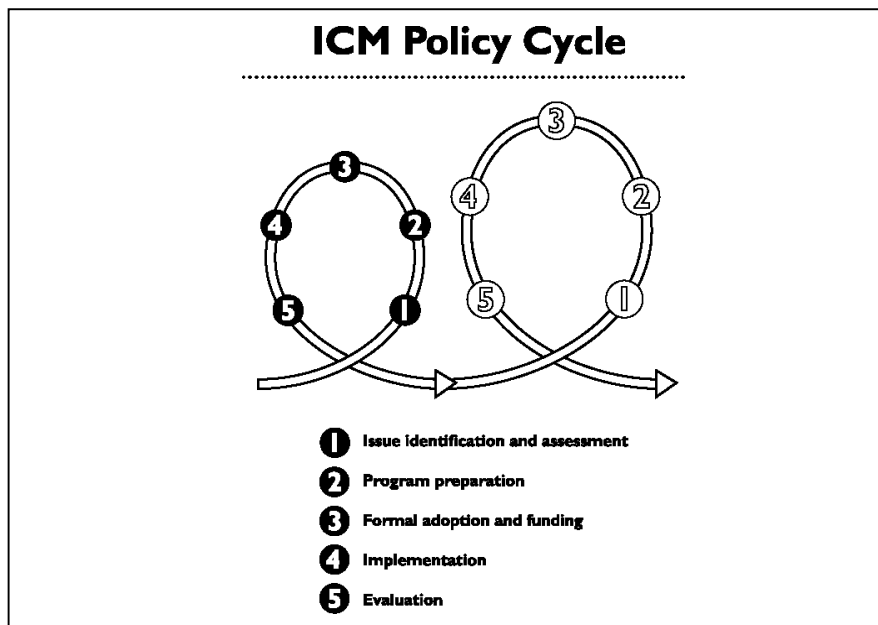

Figure 2: The ICM Policy Cycle

In SUCCESS the essential actions associated with each step in the policy process (Table 1) will be adapted to simple checklists of progress markers that can trace the evolution of a young program as it works to connect activities at the local scale with supportive national policy making.

Table 1: Essential Actions Associated with the Steps of the ICM Cycle

Step	Priority Action
Step 1: Issue Identification and Assessment	• Assess the principal environmental, social and institutional issues and their implications. • Identify the major stakeholders and their interests. • Invite review and response to the assessment. • Define the goals of the management initiative.
Step 2: Preparation of the Plan	• Conduct scientific research targeted as selected management questions. • Document baseline conditions. • Conduct a public education program and involve stakeholders in the planning process. • Develop the management plan and the institutional framework by which it will be implemented. • Create staff and institutional capacity for implementation. • Test implementation strategies at the pilot scale.
Step 3: Formal Adoption and Funding	• Obtain governmental mandate for a planning and policy process. • Obtain formal endorsement of policies/plan and the authorities necessary for their implementation. • Obtain the funding required for program implementation.
Step 4: Implementation	• Modify the strategies of the program as needed. • Promote compliance with program policies. • Strengthen institutional frameworks and legal authority for management. • Implement mechanisms for interagency coordination. • Strengthen program staffs' technical and administrative capacity. • Catalyze the construction and maintenance of necessary physical infrastructure. • Sustain participation of major stakeholder groups. • Implement conflict resolution procedures. • Maintain the program's priority on the public agenda. • Monitor performance and societal/ecosystem trends.
Step 5: Evaluation	• Assess the program's impacts on management issues being addressed. • Adapt the program to its own experience and to changing social and environmental conditions. • Conduct external evaluations at junctures in the program's evolution.

Second Order outcomes are defined primarily as the changes in behavior that mark the implementation of a plan of action, policy or procedure. SUCCESS will apply a version of the "Outcome Mapping" techniques developed by International Development Research Centre (IDRC)(Earl, Carden and Smutylo, 2001) to identify the key groups and organizations that are most critical to the successful implementation of a given element of an ICM program. Progress markers will then be defined, ideally in collaboration with the target groups or organizations, and progress in terms of the desired behavior change will be monitored and assessed.

Third Order outcomes mark attainment, or partial attainment, of the ultimate goals of the program in terms of the quality of life, environmental conditions and features of the governance system that are of interest. Progress towards these ultimate goals must be made in reference to the baseline conditions for relevant variables at the outset of the effort. It is essential to remember that simple cause and effect relationships between the efforts of a program and conditions in a society and ecosystem can rarely be made with confidence – particularly at larger scales. This is particularly true at a time when globalization is generating forces that are beyond the control of a single community, a province or a nation. Documentation of changes in Third Order variables requires periodic surveys for the selected indicators. In SUCCESS-sponsored projects, such surveys will, at a minimum, occur at the beginning and the end of a project.

USAID uses a "Results Framework" to guide it's planning and program management. It consists of three major elements: a Strategic Objective (SO), Intermediate Results (IRs), and indicators (with associated performance targets). Activities carried out through the SUCCESS Program will feed into the overall USAID Results Framework, and must track selected USAID indicators. Each SUCCESS Program activity will also have its own specific framework that will nest the USAID objectives, intermediate results and indicators into the Order of Outcomes framework outlined above. We view these as complementary systems. Both are designed to focus upon outcomes and assess the progress made toward the ultimate goals of development and governance.

At the time of preparing this workplan, USAID is revising its Results Frameworks. In the interim, we assume that the Strategic Objectives (SOs) and Intermediate Results (IRs) to be applied to this Program will be approximately as follows:

SO: Increased social, economic and environmental benefits through healthy ecosystems and sustainable resource management.
  IR1: Improving management and conservation across diverse landscapes through science, interdisciplinary approaches, and the adoption of best practices.
  IR2: Promoting equitable natural resource governance and management of natural resource conflicts.
  IR3: Increasing economic opportunities through sustainable production, marketing, and trade of natural resource-based products and services.
  IR4: Strengthening USAID operating units and partners through field support, technical leadership, and knowledge management.

The integration of the Orders of Outcome framework that will be used by SUCCESS with the USAID system can be illustrated with the example of a small-scale site-based initiative working towards sustainable harvests of blood cockles along the coast of Nicaragua in the Gulf of Fonseca. Table 2 below demonstrates how the Orders of Outcome framework relates to specific development hypotheses and how the CRC Orders of Outcomes and indicators link to USAID strategic objectives (SOs) and intermediate results (IRs).

Table2: Example of the Orders of Outcomes Framework for Management of the Blood Cockle Fishery

Development Hypothesis: If sustainable fisheries management rules are developed, fishers comply with these rules, and if the necessary environmental conditions are sustained, then local fishers will reap quality of life benefits.

Life-Of-Program Objective for On-The-Ground Results:**** Tangible examples in at least three countries of communities implementing ICM, sustainable fisheries and mariculture initiatives that have achieved Third Order outcomes.

Orders of Outcomes		
(1st Order)	(2nd Order)	(3rd Order)
Enabling Conditions	**Behavior Change**	**The Harvest**
• Collectors have stewardship contracts*	• High compliance in no-take areas**	• Collector income increased***
• Zoning scheme in place with no-take areas	• Surveillance and patrolling of area**	• Cockle abundance and size inside no-take areas increased
• Management committee appointed*	• Hatchery stocking in no take areas	• Production in adjacent areas up***
• Water quality standards set and water quality program approved	• Water quality monitoring and wastewater treatment plant built	• Coliform levels down
		• Food borne gastrointestinal illnesses down

(* Related to USAID IR1, ** Related to USAID IR2, *** Related to IR3, **** Related to USAID SO)

The example above readily demonstrates how SUCCESS outcomes can be readily cross-referenced with the USAID framework. This is further demonstrated in Table 3 that provides a summary view and more details on specific targets and indicators and the frequency of monitoring. This is illustrative only and will be elaborated and finalized as part of Year 1 work activities.

Table 3: Life of Program Results, Indicators, Targets, Monitoring Frequency and Relationship to the USAID Results Framework

SUCCESS Life-Of-Program Objectives	Indicators	Relationship to USAID SO or IRs	Life-Of-ProgramTargets	Frequency of Monitoring
ON-THE-GROUND-RESULTS				
• Local capacity at the district level that is sufficient to sustain implementation of ICM district action plans, including monitoring, evaluation and adaptive management as evidence that Second Order outcomes are being achieved.	Government budget allocations for implementation	IR1	3 examples in 3 countries 2 fish mgt. plans	Annual
• Local capacity at the community level that is sufficient to see Second and Third Order outcomes including, for example, monitoring and surveillance of nearshore fisheries resources, and adoption of more participatory planning and decision making procedures at the community level.	Fish catch Fish abundance inside no-take zones	SO	Fish catch increased Abundance increased	Year 1 baseline then every 2-3 years
• Sustainable natural resource-based, small-scale enterprises in mariculture, fisheries and tourism are benefiting local households.	Household income	IR3	60 households 40% female businesses	Year 1 baseline then every 2-3 years
• Good practices are being applied to shorefront development and sanitation.	Number practices adopted by local government Number of developments using best practices	IR1	2 in two countries 2 in each country	Annual
• Progress is being documented towards a permanent nested system of governance that can sustain the enabling conditions that catalyze on-the-ground results.	Plans and Policies adopted	IR1	One per country	Annual
• A core group of community ICM extension agents is established.	Number trained	IR4	30 persons, 30% female	Semi-annual
• A community of local ICM practitioners is practicing the active learning and adaptive management in program implementation.	Revisions to implementation plans	IR4	I per country	Annual

SUCCESS Life-Of-Program Objectives	Indicators	Relationship to USAID SO or IRs	Life-Of-Program Targets	Frequency of Monitoring
REGIONAL TRAINING				
• A series of at least 10 regional training courses are being implemented in the two regions (LA and EA) on a range of topics including ICM, mariculture and fisheries for at least 200 participants.	# courses # participants % female	IR4	10 courses 200 persons trained 40% female	Semi-annual
• Curriculum materials and extension bulletins are developed on at least five topics in ICM, mariculture and fisheries is published in both English and Spanish and Kiswahili as appropriate, with content drawing from the regional training courses. These are accessible in both hard copy and electronically through the CRC knowledge management system (described below).	# extension bulletins # course guidebooks	IR4	5 bulletins 5 guidebooks	Semi-annual
• At least two institutions in each region are made capable of sustaining regional training initiatives after the SUCCESS Program concludes.	Institutional capacity index	IR1	TBD	Semi-Annual
• Partner regional institutions have a full-time, experienced capacity building specialist on staff who is leading – vs. co-leading, as initially will be the case – the regional training effort.	# staff	IR4	3 persons	Semi-Annual
• Cadres of at least six regional trainers in each region are actively participating in the design and delivery of the suite of courses.	# trainers	IR4	6 persons	Semi-Annual
• A certification program is developed that has endorsement from multiple agencies in both regions and at least 10 individuals (between the two regions) have either received or are in the process of receiving their certification	# institutions endorsing the certification # individuals certified	IR4	10 institutions 10 individual	Semi-Annual

SUCCESS Life-Of-Program Objectives	Indicators	Relationship to USAID SO or IRs	Life-Of-Program Targets	Frequency of Monitoring
NETWORKS & KNOWLEDGE MANAGEMENT				
Establish not less than two regional networks of ICM practitioners with parallel agendas for collaborative learning and action.	# projects in network # individuals participating # lessons adopted	IR4	2 networks, 2 regions 40 persons	Semi-Annual
Establish and maintain two functional web-based KM systems one in Latin America operating in Spanish and a second in East Africa operating in English.	# web-based MK system	IR4	2 web-based systems	Semi-Annual
Encourage peer to peer exchanges and collaboration.	# exchanges	IR4	3 exchanges	Semi-annual
Build long-term linkages between institutions in the two regions and Sea Grant Programs through mentoring relationships and the establishment of linked programs in education, extension and research.	# institutional linkages	IR4	2 linkages	Semi-annual
SCIENCE FOR MANAGEMENT				
• Local stakeholders will be generating baselines and implementing goal-based monitoring of social and environmental variables as the basis for assessing progress toward stated ICM goals.	# sites adopting best practice	IR1	2 sites in 2 regions	Semi-annual
• Good practices in ecosystem-based fisheries and aquaculture are being applied and their impacts are being documented at the community scale.	# communities w/ best practices applied	IR1	3 communities	Semi-annual
• Testing and refining the governance hypotheses that underlie the Program will codify the knowledge that emerges from field programs and strengthen emerging good practices.	# hypothesis tested	IR1	6 hypotheses	Semi-annual
• Techniques for forecasting change within estuaries are being applied in several sites and are influencing planning and decision making within watersheds.	# estuaries	IR1	2 estuaries	Annual

SUCCESS Life-Of-Program Objectives	Indicators	Relationship to USAID SO or IRs	Life-Of-Program Targets	Frequency of Monitoring
VOLUNTEERS FOR PROSPERITY				
CRC will have provided international opportunities to at least 15 US professionals to work on technical projects overseas.	# American volunteers Person Days $ value of volunteer time	IR4	15 volunteers 300 person days $60,000	Annual
Volunteer opportunities will be initiated and coordinated through the Leader with Associates Award on a small scale and will grow in volunteer numbers as associate awards are received by the Coastal Resources Center (CRC).	# Associate award volunteers	IR4	20 volunteers	Annual

III. Year 1 Activities

A. On-The-Ground Results

In Tanzania

Task No. A.1.   Equitable livelihood development through mariculture

Scale of intervention: District level
Lead Implementing Organization: TCMP/WIOMSA
Other Partnering Organizations: IMS, Univ. of Dar es Salaam
Activity Coordinator: Maria Haws

Accomplishments To Date
Since 1997, CRC has been working in Tanzania to establish a national coastal
management program. This work has built upon the experience and lessons learned from
many field initiatives supported by a variety of donors. CRC's own work has been
supported largely through USAID Mission funds – with its current cooperative agreement
ending in July 2005. Recently, CRC was also awarded USAID Washington funding for a
two-year cross-sectoral program integrating HIV/AIDS, gender, and population
dimensions into ICM district level initiatives in Tanzania. These two projects are helping
to sustain CRC's long-term efforts in Tanzania to ensure that a national coastal
management program is a permanent feature of the governance landscape in Tanzania. In
2002, the Tanzania cabinet approved a national integrated coastal environmental strategy
and best practice guidelines have been developed for mariculture, tourism, environmental
monitoring and district action planning. The challenge now is to develop the institutional
structures, operating procedures, and capacity required for the program's sustained
implementation (2nd Order Outcomes). This requires building institutional capacity at the
district level to carry out the implementation of the national strategy. Toward this end,
three districts – Mkuranga, Pangani and Bagamoyo – have already adopted ICM action
plans. (The Bagamoyo area has been identified as a nationally important marine
biodiversity area by the World Wildlife Fund (WWF) and is being evaluated as a World
Heritage Site). District ICM committees have been formed and staff designated to
coordinate action plan implementation. In these districts, most of the enabling conditions
necessary to achieve rapid progress on Second and Third Order outcomes (changes in
behaviors, social, economic and environmental improvements) are present.

Of particular relevance to Year 1 activities mentioned below is the establishment of
national mariculture development guidelines and a seaweed development strategy. Both
of these nationally based non-regulatory policy instruments present a framework for
action at the local level. In addition, this provides an opportunity to demonstrate how
they can be applied in the filed and scaled up for more widespread adoption along the
coast.

Task Description
The main goal in the Tanzania program field site will be livelihood development through expansion of household mariculture activities in coastal communities. The priority for year 1 is to scope out the life of Program results anticipated at this field site. Preliminary targets will be set for Year 1 and life of project activities in the districts of Mkuranga and Bagamoyo as well as for activities that will be carried out in Zanzibar (e.g. number of households developing mariculture activities). We develop the specific strategies necessary to carry this out (e.g. types of mariculture that will be the emphasis of the extension program and local institutions that will delivery extension services to the targeted beneficiaries). Our general strategy to achieve Life-of-Program (LOP) objectives for the Tanzania pilot sites is to deliver an integrated package of extension services in support of the three district action plans. This will include provision of technical and business support services to groups of mariculture farmers on culture technology and post harvest handling as well as in the form of micro-financing, and training on entrepreneurship and marketing assistance. In addition, strategies for how to utilize pilot demonstration farms to promote adoption of finfish, seaweed farming, and bivalve culture will be developed.

While other types of services and activities are anticipated in future years, mariculture activities will be the emphasis in this pilot site in Year 1. The Leader Award will support activities in two mainland districts - Mkuranga and Bagamoyo - given their ease of access and proximity to Dar es Salaam – as well as in Zanzibar where the Institute of Marine Science and WIOMSA have their main offices. District ICM action plans contain a multitude of objectives and activities and not all actions can be supported by the leader award. While the types of activities supported over the life of the Program will likely vary, our initial emphasis will be on activities related to livelihood development in mariculture. In Mkuranga, the emphasis will be on brackish water finfish culture, in Bagamoyo, on seaweed farming, and in Zanzibar, on culture of the culture of pearl oysters. We believe these activities have the greatest probability of impacting the largest number of households in these districts and therefore will contribute to the Tanzanian government priority of poverty alleviation. In addition, by emphasizing livelihood development, we believe such early and concrete benefits realized by local people will generate the constituencies and support needed for more long term actions and those that may not as quickly or easily show direct social and economic benefits.

The program will coordinate closely with the USAID mission in Tanzania and to the extent possible, these activities will be linked to the specific Strategic Objectives on the mission country strategic program. The Program Director will keep the mission appraised of Program activities through regular communications. The USAID mission has already been consulted concerning site selection for leader funded activities and is supportive of the locations that have been chosen. This includes informing the USAID mission of international travel conducted by program staff and consultants, and making staff available to brief missions on program status and opportunities. The Mission will also be furnished with copies of semiannual and annual program reports and workplans.

Year 1 Task Objectives
In all of the following activities, strict attention will be paid to helping the districts link their actions to the national ICM strategy.

- Complete a governance profile including both a hind cast and a definition of future goals and strategies for the district.
- Develop a monitoring framework for the district using the CRC Order of Outcomes Framework with specific reference to mariculture.
- Assist the districts to prepare a mariculture implementation proposal for mariculture elements of their existing ICM Action plan.
- Develop a strategy for delivering extension support services in mariculture through local institutions.
- Develop the capacity of local personnel to provide a package of mariculture and fisheries extension services through attendance in the first regional training course and by using the Tanzania field site as the training practicum site.
- Establish pilot demonstration farms for milkfish, seaweed and pearl culture farming in the three site locations.
- Provide technical support services to groups of farmers on finfish culture technology and post harvest handling; and business support in the form of micro-financing, training on entrepreneurship and marketing assistance.

Task Milestones, Deliverables (in Bold) and Schedule

Extension service delivery strategy including utilization of pilot farms completed (Haws TDY)	February, 2004
Training course on extension methods and governance baselines	March , 2005
Detailed workplan for the filed site including specific life-of-Program objectives and, monitoring indicators and targets	**March, 2005**
Grant to a local institution to provide extension services, and establish demonstration mariculture farms in Mkuranga, Bagamoyo and Zanzibar	April, 2005
Governance baselines, monitoring and adaptive management plans for each of the three field sites	April, 2005
Workshop on implementation grant preparation and lessons learned from ICM action plan implementation	May, 2005
Completed proposal approved by District Council and SUCCESS	June 2005
Training on seaweed/milkfish/pearl farming conducted	July, 2005
Reflections and review of extension services and district grant implementation outcomes and lessons, Year 2 field site action planning	August, 2005

Budget: $132,107

In Nicaragua:

Task No. A.2   **Livelihood development through mariculture diversification and sustainable fisheries management of the blood cockle**

Scale of intervention: Municipal level
Lead Implementing Organization: CIDEA
Other partnering organizations: The EcoCostas-CRC regional network for assistance in governance baselines and design/delivery of training courses; the Pacific Aquaculture and Coastal Resources Center at the University of Hawaii and the Sea Grant network as partners in the design and early delivery of a diversified mariculture strategy.
Activity Coordinator: Maria Haws

Accomplishments to Date
CIDEA is an operating unit within the University of Central America. It began as a five-year project, initially funded by the Japanese development agency, and has evolved into a center with several laboratories at the University and a field station at Puerto Morazan. CIDEA was able to raise approximately $1 million over the last four years to support activities on campus and in the Gulf of Fonseca. CIDEA also was a primary recipient of USAID post-Hurricane Mitch reconstruction funding and successfully implemented a Sea Grant extension initiative as part of that effort. CIDEA employs three extension agents and works closely with marine and coastal resource users in the Gulf. Since the mid-1980's, shrimp aquaculture has grown to be one of the most important sources of income in the Gulf region of Nicaragua. By 2002, approximately 9,000 hectares were in shrimp aquaculture – with approximately 4,000 hectares operated by large producers and about 5,000 hectares operated by 130 shrimp cooperatives. On average, there are 13 associates in each cooperative with a total involvement of approximately 1,200 families. Despite CIDEA's efforts to assist small-scale shrimp producers, a growing number of issues has made it clear that shrimp farming at the artisanal scale is not viable. Small shrimp farmers have difficulty accessing loans, often face high interest rates, have limited financial management capacity, high input costs, and excessive fees for bringing shrimp to the sole processing facility that sets the local price for shrimp. These factors, combined with falling prices for shrimp on world markets, have made the cooperative shrimp farms unprofitable. Therefore, farms are being sold to the foreign-owned, large-scale operators or are being abandoned. CIDEA has concluded that a diversified mariculture industry for small pond holders that is less dependent on shrimp farming is necessary.

Task Description
By partnering with the SUCCESS Program, CIDEA will expand its extension services to include demonstration projects that will allow shrimp farmers to diversify their fishpond crops so they become lees dependent on shrimp farming. Shrimp farming is becoming a less and less viable economic opportunity for small-scale producers so alternatives must be found. Activities will include training in small business management to help farmers diversify their income sources, and to establish a farmer school program. The core activity will be to develop a diversified community-scaled mariculture strategy targeted at indigenous estuarine species in demand in local markets. At a recent meeting of the

leaders in the emerging Latin America Sea Grant-like network, the blood cockle was identified as a promising candidate along with several estuarine finfish species. The blood is a difficult species to raise in brackish water ponds and therefore a sea ranching strategy – linked to a sustainable wild harvested fishery - will be explored. The strategy to achieve LOP objectives for the Nicaragua incubator site will be similar to Tanzania, by delivering an integrated package of extension services in support of the activities based in Puerto Morazan. While a variety of services and activities are anticipated, mariculture activities will be an important emphasis in this initial year.

The program will coordinate closely with the USAID mission in Nicaragua and to the extent possible, these activities will be linked to the specific Strategic Objectives on the mission's program. The Program Director will keep the mission appraised of Program activities through regular communications. This includes informing the USAID mission of international travel conducted by program staff and consultants, and making staff available to brief missions on program status and opportunities. The Mission will also be furnished with copies of semiannual and annual program reports and workplans. We will also coordinate activities with respect to IDB funded activities in the Gulf of Fonseca. The priority for year 1 is to undertake a scoping activity to more carefully detail out the life of Program results anticipated at this field site, including targets, and develop the specific strategies necessary to carry this out.

Year 1 Task Objectives
- Complete a governance profile including both a hindcast and a definition of future goals and strategies for each district.
- Develop a monitoring framework using the CRC Order of Outcomes framework. Define mechanisms to practice adaptive management at the district level.
- Develop a strategy for delivering extension support services in mariculture as an expression of good ICM practice.
- Develop the capacity of extensionists associated with CIDEA and, potentially with personnel in other institutions active in the Estero Real, to provide a package of services to impoverished communities whose quality of life and livelihoods are directly dependent upon the goods and services that flow from this estuary.

Task Milestones, Deliverables (in Bold) and Schedule:

Prepare a governance baseline of the Puerto Morazan area in the context of recent governance efforts at larger scales	February, 2005
Prepare a scan of existing mariculture initiatives in Central America to identify lessons learned and potential training materials	February, 2005
Conduct initial training course and:	March, 2005
• confirm initial targets for extension services	
• **develop an M and E framework for this site**	
• **Make training modules available through the** KM system	
Detailed workplan for the filed site including specific life-of-Program objectives and, monitoring indicators and targets	**March, 2005**
Seek Sea Grant mentors for extension teams through Fulbright Senior Expert program and volunteer programs	April, 2005

Award small grants for pilot implementation of extension services at the two sites	April, 2005
Review progress and apply adaptive management practices at the second training course	Nov – Dec 2005
Progress report to USAID	

Budget: $101,308

In Ecuador

Task A.3   **Sustainable livelihood development through improved management of the blood cockle fishery in Comijes.**

Scale of intervention: Municipal level
Lead Implementing Organization: University of Hawaii at Hilo
Other partnering organizations: The EcoCostas-CRC regional network for assistance in governance baselines and design/delivery of training courses, and Sea Grant on training.
Activity Coordinator: Maria Haws

Accomplishments to Date
Ecuador was one of three countries targeted by the USAID/CRC Coastal Resources Management Program initiated in 1985. Ecuador's national Coastal Resources Management Program (PMRC) was launched by Executive Decree in 1989 and continued to receive support from USAID and CRC through 1993 when a major loan to support an initial phase of implementation was negotiated by the government of Ecuador and the InterAmerican Development Bank (IDB). CRC, primarily through its partner NGO EcoCostas, continued to support the program through the first IDB loan and during the three-year gap between this and a second IDB loan that becomes operational in early 2005. Recent efforts have included a macro-zoning" initiative that: 1) has set – in consultation with local stakeholders – the development and conservation priorities for each of the coastal provinces, and 2) has generated consistent sets of GIS maps as a basis for further planning and management at the municipal and provincial scales.

In November 2004, EcoCostas designed and implemented a training session for the staff responsible for implementing the work funded by the second IDB loan. An earlier decision was made – at the May 2004 meeting of the founding leaders of a LA regional university network modeled on the U.S. Sea Grant approach – that the focus of this training would be on diversified mariculture at the community level. This training will be a collaborative effort between the Polytechnic University of the Coast (ESPOL) -based mariculture center (CENAIM), CIDEA at the University of Central America (UCA), based in Nicaragua and the aquaculture center at Zamorano Agricultural College in Honduras.

Through a grant from the Tinker Foundation in the late 1990s and current support through the EcoCostas-CRC regional network funded by the Swiss Avina Foundation, CRC has supported activities in Galapagos. This has included an analysis of the many problems facing management of the recently created marine reserve surrounding the islands. Our partners in the PMRC, the Galapagos and CENAIM all have a strong interest in collaborating to achieve the goals of the SUCCESS Program.

Task Description
The Ecuador on-the-ground results will focus initially in the community of *Comijes* located along the northern coast of the country. At this site there is an extensive wild

fishery for the blood cockle that is as yet unmanaged. The strategy in Ecuador will parallel very closely the activities in Nicaragua. Assisting small-scale harvesters of the blood cockle (usually a female dominated activity) to sustain and enhance harvests that they depend on for food security and income generation. In order to achieve LOP objectives for the incubator site, integrated package of extension services will be delivered to the selected community. This will include provision of technical and business support services for diversified mariculture, as an expression of coastal management good practices. The Program will coordinate closely with the USAID mission in Ecuador and to the extent possible, these activities will be linked to the specific Strategic Objectives on the mission's program. The priority for year 1 is undertake a scoping activity that more carefully details the life of Program results anticipated at this field site, including targets, as well as develop the specific strategies necessary to carry this out.

The program will coordinate closely with the USAID mission in Ecuador and to the extent possible, these activities will be linked to the specific Strategic Objectives on the mission's program. The Program Director will keep the mission appraised of Program activities through regular communications. This includes informing the USAID mission of international travel conducted by program staff and consultants, and making staff available to brief missions on program status and opportunities. The Mission will also be furnished with copies of semiannual and annual program reports and workplans.

Year 1 Task Objectives
- Complete a governance profile including both a hindcast and a definition of future goals and strategies for the site.
- Develop a monitoring framework using the CRC Order of Outcomes Framework.
- Define mechanisms and partners to practice adaptive management at the municipal level.
- Develop a strategy for delivering extension support services in mariculture, fisheries or tourism as an expression of good ICM practice.
- Develop the capacity of extensionists to provide a package of services to impoverished communities whose quality of life and livelihoods are directly dependent upon the goods and services that flow from local coastal ecosystems.

Task Milestones, Deliverables (in Bold) and Schedule

Prepare a governance baseline of the site in the context of recent governance efforts at larger scales	February, 2005
Participate in an initial training course and: • confirm initial targets for extension services • develop an M and E framework for this site	March, 2005
Detailed workplan for the filed site including specific life-of-Program objectives and, monitoring indicators and targets	**March, 2005**
Seek Sea Grant mentors for extension teams through Fulbright Senior Expert program and volunteer programs	April, 2005
Award a small grant for implementation of extension services at the site	April, 2005
Review progress and apply adaptive management practices at the	August., 2005

second training course	
• **Progress report to USAID**	**September, 2005**

Budget: $106,509

B. Regional Training

Accomplishments To Date
Coastal management has been practiced in selected places around the world for over three decades. And, as the number of coastal projects and programs has increased, so too has the number of training courses that target the coastal practitioner. Unfortunately, too often these courses are designed as "one-off" events which fail to link well – if at all – to real issues and actions on the ground or to the specific changes in thinking, behavior, and skills needed to address the fundamental issues and driving forces that are pushing many coastlines to increasingly unsustainable forms of development. The SUCCESS Program will avoid this pitfall. In fact, it is difficult to segregate the SUCCESS Program's training events from its demonstration projects since much of the associated technical assistance, mentoring, design and adaptation of ICM strategies and interpretation of monitoring data will be integrated into the curriculum of these training courses. In addition, core participants for the first course will be individuals involved directly with the implementation of the field site activities.

For over fifteen years, CRC has been designing and delivering coastal management training courses that target developing country participants. A hallmark of the Center's training program is its focus on linking course content to the knowledge, skills and attitudes needed by practitioners to succeed in their work on the ground. The CRC training portfolio includes local and national level courses, as well as regional and international courses ranging from two days to five weeks. Some of these have focused on a specific issue/topic area within coastal management, while others have provided training across a diverse range of issues that comprise ICM. To date, CRC has trained hundreds of alumni in over fifty countries and has earned an enviable reputation for designing and delivering training courses that not only provoke thinking on the bigger, global issues that surround coastal ecosystem governance, but that also provide useful skills for application at the ground level. CRC has partnered in both East Africa and Latin America to deliver many of these courses. One of these, the *Learning and Performing* course jointly delivered by CRC and WIOMSA in East Africa, incorporates many of the elements of the training model used in the SUCCESS Program – i.e. modules of courses with time between each to apply classroom training to on-the-ground practice; a suite of practice and professional and project management skills building; active mentoring; a small competitive grants program, etc. The strength of the regional training element of the SUCCESS Program, however, lies in the fact that CRC's partners – the University of Hawaii, WIOMSA, and EcoCostas – also bring extensive experience and skills in training and extension, some of which is highlighted in the following. The leader award is not supporting CRC's flagship training course, the Summer Institute, which is held in Rhode Island every other year, as this is now a self-sustaining program. However, this course will be integrated into the ICM certification program that is proposed.

East Africa:
In addition to the *Learning and Performing* course mentioned above, WIOMSA has been the pivotal player in designing and delivering a suite of regional training courses on marine protected areas (MPAs) – the first of its kind to be organized in the region. One or

more of these courses were conceived, designed, and delivered in partnership with the Coastal Zone Management Centre (CZMC) of the Netherlands and the Institute of Marine Sciences IMS) at the University of Dar es Salaam together with the Kenya Wildlife Services (KWS). The course(s) was a response to the necessity and urgency to address the lack of trained personnel to plan and effectively manage MPAs in the region. A lack of trained personnel is a major constraint to effective management of MPAs – even when financial resources and other support are available.

Latin America:
In the 1990's CRC and ESPOL partnered to offer a series of two-week courses on the principles and practices of ICM that attracted participants from throughout Latin America. Many of today's leaders for ICM in Brazil, Uruguay, Mexico, Colombia and elsewhere attended this course and say it had a major influence on their careers. ESPOL built upon these training courses to develop a Masters Program in Coastal Management during the initial implementation phase (funded by an IDB loan) of Ecuador's national coastal management program (the PMRC). This Masters Program was offered as a continuing education program targeted at the senior staff of the PMRC. Today, a variety of short-term courses continue to be offered by CENAREC, the ESPOL Center for Integrated Coastal Management. CRC's partner NGO, EcoCostas, has itself offered, or contributed to, a variety of training courses over the past five years. Many of these have been for professionals associated with the coastal management program in Ecuador. For example, in late 2004, EcoCostas delivered a series of introductory courses for the newly hired staff that will administer the second loan in support of the PMRC. Emilio Ochoa, the Executive Director of EcoCostas, has also co-taught courses with CRC and other partners on aquaculture and ICM good practices in Mexico and Central America. He also taught an "Introduction to ICM" course for Peace Corps Volunteers assigned to Latin America.

Task No. B.1 **Development of a regional capacity building strategy and implementation of initial courses prioritizing on-the-ground field site participants and needs in mariculture extension**

Scale of Intervention: Regional
Lead Implementing Organization: A team of CRC, WIOMSA, EcoCostas and UCA
Other Partnering Organizations: University of Dar es Salaam
Activity Coordinator: Lesley Squillante, Coastal Resources Center

Task Description
Provide technical, business management, and professional skills training to ICM professionals who are part of the SUCCESS network in East Africa and Latin America and to other ICM practitioners in these regions. In the first year, the substantive focus on this training will be on mariculture – in Tanzania on seaweed and finfish farming and in Latin America on blood cockle or milkfish. Delivering a successful training will require conducting solid needs assessments, successfully marketing and recruiting for the courses, developing curricula that links to the practical needs/issues on the ground in the network sites, and identifying skilled regional trainers to serve on the training team. In parallel, two other efforts will complement this training. The first is the development of extension bulletins. These will not only draw from the first training but will be used as resource materials in future courses. These bulletins and others that will be produced in following years of the SUCCESS Program will comprise an extension bulletin series. The second complementary effort is an assessment of the regional need for and interest in a series of courses that lead to a certification in ICM. All of these capacity-building activities will have strong links to the activities on the ground at the demonstration field sites and will both draw from and feed the knowledge management systems and the networks.

Year 1 Task Objectives
By the end of Year 1, we expect in-country extension capabilities will be in place and operative on key ICM topics – with a focus on mariculture –, particularly at the SUCCESS field sites, as evidenced by:

- Deliver two courses in each region targeted at participants from Program sites (although open to others from region)
- Research demand for and feasibility of an ICM certification program in both regions
- If research indicates strong feasibility, establish design of certification program
- Identify and secure in-region training partners (individuals and institutions)
- Establish design for extension bulletin series (may be limited to electronic series)
- Disseminate training materials through the SUCCESS knowledge management system

Task Milestones, Deliverables (in bold) and Schedule

Identify LA co-trainers and with CRC/UHH/Strategic Partners design curriculum for first LA course Design and develop materials for first LA course	February - March 2005

Identify EA co-trainers and with CRC/UHH/Strategic Partners design curriculum for first East Africa course	February – April 2005
Research demand for and feasibility of ICM certification program	February – June 2005
Draft position paper with recommendation for ICM certification program	**June 2005**
Deliver first EA course	**July 2005**
Disseminate training materials from LA and EA first courses	July 2005
Produce design for extension bulletin series	July 2005
Develop action plan to fund and design certification program (if research study indicated high demand and feasibility)	July 2005
Deliver the first LA course	**July, 2005**
Identify co-trainers and with CRC/UHH/Strategic Partners design curriculum for second East Africa and LA courses	August 2005
Deliver second EA and LA course	**September 2005**
Disseminate training materials from LA and EA second courses	September 2005
Identify potential trainers and training curriculum from the LA and EA networks for inclusion in Summer Institute 2006	September 2005

Budget $208,616

C. Regional Networks and Knowledge Management

In Latin America

Task No. C.1. <u>Development of a web-based knowledge management system</u>

Scale of the Intervention: The Latin American region
Lead Implementing Organization: EcoCostas-CRC
Other Partner Organizations: The Avina Foundation, the David and Lucile Packard Foundation, and potentially TNC and the Intergovernmental Oceanographic Commission (IOC)
Activity Coordinator(s): Emilio Ochoa and Bob Bowen

Accomplishments to Date
In January 2004, the Swiss Avina Foundation funded a three-year initiative entitled "The EcoCostas-CRC Regional Network for Collaborative Learning and Action for Coastal Ecosystems Governance".   The SUCCESS Program will support this network – composed initially of 19 projects and programs in nine countries – in achieving the following:
- Strengthen connections between management programs – allowing energies to be pooled for collective action and greater coordination of otherwise independent management efforts.
- Promote sharing of information, technical expertise, experience and ideas on priority topics raised by coastal and marine ecosystem management.
- Improve South-South and North-South cooperation.
- Encourage field practitioners and applied researchers to better integrate their work to meet the priority needs of stakeholders and improve the transfer of technology.
- Encourage continuity, permanence and coordination among coastal extension services.

The initial focus is to document governance baselines for each participating project or program and then to monitor progress toward unambiguous goals using the Orders of Outcomes framework. This will provide the network with a common approach to characterizing the conditions in which they are operating, the objectives and strategies of their work and the progress that they make as each effort unfolds in the coming years. This information is currently being compiled following a workbook (Olsen and Ochoa, 2004) that has been the basis for workshops that draw together network members by sub-region. The baselining process will facilitate cross-program learning and provide a well-documented basis for analysis and collaborative action.

The first product generated by the network is the "Guayaquil Declaration" a statement prepared by the network members as a statement of principles and a call for reforms to how ICM initiatives are designed, administered and evaluated. These materials can be accessed through the EcoCostas web at http://www.EcoCostas.org and the CRC web at http://www.crc.uri.edu

In a parallel effort that merged with the EcoCostas-CRC network in 2004, the CRC and the NOAA Office of International Affairs have been working to launch an alliance among selected Latin American universities modeled on the U.S. Sea Grant model. This is bringing together universities with activities in the Gulf of Fonseca region (El Salvador, Honduras and Nicaragua) and mainland Ecuador to think through how the Sea Grant model can be adapted to conditions in Latin America. If additional NOAA funds are made available, the structure and operating procedures of the initial network will be negotiated in 2005 and the early actions undertaken through SUCCESS in Nicaragua and Ecuador will be linked to this initiative.

Task Description

Other donors as mentioned above are funding most of the CRC-EcoCostas network activities. The contribution of the SUCCESS Program to this initiative is to assist in the development of the web-based knowledge management system. It is our goal that this pilot system, developed for Latin America, will then serve as the foundation of web-based regional knowledge management system for East Africa.

The SUCCESS knowledge management system is designed as a web-based layered system that is demand-driven and designed to assist in problem solving and the dissemination of good practices on a wide range of coastal ecosystem governance topics. It integrates events that draw together knowledge management practitioners from each region with interactive web-based materials. The system is being piloted in the EcoCostas-CRC regional network and will initially make available the governance baselining information and analysis to all network members. The network's knowledge management elements provide for documenting, archiving and making available the Program's working and final documents in a variety of formats. Documentation is supported by electronic services including internal and external web sites, CD-ROMs, and electronic collaborative workspaces for project teams. CRC uses open source servers and software and a database-driven system for its public and restricted-access web sites. This allows project teams to upload and manage their own content, permitting information services team to focus on maintaining core systems, data bases and programming that meet the needs of different work groups. This approach is low cost, flexible and readily transferable. Another benefit of this web-based knowledge management system -–in addition to its utility to network members – will be the ability to build in systematic cross-portfolio learning and applied research activities. Through both qualitative and quantitative systematic analysis, we will be able to more rigorously test rules of thumb, conditionalities and empirically test best practice hypotheses from a global portfolio of ICM sites. Once the LA knowledge management system is up and operational, it will be adapted and transferred to the East Africa region, therefore, there will be only modest activity in East Africa occurring this year within this Program component.

Year 1 Task Objectives
- Engineer the initial elements of the EcoCostas-CRC KM system for demonstration and discussion at the second meeting of the network members in Argentina in March, 2005.

- Test, refine, and expand the system to incorporate the monitoring and adaptive management elements of the system.
- Make available to the network initial materials on the thematic topics that the network will emphasize and that are the topics of the training modules.
- Facilitate collaboration between the Sea Grant network and the emerging university network in Latin America that is modeled on this system

Task Milestones, Deliverables (in bold) and Schedule

1. Present and discuss the demonstration at the second meeting of the network members in Argentina.	March 28 – 30
1. Prepare an initial demonstration beta test site of the KM system that is launched on the web and makes available to all network members the governance baselining materials and their initial analysis.	**April**
3. Expand the web-based KM system to include the monitoring of selected on-going activities conducted by the network members as a common monitoring and evaluation process.	April - September
4. Make available in a compatible, layered, web-based system the materials generated for, and developed by the initial training courses.	**September**
5. Make available to the members of the LA regional network the materials generated in support of a Sea Grant-like program.	April-September

Budget $25,035

In East Africa

Task No. C.2. Preparation for development of a web-based knowledge management system

Scale of the Intervention: The Western Indian Ocean region
Lead Implementing Organization: WIOMSA
Other Partner Organizations: EcoCostas, the Sea Grant Network and, potentially, the SIDA/SAREC marine sciences program
Activity Coordinator: Julius Francis and Bob Bowen

Accomplishments To Date
The Western Indian Ocean Marine Science Association (WIOMSA) was established as a regional professional, non-profit, membership organization in 1993. It is dedicated to promoting the educational, scientific and technical development of all aspects of the marine sciences throughout the Western Indian Ocean region. The organization's inter-disciplinary membership consists of marine scientists (natural and social), coastal practitioners, and institutions involved in the advancement of marine science research and development. The Association's objectives are to:

- Provide a forum for communication and exchange of information amongst its members that promotes and fosters inter-institutional linkages within and beyond the region;
- Support marine research by offering research grants;
- Implement programs to build the capacity of marine scientists and coastal management practitioners; and
- Promote policy dialogue on key topics by organizing meetings and seminars on the findings and policy implications of science.

CRC has collaborated with WIOMSA since it began working in East Africa in 1996. This included a review of WIOMSA activities and accomplishments as an element of a summative evaluation of the SIDA/SAREC marine sciences program conducted in 1999 and the design and delivery of the "*Learning and Performing*" sequence of ICM training courses conducted in 2001.

Task Description
In Year 1, the web-based SUCCESS KM system will be piloted in the Latin American region. Development of a similar system – in English – will not begin until Year 2 in East Africa. However, it will be essential that as activities get underway in this region, materials be developed in a manner that will ease their inclusion in a consistent KM architecture and format. In Year 1, governance baselines and the associated Monitoring and Evaluation system will be developed in Tanzania in the same manner as in Latin America. The assembly and analysis of experience from across the region will be limited to a scan of mariculture initiatives. This will be undertaken as a collaborative effort with WIOMSA.

Year 1 Task Objectives
- Disseminate and apply the same KM architecture and data collection formats to the governance baseline and M and E process as in Latin America
- Apply the layered KM architecture to a scan of existing mariculture initiatives in the region.
- Make available training materials assembled for the initial training course in Nicaragua to those delivering and attending a similar course in East Africa. This will include some translation of materials.
- Make an initial assessment of interest in applying the Sea Grant model to a network of selected universities in the region.

Task Milestones, Deliverables (in bold) and Schedule

1. Assess the existing WIOMSA and TCMP web systems to ascertain how best to incorporate a KM system similar to the one being designed for the EcoCostas-CRC network in Latin America	April, 2005
2. Prepare templates for assembling data and conducting an analysis of mariculture initiatives in the region	May, 2005
3. Prepare for launching an English version CRC KM system in Year 2 with links to the existing WIOMSA web page.	August, 2005

Budget $0

D. Science for Management

Task No. D.1. Develop the key hypotheses concerning best practice in ICM and mariculture extension

Accomplishments To Date

Early versions of the five-step policy cycle were developed in the early 1990s as the organizing framework for CRC's international training courses offered through the Summer Institute in ICM. The policy cycle was subsequently adopted by GESAMP (1996) in its paper *The Contributions of the Sciences to Integrated Coastal Management*. The Orders of Outcomes framework first appeared in a manual for assessing progress in ICM (Olsen et al, 1999) and was further developed in a series of articles (Olsen, 2002 and Olsen 2004). The two frameworks were applied to a review of large-scale, long-term programs in coastal governance (Olsen and Nickerson, 2004) and to case studies on CRC's international programs (Olsen, ed.) published that same year. Baselining methods are being pioneered through the regional network in Latin America. An initial set of cases will be reviewed at the second meeting of the network's members in March, 2005.

In 2003, CRC joined with the Nature Conservancy (TNC) to conduct two initiatives in Latin America (Mexico and the Dominican Republic) that are designed to generate simple, robust methods for forecasting the impacts of changes to freshwater flows into estuaries. USAID's Water Team funds this work. In 2005, the two case studies will proceed through the generation of future scenarios and the development, with local partners, of monitoring protocols and action strategies designed to protect the qualities of the estuaries concerned. SUCCESS will seek opportunities to apply these methods to other sites, where possible in coordination with the

Task Description

In the first year of SUCCESS, the probing of the hypotheses and assumptions outlined in Section I of this document will be closely tied to designing the program's monitoring and evaluation plan and making it operational. The codification of existing good practices will be structured as elements of the KM system. In this first year, this will include initial elements of the fundamentals of ICM and extension. These topics/skills will be presented in the initial training courses with a focus on their application to community-based mariculture. Since the activities here are all integrated into the on-the-ground results, knowledge management and monitoring and evaluation program elements, no specific milestones, or deliverables are listed here.

Budget $12,661

E. Global Leadership

Task No. E.1. Promoting adoption of ICM best practices in global fora

Accomplishments To Date
CRC has attended global conferences and workshops on ICM and made a major influence on the framing of the initial call for ICM programs in all coastal nations endorsed at the Rio Conference in 1993. CRC also contributed to the statements that emerged a decade later from the Johannesburg Conference. CRC continues to be active in these fora and increasingly is being sought as an institution with unrivaled experience in the application of ICM principles in a wide range of settings. At the beginning of the SUCCESS Program, CRC's Director is participating in LOICZ on the design of a monitoring and evaluation framework for the ICM initiatives sponsored by the European Union and a similar effort directed at global ICM and ocean management programs coordinated by the Intergovernmental Oceanographic Commission (IOC).

Task Description
CRC and its partners anticipate continuing their participation in global activities and will be using them as fora for showcasing the results of SUCCESS as these emerge. However, we will not use SUCCESS funding to support any of the global leadership activities, hence no specific milestones or budget are listed here.

Budget $0

F. Cross-Cutting Program Elements

Task No. F.1. <u>Equity, Health, Governance and Partnerships</u>

Scale of Intervention: Global
Lead Implementing Organization: Coastal Resources Center
Other Partner Organizations: Western Indian Ocean Marine Science Association
                                     (WIOMSA), EcoCostas and the University of
                                     Central America (UCA) and others as determined
                                     by associate's awards
Activity Coordinator: Equity: Elin Torell
                                     Health – HIV/AIDS: Elin Torell
                                     Democracy/Governance: Jim Tobey
                                     Alliances/Partnerships: Jim Tobey

Past Accomplishments

<u>Equity</u>
CRC's work has always emphasized participation of stakeholders, including those who often have the least "voice" – the poor and other marginalized groups. More recently, the Center has put additional focus on ensuring opportunities for the participation of women. CRC has helped its own and others' coastal programs learn to better mainstream gender equity – from the initial design phase to the final evaluation phase of a program.

In 2000, with funding from USAID and from the David and Lucile Packard Foundation, CRC began a program (the WILD initiative or *Women in ICM: Leadership Development*) to better understand the tools and techniques for mainstreaming gender and demographic considerations in resource management programs. This effort targeted ICM and water programs in Indonesia, Fiji, the Philippines, Kenya, Tanzania, and most recently in Mali. These programs applied what was learned in the training to their work in the field, and then used that experience to produce teaching case studies. CRC will use the experience from the WILD initiative to mainstream gender equity in the SUCCESS Program and will use the WILD teaching cases in SUCCESS training courses.

<u>Health: HIV/AIDS</u>
CRC recently proposed a more holistic approach to coastal conservation and resource management in its work in Tanzania and was awarded USAID funding for a crosscutting initiative that considers issues of HIV/AIDS, population, and gender in coastal management/biodiversity conservation. The 24-month project entitled PEACE (Population, Environment, AIDS, and Coastal Ecosystems) uses experimental and adaptive-management-based actions. Project activities include but are not limited to: 1) a threats analysis that will focus on household-level socio-economic, gender, demographic and health issues – with the goal of understanding what has led to the present context and constructing future scenarios for what may happen if these current trends persist; and 2) a strategy for undertaking mitigation measures to lessen the HIV/AIDS infection rate, improve the quality of life of HIV/AIDS sufferers, and reduce the likelihood of negative

impacts on sustainable use and conservation of natural resources. Lessons learned from the PEACE project will be incorporated into the SUCCESS Program in future years.

Democracy/Governance

CRC is recognized internationally for an approach to coastal management that sees systems of decentralized and participatory governance and the successful application of the principles of democracy as the heart of successful coastal management. The policy cycle and the Orders of Outcomes framework described in Section I of this document provide guides for sequencing of actions in all field programs and evaluating results. They are central to a learning system that focuses on the connection between governance and the condition of the people and ecosystem in specific places. These methods integrate across the SUCCESSS portfolio and are a central feature of the training programs.

Alliances/Partnerships

In each country and region where the SUCCESS Program operates, there is a growing number of coastal resources management initiatives funded by national governments, business interests, NGOs, and international donors. The SUCCESS Program will inform itself of these activities and, through its regional networks and training courses, work to form alliances with initiatives with similar goals. Such alliances and more formally structure partnerships, will be designed to promote collaborative learning and, where appropriate, collaborative action. A goal of the SUCCESS Programs is to foster a long term capacity to generate the knowledge and appropriately prepared professionals that can contribute to sound coastal governance in each targeted nation and region. These will be structure as regional partnerships modeled on the US Sea Grant Program. Securing leveraged funds for such regional partnerships will be a priority in the initial years of SUCCESS.

Task Description, Year 1 Objectives, Milestones
For all of the crosscutting themes, the task is to mainstream consideration of these issues into the overall fabric and on-going activities of the field sites, network discussions, and training. As such, no additional budget is allocated to these crosscutting themes.

Budget $0

G. Volunteers for Prosperity

Task No. G.1. **Development and pilot implementation a professional volunteer program**

Scale of Intervention: Global
Lead Implementing Organization: Coastal Resources Center
Other Partner Organizations: Western Indian Ocean Marine Science Association (WIOMSA), EcoCostas and the University of Central America (UCA) and others as determined by associate's awards
Activity Coordinator: Kimberly Kaine

Accomplishments To Date
CRC has a history working with volunteers. The Center has depended upon volunteers in its Rhode Island-based program for citizen monitoring of rivers and ponds – a program that has served as a national model for similar initiatives around the country – and has used volunteers in many of its international field programs since 1985. In 2000, the Center established a formal volunteer program at its headquarters, involving these individuals – most of whom are retired professionals in a wide array of disciplines ranging from library science to education to management information systems to corporate finance – in auditing and troubleshooting systems; providing recommendations for and setup of new systems; providing financial review and analysis; assisting in the Center's training courses; and assisting with more administrative tasks such as conducting mailings, populating the Center's slide photo database, preparing pictures for uploading to the CRC website; and setting up and maintaining donor-tracking software.

Task Description
Our strategy to achieve the LOP objectives for the volunteer program will be to research other volunteer programs that recruit professional volunteers to work internationally, for example ACDI/VOCA, VEGA, Amizade, AARP and Crisis Corps. We will also make sure that the types of volunteer opportunities offered are consistent with criteria promoted by the USAID "Volunteers for Prosperity" program. Based on the outputs of this research, we will contact selected organizations to decide with which of these groups to collaborate. Next, we will develop a strategy for marketing the CRC volunteer program (above and beyond any marketing performed by our collaborating partners from the list above). Then we will develop internal policies and procedures. Policies will include a clear statement on the expenses for which the volunteer will be responsible and those for which CRC will be responsible and primary criteria we will use for prioritizing volunteer positions that may receive some SUCCESS support. Procedures will also include, volunteer job descriptions for technical volunteers, the role and responsibility of the in-country supervisor and coordinator for the volunteer(s), and procedures for assessing the process for "matching" international sites and assignments to the skills and interests of specific volunteers. Once volunteers are recruited and there is a "match" between the individual and the assignment, we will conduct an orientation – first at CRC headquarters and then at the field site. Our expectations for Year 1 are that at least two volunteers are

recruited and fielded – as we will concentrate on establishing recruitment processes and volunteer policies and procedures.

Year 1 Task Objectives
- Educate CRC volunteer coordinator, Kimberly Kaine, to begin work on this SUCCESS Program component
- Engage CRC, WIOMSA and UCA staff in the volunteer program – this includes conducting an assessment of their needs for technical volunteers and developing a write-up of potential assignments that can be "marketed" to potential volunteers
- Conduct preliminary research regarding opportunities (and benefits and drawbacks) of partnering with volunteer organizations and obtaining assistance from them on International Volunteer opportunities. This includes ACDI/VOCA, Amizade, VEGA, Crisis Corp, The Volunteer Center of RI, AARP, WINROCK, International Sea Grant Extension and the United Nations Volunteer Program, and selected faith-based organizations such as the Jesuits or Lutherans. Also, research the availability and interest of individuals who are expatriates living in country in our Program areas, and university professionals on sabbatical.
- Based on findings from the above research decide to partner/not partner with one or more of the above agencies.
- Develop a marketing strategy for the volunteer program and advertise
- Write policies and procedures for CRC's International Volunteer program (includes processes for hiring, orienting and de-briefing volunteers)
- Develop descriptions of the roles and responsibilities for the volunteer supervisors/coordinators (CRC and field-based) and expectations for the volunteers
- Implement a system for tracking and reporting volunteer hours
- Recruit, orient and dispatch first team of technical professionals volunteers
- Debrief with volunteers on return from field experience
- Evaluate Volunteer Program and provide recommendations in written report

Task Milestones, Deliverables and Schedules

CRC volunteer policy and procedures manual completed	February 2005
Initiate limited partnerships with two or three International Volunteer organizations established	March **2005**
In country and CRC volunteer needs assessments complete	**April 2005**
Marketing strategy developed	**May 2005**
In country volunteers coordinators identified	May 2005
Volunteers recruited and screened	June 2005
Volunteers oriented and assigned	**July 2005**
Volunteers debriefed	September 2005
Year 1 volunteer program evaluated with recommendations	September 2005

Budget: $14,642

IV. Associate Awards

No associate awards were made with this leader award. However, as CRC does receive associate awards, we will include a narrative summary description of those programs and their accomplishments in the semi-annual and annual workplans for the leader award. This will allow readers to see the SUCCESS Program as a whole – both the leader-funded activities as well as the complementary associate award-funded activities. In particular, the performance management plan (PMP) report on USAID indicators and the report on the life-of-Program (LOP) indicators for the leader award will ***not*** include data from associate awards. Such data will only be included in reports submitted to the missions that issued the associate award(s) and copies furnished to the CTO for the SUCCESS Leader Award.

During this first year, a key objective concerning associate awards is to inform USAID Missions about the Integrated Management of Coastal and Fresh Water Systems (IMCAFS) SUCCESS LWA mechanism. To this end, SUCCESS is cooperating with the USAID Water Team and the Global Water for Sustainability (GLOWS) Program to develop and distribute a joint SUCCESS–GLOWS flyer targeted primarily at USAID Missions and Bureaus. CRC will also develop a stand-alone flyer with information specifically on the SUCCESS Program. We expect that other short briefs or press releases will be developed over the course of the year on SUCCESS Program activities. These will highlight key accomplishments and provide visibility for the contributions being made by this Program.

V. Program Management

CRC's mission of "promoting coastal stewardship worldwide" is the foundation of all work carried out through this leader award. The primary partners and clients for this work are the people and institutions of the developing countries that participate in the SUCCESS Program. The goal is to improve the well being of these people by promoting healthy ecosystems and sustainable resource management through good governance. These people of the place will be supported by the Program's network of individuals and organizations that serve as its subrecipients, strategic partners and supporting partners (Figure 3).

The Coastal Resources Center (CRC) at the University of Rhode Island is the leader of this Agreement. In this role, CRC will maintain open lines of communication between the partners, negotiate all associate awards, inform partners of opportunities, and pursue collaborative responses. The Pacific Aquaculture and Coastal Resources Center at the University of Hawaii (PACRC/UHH) joins CRC as a sub-recipient for this award. The Program's strategic partners based in the United States include the Sea Grant Association, through the Rhode Island Sea Grant College Program; the Nature Conservancy (TNC); World Wildlife Fund (WWF); and Conservation International (CI). Regionally, our strategic partner for East Africa is the Western Indian Ocean Marine Science Association (WIOMSA). In Latin America there are two strategic partners – EcoCostas, a regional NGO based in Ecuador (regional training and networking), and the
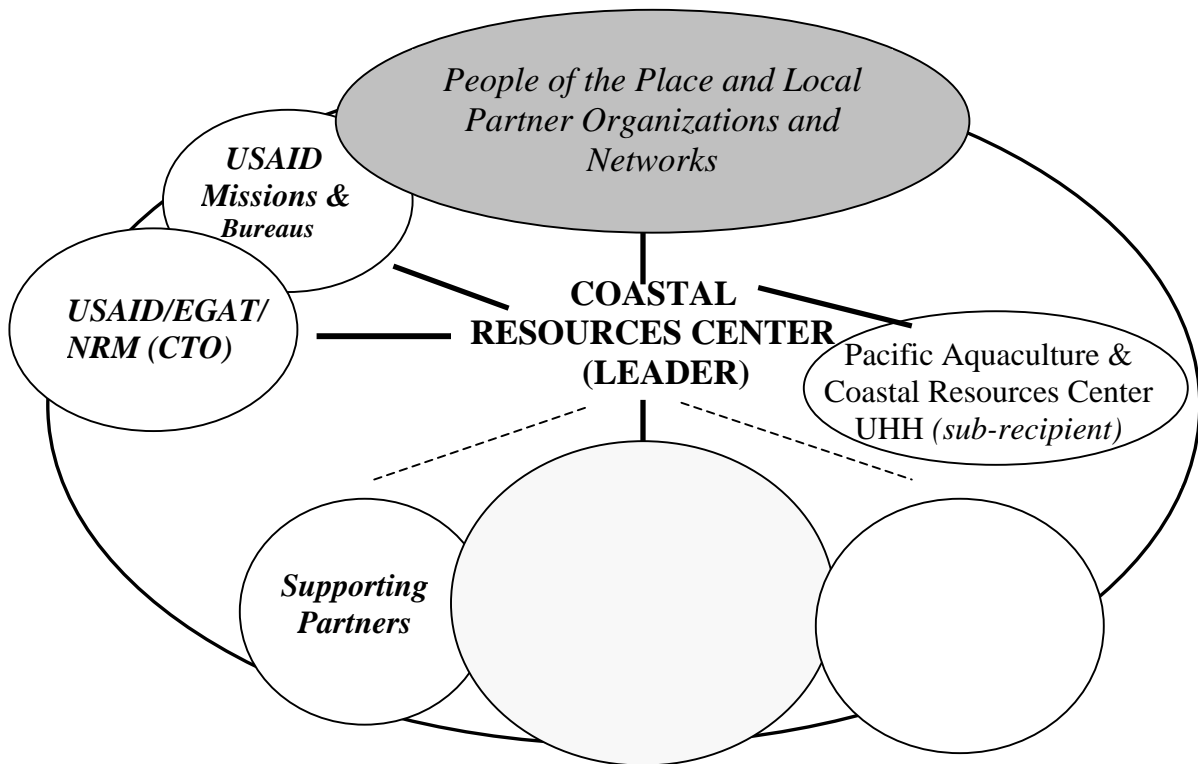

Figure 3: Organizational structure: leader, sub-recipient, strategic partners, USAID.

Universidad de Centro America (UCA), in Nicaragua (provides one of the initial field sites for on-the-ground results and for the regional Sea Grant network). In addition, we will partner with several volunteer-based organizations such as ReefCheck, Amizade or VOCA to offer professional volunteer assignments in SUCCESS Program sites in the two regions.

Key Technical Staff Positions: The proposed team for the Program's key technical staff positions has demonstrated strong, state-of-art knowledge, skills, and experience in ICM, fisheries, and aquaculture and offers multiple language capabilities including in French and Spanish. Details on the responsibilities of all key positions are outlined in Table 4.

Program Director is Mr. Brian Crawford, a 25-year international coastal management specialist based at CRC/URI. Mr. Crawford has worked extensively in the field helping design and manage large, complex ICM projects. The *deputy director at UHH* is Dr. Maria Haws, an international mariculture and fisheries expert specializing in policy, applied research and implementation in aquaculture development and community-based fisheries management. Dr. Haws also has extensive practical experience in community-based economic development and small business management. *The deputy director at CRC* is Ms. Lesley Squillante. Ms. Squillante has 14 years of international experience and expertise in capacity building, training, communications and business administration. The Program's *monitoring and evaluation specialist* is Dr. Elin Torell, who is also based at CRC. Dr. Torell has a decade of international experience in ICM, focusing on adaptive learning systems and applications.

The Strategic Partners: Sea Grant, TNC, CI, and WWF will provide technical input and assistance to the Program and will participate in the in-country activities funded by Associate Awards. Their representatives will serve on the Program advisory committee that also includes the Program's leadership team, the CRC Director, one or more URI fisheries experts and one or more representatives from USAID including the Program's CTO. The committee will meet annually to discuss the ICM problems and opportunities addressed by the Program and to identify opportunities for knowledge sharing and joint training events. The committee will provide advice on strategies, alliances and direction. The committee is not a steering committee or oversight board. The SUCCESS advisory committee will be timed to coincide with IMFAFS (Integrated Management of Coastal and Freshwater Systems) meetings scheduled in October/November of each year. USAID/EGAT through the CTO approves annual workplans and budgets.

The primary responsibility for external communications concerning the Program will be held by CRC. However, given the important presence of many partners in USAID missions and other countries, and their linkages to other international organizations and donors, the Program will ensure that there is a healthy flow of information to our partners for widespread dissemination. Partners with on-going activities and a presence in USAID countries in particular will be important in disseminating information about the opportunities presented by the SUCCESS LWA award, as well as about activities, lessons and accomplishments the Program has achieved.

Table 4: **Roles and Responsibilities of Key Positions**

Program Director   • Responsible for program execution and management   • Principal liaison to USAID/EGAT CTO and missions; responsible for reporting to USAID   • With the USAID CTO, convenes the advisory committee meetings   • Reports to the CRC Director on program activities   • Supervises deputy directors, M&E specialist, selected in-country technical staff   • Represents the Program with missions and leads negotiations for Associate Awards   • Provides technical oversight for on-the-ground program results   • Supervises activity coordinators
Deputy Director (ICM, Mariculture and Extension)   • Assists the director in program execution with emphasis on mariculture/fisheries elements   • Collaborates in the creation of USAID reports, field program designs and workplans   • Provides technical oversight for Program Results Categories– On-the-ground results in fisheries and aquaculture, and science for management   • Supervises selected technical staff and consultants   • Oversees performance on sub-agreements/ contracts   • Serves as key technical trainer and member of cross-portfolio learning initiatives
Deputy Director (Capacity Building, Communications & Administration,)   • Technical oversight for Program Results on increased capacity   • Serves as key designer/trainer for all capacity-building efforts   • Supervises the administration & finance manager, communications & training specialists   • Collaborates in preparing USAID reports   • Provides technical guidance on publications and other print communications   • Oversees performance on sub-agreements/contracts for training or communications   • Serves as team member of the cross-portfolio learning initiatives   • Assists director in program administration
Monitoring and Evaluation Specialist   • Responsible for the design and execution of monitoring plan   • Assists field project and leadership activity managers in the design of results frameworks for each Associate Award and overall program   • Conducts training/mentoring on adaptive management & learning in and across projects   • Technical oversight for Program Results concerning learning networks, and science   • Primary liaison for other cross-portfolio learning and performance monitoring initiatives
Note: Stephen Olsen, as CRC Director, oversees this leadership team.

The Program Director and at least one of the Deputy Directors, along with the CRC Director, will attend semi-annual IMFACS meetings in Washington D.C. that are held in July and December, as well as the IMFACS partner meeting held annually in October.

The Program Director will keep missions appraised of Program activities through regular communications. This includes informing the USAID missions of international travel conducted by program staff and consultants, and making staff available to brief missions on program status and opportunities. Missions will also be furnished copies of semiannual and annual program reports.

Workplans will be developed in close consultation with all program-implementing partners as well as with the USAID CTO. In particular, draft workplans will be shared with the relevant missions for comment on the respective on-he-ground results program elements with the aim of seeking their concurrence with these activities. The workplan development process will start in the July – August period with the aim of a final workplan submitted to the USAID CTO by September 30th each year. This will coincide with the submission of the annual program report.

Budget: $49,329

VI. Monitoring, Evaluation and Reporting

Monitoring and Evaluation (M&E), and its reporting to USAID will be built around the Life of Program Results (LOPR) for each of the four major program elements: on the ground results, regional training, regional networks and knowledge management, and science for management as well as the other minor program elements on global leadership, cross-cutting elements, and Volunteers for Prosperity. We will also monitor and evaluate progress on such crosscutting themes such as gender and volunteers. Our goal is to design an adaptive-management oriented M&E system.

During the first year of the SUCCESS Program, we will refine the program results and performance monitoring framework described in Section III. This monitoring framework will be applied to track yearly progress in each field site over the life of SUCCESS. It will promote learning and sharing among sites as well as within each site. The specific results, targets and indicators that will be monitored for each incubator will be developed with local participants during the early stages of Program implementation. Following the Orders of Outcomes framework, outcomes and indicators will depend on the maturity and complexity of each field project. For example, younger projects will focus on measuring indicators related to First Order outcomes.

The CRC Monitoring and Evaluation specialist will provide semi-annual technical assistance to the pilot projects in monitoring and evaluation to ensure that the results framework is properly developed and monitored. This will also ensure that similar approaches are being used to capture appropriate information for both in-Program adaptations and cross-Program learning. A portion of each early action award will be earmarked for use by local participants to develop governance baselines and to conduct monitoring activities. Each field site will have a designated M&E coordinator to ensure that information is collected on each key result area and for the indicators selected.

Key partners in the SUCCESS program (WWF, TNC and CI) have been involved in a joint monitoring and evaluation program for bio-diversity conservation that is also designed to some extent for cross portfolio learning purposes. While the measures and systems developed may not be fully compatible with the M&E, PMP and KM systems for SUCCESS, these partners will be consulted in the development of these SUCCESS systems, and where possible, common indicators and/or structures used. In addition, their experience and lessons learned in developing a multi-institutional common framework will be invaluable to the SUCCESS program effort which is attempting a similar cross-portfolio M&E design for multiple ICM site based initiatives.

Results indicators will be summed on a semi-annual basis to conform to USAID reporting requirements. Semi-annual and Annual reports will be prepared for USAID that include summary information on the indicators for each LOP Result as well as narrative descriptions and stories concerning Program progress and accomplishments. These twice-yearly reports will conform closely to the annual workplan outline.

Over the life of the program, the M&E system will be integrated with the web-based knowledge management system. This system will allow field sites and regional partners to input data and documentation into the system remotely. All such data then goes through quality control checks by the M&E coordinator at CRC. Once information is cleared and loaded into the database, any partners with access to this internal system, including key USAID personnel can generate summary reports.

Year 1 Objectives
The primary objectives this first year are to refine the monitoring and evaluation approach, as well as the specific indicators for each Program element, make the system operational, and ensure there is a rigorous process in place for both documentation and reporting as well as for learning and adaptive management. In future years, the details of the system will be set forth in an annex to each workplan. Specific tasks for monitoring, evaluation and reporting include the following:

Task Milestones, Deliverables (in Bold) and Schedule

Submit refined Year 1 workplans and life of Program objectives for on-the-ground results field sites	March, 2005
Refinement of the SUCCESS Results Framework and orientation to all regional and local partners	April, 2005
Review results frameworks of other networks (e.g. the GCP network for bio-diversity conservation) to extract models and lessons	April, 2005
Develop a workbook based on the CRC-EcoCostas workbook and initial lessons in its application	May, 2005
Develop 1st order governance baselines for each field site (steps 1 - 3 in the policy cycle)	June , 2005
Determine selected targets for outcome mapping of 2nd order outcomes and construct outcome maps	June, 2005
Choose indicators for Third Order outcomes, frequency and methods for measurement, and collect T0 baselines	July, 2005
Attend semi-annual IMCAFS meeting in Washington D.C.	July, 2005
Prepare and submit semiannual report to USAID (this will include a refined SUCCESS Program results framework)	**July 1, 2005**
Start to design the electronic web based KM system for SUCCESS results monitoring, linked to the KM system for regional networks	August, 2005
Prepare and submit Year 2 Workplan	**Sept. 30, 2005**

Budget: $93,793

VII.   Issues and Challenges

The overarching challenge for the SUCCESS Program in Year 1 is that the workplan calls for launching a complex program in two distinct regions on different sides of the planet with a limited budget and a six to nine month timeframe. While CRC has established partners and activities in Tanzania, the two sites in Latin America are places where CRC has not previously operated. The Year 1 workplan does not provide for a "planning phase" as was the pattern in both CRMI and CRMII. The very limited financial resources make it necessary to be highly efficient and leaves no room for the mistakes and delays that are typical in the initial phase of the new Program.

From a USAID Washington perspective, the top priority is to move swiftly to documentation of tangible on-the-ground outcomes at the three incubator sites. Long experience has repeatedly demonstrated that Third Order outcomes may be achieved at a small scale within two to three years once a well designed plan of action is underway. A complication is that reporting needs to differentiate between outcomes attributable to the Leader Award funding from outcomes attributable to existing programs funded by other sources. The analysis of causality, particularly for Third Order outcomes will be a challenge throughout the SUCCESS Program, especially in its early years.

The SUCCESS and GLOWS teams have a strong desire to work together and to establish connections between analyses and activities in watersheds with analyses and activities in estuaries in coastal regions. For a variety of reasons, however, it appears unlikely that the two Programs will be working in the same sites in Year 1 and it is very uncertain that associate awards will make this possible as the Program matures.

The Year 1 workplan calls for the design and delivery of training courses in both regions. Here again, the very limited budget and a constrained timeframe will present many Challenges including that it is unlikely the Program will be able to attract self-financed participants within each region on short notice.

SUCCESS partners in both regions have expressed a desire to keep open the channels of communication and exchange of experience and materials. Differences in language and culture will present challenges. The strategy of initiating training, regional networking, and knowledge management activities and Latin America and adapting them to East Africa is untested. A similar challenge lies in integrating the Program's strategic partners particularly Sea Grant – into field activities, training, and knowledge management. As of January 2005, the Program team did not yet know whether additional funds from the National Sea Grant office will be made available for these purposes in Year 1.

VIII.   Budget

This section provides details of the annual budget aggregated in several different ways as illustrated in the figures below.

Figure 4: Budget by Line Item

	USAID	CRC Cost Share	UHH Cost Share	Total
Salary	164,700	91,939	11,709	
Consultants	4,520			
Fringe benefits	71,866	36,776	2,576	
Other direct costs	29,134			
Travel	44,910			
Subagreements	298,707			
Total Direct Costs	**613,837**	**128,715**	**14,285**	
Indirect on subagreements 32.8% X 25,000 X 4	32,800			
Indirect on URI expense @32.8%	103,363	42,219		
Grand Total	**750,000**	**170,934**	**14,285**	**935,218**

Figure 5: Budget by Program Element

		USAID	Cost-Share	Total
A	On The Ground Results	339,925	51,105	391,030
B	Regional Training	208,616	37,156	245,772
C	Regional Networks & Knowledge Management	25,035	86,851	111,886
D	Science for Management	12,661		12,661
E	Global Leadership	-		-
F	Cross Cutting	-		-
G	Volunteers	14,642		14,642
IV	Monitoring, Reporting	99,793		99,793
V	Program Management	49,329	10,106	59,434
	TOTAL	**750,000**	**185,218**	**935,218**

Figure 6: Budget by Region

	LAC	ESA	Total
URI	270,775	180,516	451,291
Subagreements	179,225	119,484	298,709
TOTAL	**450,000**	**300,000**	**750,000**

Figure 7A: Travel Details

		CRC	UHH	UCA	ECC	WIOMSA
By Program Element:						
A	On the ground results	10,552	12,362	-	-	-
B	Training	23,758	10,808	1,000	7,000	7,000
C	Networking & KM					
G	Volunteers	4,500				
IV	Monitoring and Reporting	6,100	4,260			
	TOTAL	**44,910**	**27,430**	**1,000**	**7,000**	**7,000**
By Destination:						
	East Africa	24,510	14,652			7,000
	Latin America	18,900	8,518	1,000	7,000	
	Domestic	1,500	4,260			
	TOTAL	**44,910**	**27,430**	**1,000**	**7,000**	**7,000**

International travel: Assumes 7 trips to Latin America from USA; 5 trips to East Africa from USA

Regional travel: assumes total travel for UCA, ECC and WIOMSA are for in-country/regional travel

Domestic travel: 3 trips to Washington, DC; 2 trips to Rhode Island and Washington, DC

Figure 7B Tentative International Travel Schedule of CRC and UHH Travel[1]

Element	Mar05	Apr05	May05	Jun05	Jul05	Aug05	Sep05
On-the-ground results		**Crawford** Ecuador & Nicaragua				**Crawford** Tanzania	
On-the-ground results		**Haws:** Ecuador & Nicaragua		**Haws:** Nicaragua			
On-the-ground results		**Olsen:** Ecuador & Nicaragua			**Olsen** Tanzania		
Training						**Haws** Ecuador	**Haws** Tanzania
Training				**Olsen** Nicaragua			
Training					**Squillante** Tanzania		
M&E, Reporting		**Tobey** Tanzania					
Volunteers				**Volunteers** Nicaragua			

[1] Dates, traveler and purpose are estimates based on the work plan activities. All travel assumes a multi-purpose agenda working toward the common focus of on-the-ground results.   Traveler name and primary trip purpose may change based on work plan schedule and progress.

Figure 8: Leveraged Funds

As the SUCCESS Program is in start up phase, there is no estimate of leveraged funds for Year 1. However, the following illustrates the format in which future reporting on leveraged funds will be provided.

Illustrative Only

Reporting Period	Funding Source	Description	Contribution
April 2005 - September	David and Lucile Packard Foundation	Provided development of extension materials then used in the SUCCESS regional training courses and the labor to upload onto the SUCCESS knowledge management system	$5,000
"	NOAA	International Sea Grant program provided funding that allowed US Sea Grant experts to work with….	$10,000
"	University of Rhode Island (State Funding)	Provided two scholarships for Nicaraguan students attending University of Central America to attend one URI semester in…..	$10,000

Annex A

Developing a detailed monitoring and evaluation program is a major task for Year1. In subsequent workplans, this will be attached as a stand-alone statement that sets forth the purpose, rationale, indicators, methodology, baselines, targets, and actual performance measures of the SUCCESS Program.