

# Sustainable Coastal Communities and Ecosystems Program (SUCCESS)

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

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**Year 8 Workplan**

**October 1, 2011 – September 30, 2012**



**USAID**  
FROM THE AMERICAN PEOPLE



COASTAL RESOURCES CENTER  
*University of Rhode Island*



UNIVERSITY  
OF HAWAII  
HILO



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

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

**Year 8 Workplan**

**October 1, 2011 – September 30, 2012**

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

**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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## 1. Introduction

In 2004, the University of Rhode Island (URI) Coastal Resources Center (CRC) was awarded a five-year Leader with Associates (LWA) Cooperative Agreement in Coastal Management, Fisheries and Aquaculture—the Sustainable Coastal Communities and Ecosystems (SUCCESS) Program—with a total ceiling of US\$ 4,335,900. In September 2009, this award was extended for an additional five years (referred to as “Phase Two”) with annual funding estimated at US\$300,000 and a new ceiling of US\$5.6 million. During the Program’s initial five years, implementing partners included the University of Hawaii at Hilo (PACRC/UHH), the Western Indian Ocean Marine Science Association (WIOMSA), Zanzibar, Tanzania; the Center for Ecosystem Research at the University of Central America (CIDEA), Nicaragua; and EcoCostas, a Latin American regional nongovernmental organization (NGO) based in Ecuador. However, only WIOMSA and UHH continue to have a role in SUCCESS phase two. The Program also works with strategic partners—the Sea Grant Association of Universities; The Nature Conservancy (TNC); World Wildlife Fund (WWF); and Conservation International (CI)—as opportunities for their involvement arise through Associate Awards.

The first phase of SUCCESS placed a major emphasis on on-the-ground results at selected field sites in three countries (Ecuador, Nicaragua and Tanzania) along with regional and global scale activities. Major accomplishments in the first phase included:

- Approximately 220,000 hectares of marine and terrestrial biologically significant areas under improved management
- Over 14,000 hectares in areas of biological significance showing improved biophysical conditions for selected parameters
- Eleven policies, laws, agreements, or regulations promoting sustainable natural resource management and conservation implemented
- Over \$US 1.6 million in additional funding leveraged in support of Project activities
- 4,359 persons participating in coastal resources and conservation planning (45 % women)
- Approximately 500 people with increased economic benefits derived from sustainable natural resource management and conservation (64% women)
- 752 people trained (40% women) through 36 courses on natural resources management
- 87 persons actively participating in web-based regional learning networks
- 38 publications documenting impacts of best practices produced

The second phase of SUCCESS (2009 – 2014) differs from the first. Centrally funded activities in phase two are directed at global and regional leadership initiatives with a focus on completing and sustaining activities that address major issues posed by coastal change and coastal governance at global and regional scales. A second difference is in the funding level. The annual investment in phase two of the SUCCESS Program is less than half of that in phase one (US\$4 million in phase one versus US\$1.5 million in phase two). In phase two, however, the Program will be enriched by Associate Awards funded by specific USAID Missions. At the end of Year 7, three Associate Awards were negotiated for activities in West Africa with a focus in The Gambia, as well as awards in Ghana and Senegal for a combined estimated total of \$24.9 million<sup>1</sup>. These Associate Awards will provide many opportunities for applying the

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<sup>1</sup> The Integrated Coastal and Fisheries Governance Initiative in Ghana( \$10 million; Sept 15, 2009-Sept 16, 2013); The Gambia-Senegal Sustainable Fisheries Project (\$3.4 million; May 1, 2009 – April 30, 2014; The Senegal Collaborative Management for a Sustainable Fisheries Future in Senegal (\$11.5 million; Feb. 14, 2011 – September 30, 2016)

methods developed in phase one and further developing them for applications elsewhere. The global and regional themes selected as focal points for phase two of SUCCESS are:

- coastal adaptations to climate change,
- increasing the capacity to manage marine protected areas (MPAs), and
- promoting learning on topics of diversification of coastal livelihoods and effective governance.

As the phase two of the 5-year extension reaches its mid-point at the end of Year 7 and starting on Year 8, the Project team has been taking stock of progress in achieving the objectives set for the phase two activities and considering adjustments to the project strategy in the final years. Significant decisions of this review are the need to start winding up past emphasis on tools development and training of field practitioners, and ramping up advocacy and outreach targeted at decision makers and leaders at the national and sub-national level as well as within USAID and its partners, especially those engaged in implementing projects that contain aspects of the three focal points listed above. In this regard, a fourth activity component has been added to this year's workplan on communications and outreach that cuts across all three theme focal area components. The livelihoods component will complete development of several guides this year and their use for training will be supported not by SUCCESS, but by the suite of CRC's USAID supported field projects. The MPAPRO strategy is also evolving where several strategic opportunities for mainstreaming this new approach to capacity development into the global practice of protected area management are being pursued. The climate change component will also start transitioning this year with a wrap up of the development of a number of practitioner tools and a new thrust will target higher level policy makers and decision makers concerning "Coasts at Risk: Global trends, coastal change, and adaptation needs" –an effort to quantify more carefully the immediate physical, ecological and socio-economic problems within one of the most densely populated areas of the world in the face of global change, especially for some of the most vulnerable sectors of society, and why adaptation will fail unless we take greater and more immediate actions if we are to adapt in a manner that reduces overall impacts. These changes are also described more fully in the component sections.

### **1.1 Cumulative Program Accomplishments (October 1, 2009 –Sept 30, 2011)**

- Leveraged over US \$469,000 for project activities related to MPA certification, climate change, and learning
- Trained 99 individuals (30% women) in climate change and through MPA PRO certifications
- Developed 14 tools/guides/curricula, including the *Adapting to Coastal Climate Change Guide* and associated curricula and worksheets, the *MPA PRO Handbook and Assessor Guide*, and a climate change adaptation (CCA) profile template
- Produced/presented 23 "success stories" and research papers. This includes featuring SUCCESS at the United Nations Climate Change Conference held in Copenhagen in 2009; at the Global Oceans and Coasts Conference in Paris; at a SUCCESS Harvest Seminar in Washington DC; in a special issue of the Coastal Management Journal; in the World Conservation Union and WIOMSA publications; and in the final issue of the Basins & Coasts E-newsletter
- Eighteen local universities, government units, and NGOs in Africa, Latin America, and the CTI region are incorporating SUCCESS tools into their work.

### **1.2 Major accomplishments in Year 7 (FY 11):**

- Leveraged over US \$380,000 for project activities related to climate change, learning, and MPA

certification.

- Trained 41 individuals (24% women) in climate change and through MPA PRO certifications.
- Provided technical support on climate change to the ICFG Project in Ghana and the Government of Indonesia.
- Developed seven tools/guides/curricula, including field based videos on climate change, an MPA training curriculum and online tool, a CCA profile template, a RMI community vulnerability tool, and three training modules based on the CC Adaptation Guide.
- Successfully achieved having elements related to the process, guidance, and tools from the “Adapting to Coastal Climate Change” Guidebook incorporated into the work of 12 organizations in Nicaragua, West Africa, and the CTI region.
- Increased the tally of MPA PROs to 37 fully certified through two events with an additional six candidates pending further evidence submitted in the coming year.
- Strengthened partnerships with IUCN WCPA and the Convention on Biological Diversity on advancing a global initiative for protected area capacity building with a certification element Follow-up mentoring to 6 CCA participants who are implementing climate change activities in their home countries.
- Incorporated SUCCESS CCA concepts and tools into NOAA training, Pacific Islands Marine Protected Area Community guidance, and Coral Triangle Initiative (CTI) training.
- Developed first in a series of field videos capturing methods and outcomes for vulnerability and adaptation at the community level in Tanzania.
- Produced a draft Guide for Enterprise Development in Coastal and Marine Biodiversity Conservation that includes eight case studies from around the world.

Accomplishments in Year 7 that are summarized above, relative to Year 7 targets, are described in Annex A. The status of Year 7 tasks are summarized in Annex B, indicating whether specific tasks were completed, delayed or dropped. Some tasks from Year 7 are carried over into Year 8 activities described in Section 2.

### **1.3 Program Description**

The SUCCESS Program contributes to CRC’s organizational vision to promote coastal governance worldwide. The goal is to provide global leadership in integrated coastal management (ICM) in biologically significant areas through innovative approaches in a participatory, issue-driven and results-oriented process to:

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

SUCCESS provides global leadership in key issues of concern to ICM in the 21st century that include:

- Climate change impacts on the world’s coastlines and the need to develop adaptation strategies to address these impacts
- The need for innovative approaches to capacity building—approaches that go beyond one-off training and that tag capacity to proven standards of competence
- A lack of critical learning and/or dissemination of that learning on issues that are essential to achieving sustainable coastal development

- The need to scale-up on-the-ground ICM practice and results especially in the areas of sustainable livelihoods, improved governance, and sustainable fisheries and mariculture

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

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

CRC provides governments, businesses and communities with the knowledge and tools they need to make good decisions about adapting to the impacts of climate change through training, technical support and a decision and learning framework that aids in selecting measures appropriate to specific contexts. The strategies, tools and methodologies promoted by CRC are highlighted in the publication entitled “*Adapting to Coastal Climate Change: A Guidebook for Development Planners*” which was developed and published in SUCCESS Year 5. Objectives for the climate change component of the SUCCESS Program’s phase two are:

- Synthesis and learning—sharing what works and avoiding what does not—through a series of videos, adaptation guidance technical briefs, documents, an expanded web site, and participation in selected networks of practitioners
- Capacity building—empowering leaders and enabling organizations to take action—through formalized training curricula and mentoring that is strategically delivered to field-based practitioners and USAID programmers of targeted initiatives
- Providing technical assistance—helping organizations and communities apply solutions—completing the pilot demonstration and using tested methods to provide assistance to leveraged USAID program initiatives
- Situation analysis and strategy formulation—institutionalizing climate change—through a mainstreamed approach within USAID leveraged programs

In SUCCESS Year 8, CRC will focus on learning from existing programs (USAID and others) and transferring lessons to on the ground activities through coaching, short videos, and technical briefs. With a cadre of practitioners trained in Year 6 and 7, CRC will continue to leverage opportunities to mentor individuals and their teams, expanding to the Gulf of Fonseca, where colleagues from the University of Central America are facilitating a large regional project . This year’s learning will include a comparative approach of vulnerability assessment and the role of the results used in coastal programs. The USAID-supported programs that will engage in this learning and sharing process are from Ghana, Tanzania, Senegal, The Gambia and others selected by the team. SUCCESS will provide these programs with value-added support and tools, and the opportunity to exchange applied learning experiences, while at the same time leveraging a platform for longer term implementation of climate change adaptations.

### ***Increasing capacity for effective management of marine protected areas (MPAs)***

CRC is investing in formulation of a certification program for MPA professionals working to promote the stewardship of coastal ecosystems. This certification program defines standards as the benchmark against which to assess whether a professional has the education, knowledge, skills, and experience needed to effectively manage MPAs. The pilot of this certification program, the Western Indian Ocean Certification of Marine Protected Area Professionals program or WIO-COMPAS (<http://www.wio-compas.org>) is the first of its kind. It was developed in recognition that while one-off training programs and/or project-long mentoring have value, alone they are insufficient in building the capacity needed for long-term sustainable ICM, of which MPA management is just one element. The objectives for phase two are to:

- **Certify** – advance a sustainable WIO-COMPAS model program in the Western Indian Ocean region



- **Solidify** – win four additional endorsements of the program by international and/or national institutions with interests in MPA management. Additionally, seek integration of competences and certification with MPA employers’ staff appraisal and hiring processes
- **Service** – provide post-certification services to MPA PROs through networking, exchanges, knowledge-sharing and continuing education courses
- **Scale-up** – educate and build constituencies for MPA PRO program in two additional regions and/or countries

In Year 8, CRC will deliver the first Level 3: Policy and Planning Certification Event; develop a formal training course for our assessors; assess the demand for post-certification support through exchanges and targeted courses; seek formal integration with government human resources policies; assess the program experience during this first generation; and work to promote adaptation of the program in other regions.

### ***Collaborative learning***

CRC makes major investments in contributing to global and regional efforts to apply the principles of ecosystem-based governance to the diversity of issues posed by global change in coastal ecosystems. CRC promotes a learning-based approach that calls for the careful examination of the drivers of change in a specific locale and analytical frameworks designed to encourage learning across sites and at a range of spatial scales. In phase one of SUCCESS, efforts were directed at the codification of the good practices that have emerged from the practice of integrating approaches to the challenges of coastal change and to their dissemination through manuals, papers, presentations and a diversity of capacity building measures.

In its second phase, SUCCESS, will work to assemble and disseminate good practices in:

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

In Year 8, SUCCESS will finalize a guidebook for enterprise development in coastal and marine biodiversity conservation that is tailored to local government officials and practitioners; will finalize and disseminate the guidance document “*Sustainable Fisheries and Responsible Aquaculture: A Guide for USAID Staff and Partners*”; and will develop and use training modules on coastal conservation-based microenterprise development.

The Program will also continue to disseminate and apply at field sites “governance baselines” and associated methods for characterizing the capabilities of governance systems to respond to priority issues posed by coastal ecosystem change in SUCCESS Associate Award field sites—and share the team’s experiences applying these methodologies at international forums.

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

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

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

topics covered in the earlier mentioned “*Sustainable Fisheries and Responsible Aquaculture*” guide.

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

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

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

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

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

**Local and global health crises** of HIV/AIDS—by disseminating what has been learned about alternative income-generating activities that acknowledge victims’ loss of stamina for energy-demanding jobs. This includes the research that individuals with HIV/AIDS are often “driven” to destructive use of marine/coastal resources by the belief this is the only way to reduce the time required to secure their food or income through more traditional means.

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

## 2. Year 8 Activities

### 2.1 Climate Change: Mainstreaming Coastal Adaptation and Resilience

**Scale of intervention:** Global

**Lead Implementing Organizations:** CRC

**Other Partnering Organizations:** UHH, NOAA, IRG, TNC, US CTI Integrator, Ghana and Pwani/Tanzania country-based field programs.

**Activity Coordinator:** Pam Rubinoff

#### Background

Coastal people are experiencing the effects of global climate change on a daily basis. Chronic erosion, flash floods, fresh water inflow reductions to estuaries and changing fish abundance are among the impacts that have repercussions that are felt at every level of society. Increasingly, resource managers, leaders and communities are acknowledging that climate variability and change is already occurring and is compounding the impacts of non-climate stressors in coastal areas. Current impacts coupled with predictions of future change, make it critical to understand and share knowledge on how coastal managers and communities can adapt. A first step is to become more familiar with the array of tools available and those under development that can be used to address impacts, including but not limited to increasing changes in temperatures, precipitation, storm patterns, sea levels, and ocean pH levels.

USAID Global Programs such as those of the Water Team and Climate Team are actively promoting climate adaptation, and are being joined by an increasing number of USAID Missions and partners who are addressing these concerns in their portfolios and searching for ways to help their countries and regions move forward in the face of climate change.

Since 2007, SUCCESS has been supporting a USAID leadership role in coastal climate change by providing USAID Missions and partners with information, tools and techniques to mainstream adaptation to coastal climate change in various facets of their work (see Appendix A for a summary of Year 1-5 accomplishments). The SUCCESS Year 8 workplan reflects a continuation of this leadership role, with a greater emphasis on learning across programs and regions to advance appropriate local assessments and adaptation actions.

#### Year 7 Accomplishments

##### *Synthesis and Learning—Sharing What Works and Avoiding What Does Not*

- Profiles completed for 7 practitioners and their work sites revealing activities on-going (or not) in different places. This, combined with CRC field interventions in SUCCESS Associate Award countries provided opportunities to learn about climate change issues and actions across sites
- Two videos developed and disseminated to communicate climate change activities. The first is an introduction to the Climate Change Adaptation program and the second is an overview of the Tanzania Pwani vulnerability and adaptation community initiatives.
- Co-sponsored a workshop on Ecosystem-based Adaptation (EBA) with The Nature Conservancy, with subsequent follow-up meeting with US Governmental agencies (US Army Corps of Engineers, National Oceanic and Atmospheric Administration/NOAA, Federal Emergency Management/FEMA) discussing options for advancing EBA through US and International Programs.

### ***Situation Analysis and Policy Formulation—Institutionalizing Climate Change Considerations and Adaptation***

- Developed draft assessment evaluating shoreline erosion issues in the Republic of the Marshall Islands (RMI).
- Incorporated a climate lens into the planning for an RMI atoll community-based resource management plan, which has been incorporated into the final draft of a facilitator’s guide for community-based management.

### ***Training—Empowering Leaders and Enabling Organizations to Take Action***

- Six alumni of the 2010 Coastal Institute actively engaged in life coaching sessions with CRC certified coach throughout the year.
- In partnership with NOAA, international CCA training and curriculum initiated in 2008 was adapted for a U.S. audience. The first course was held in Rhode Island for Northeast coastal managers.
- Materials and experience from USAID CC Guidebook and previously implemented CCA trainings implemented by CRC contributed to a Ghana training event
- Through leveraged funding, CRC is leading a CTI regional course in CCA for 24 participants (9 women), which draws from SUCCESS and USAID Buy-in field experience, and draws upon past curricula and courses, and links with alumni from the 2010 URI-based climate change adaptation course.

### ***Technical Assistance—Helping Organizations and Communities Apply Solutions***

- Climate change vulnerability assessments and adaptation planning was initiated in USAID SUCCESS Associate Award field programs in Ghana, Tanzania, and The Gambia. Senegal efforts will be initiated over the next year.
- Leveraged activities with the Tanzania Northern Seascape (*Pwani*) project, utilized the Guidebook and other participatory rapid appraisal (PRA) methods to develop and test a community-based vulnerability assessment methodology. This method will be re reviewed and revised, and replicated in two other villages in the *Pwani* project area and will be made available to other programs as well.
- USAID Guidebook and its application in the RMI were incorporated into the climate adaptation guidance developed by The Pacific Islands Managed and Protected Areas Community (PIMPAC), and the USAID’s CTI program for Local Early Action Planning (LEAP).

### **Activities**

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

The SUCCESS program partners in RMI have requested a no-cost extension to complete several of the final products. The Facilitator’s Guide for Community Based Management (Reimaanlok) is in its final draft, with the recent addition of a revised climate adaptation element of PIMPAC. SUCCESS efforts in RMI were incorporated into the PIMPAC guidelines and will now be used as guidance for the RMI.

Year 8 will see the completion of the shoreline protection technical briefs, which are underway. These technical briefs (1-4 pages) will provide landowners and resource managers with information related to

different shoreline management/protection techniques, and the relative costs and benefits associated with each. The resource managers will then use this information to assist communities and land owners in deciding potential options to explore given current problems and the potential for increased problems that will result from future climate change conditions. A summary matrix of alternatives and their relative costs, benefits, impacts and the conditions under which each alternative is most appropriate will help decision-makers as they select options.

<b>Technical Brief Outline</b>
• Introduction - define what it is and what purpose it serves
• Environment - which alternative is best suited
• Design/installation requirements
• Benefits and costs
• Figure
• Useful resources

In Year 8, a CRC coastal geologist will review the draft shoreline field assessment report to identify ways that it can be utilized in other USAID programs, and how it can be applied immediately where CRC is already working.

**Tasks, Milestones and Schedule**

<b>Tasks and Milestones</b>	<b>Date</b>
Finalize the RMI Namdrik field report, highlighting methodology for assessing shoreline erosion and options for addressing this problem at the community level	December 2011
Final guidance materials on shoreline erosion protection and adaptation measures written, reviewed, edited and laid out	December 2011
Outreach document on Reimaanlok community-based process, with a climate lens produced (layout and publication at UHH)	December 2011

**Outputs/Products**

- Shoreline erosion assessment report (no cost extension)
- Technical guidance document for erosion and shoreline protection laid out and produced (no-cost extension)
- Document on Reimaanlok process, including a climate lens applicable to RMI and other similar environments (no cost extension)

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

Looking towards FY14, CRC and SUCCESS sees the critical need and a unique opportunity to explicitly speak to higher level policy makers and decision makers as they address “Coasts at Risk: Global trends, coastal change, and adaptation needs”. CRC can envision an FY14 activity, where evidence based on SUCCESS’s Associate Awards, together with other targeted experiences, can glean critical gaps in planning, compelling evidence that adaptation will fail unless changes occur and recommendations for advancing coastal community resilience. This can then be effectively conveyed through advocacy and outreach to leaders, decision makers, and venues through a call for change. This year, SUCCESS climate change activities will begin to transition away from practitioner tools, towards products related to learning in field programs. This will put SUCCESS in a position to formulate a strategy for follow-up and outreach through FY14.

An integrated description of efforts to address climate change and adaptation in coastal areas, within its context of non-climate stressors and system dynamics, will be prepared based upon USAID project

experiences in East and West Africa (leveraged by Associate awards in Ghana, Senegal, The Gambia, and Tanzania). Each country hosts a USAID coastal project related to livelihoods, fisheries or water among other issues together with a climate change component. The activity leverages significant FTE, research and field activities from the four country programs. Each case will follow a similar framework for analysis and will be prepared with in-country partners. They will link the situation of the resource dependent poor in coastal villages with the ecosystem wide and watershed impacts as well as national and international economic impacts. The overall objectives are:

- (1) define the scope of the challenge, what is at stake for the poor and demonstrate that adaptation and risk reduction is urgent
- (2) set out the reasons, based upon field experience and understanding of country context, that without a paradigm shift, sufficient adaption and increased resilience for the most vulnerable will not occur
- (3) propose specific approaches and actions to deal with the adaptation dilemma

In FY12 a draft of each case and review process will be completed. The cases however will not all be final. Some of the information, data, and maps will not likely be available in FY12. The cases will set out the climate impacts, vulnerability, and national context, focusing on the different themes that are most urgent in each country, and place this within a broader regional context. For Tanzania the storyline includes fickle rainfall patterns, crop failures, reduced watershed flows and hydroelectric power, energy imports, increased cost of living, and greater pressure on forests for charcoal making. In Senegal the storyline includes desertification, migration to coastal areas and landing sites, pressure on fisheries, food vulnerability and changes to the marine ecosystem and fish stocks.

In parallel with case study development, CRC will develop a strategy through FY14. This will likely include further analysis and modeling of future climate projections and their economic impacts in the four countries; development of a communications and outreach strategy at the national level and in international venues; preparation of a "White Paper" that draws from the findings and makes a call for action.

### Tasks, Milestones and Schedule

Tasks and Milestones	Date
Outline of case study, framework for analysis	January 2012
Draft case studies	June 2012
Draft synthesis across cases	September 2012

### Outputs/Products

- Draft case studies and cross case synthesis

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

In Year 7, CRC initiated its video documentation with a two-part video (approximately 11 minutes). The first part introduces the series of videos that SUCCESS will produce, with another stand-alone

#### Storyline for V & A Planning Videos

- Why does climate change matter?
- What is Pwani doing?
- Where are climate change impacts observed?
- What are people seeing? (trends)
- What assets are vulnerable?
- Possible actions
- Next steps after the V&A

video that shares an overview of Tanzania’s vulnerability and adaptation planning approach and early actions completed in two villages (see text box below). Early in year 8, the initial video will be disseminated and another short overarching video on Ghana will be completed. Additionally, CRC will produce 1-2 cross portfolio learning videos (2 short or 1 longer, totaling approximately 10 minutes) sharing the practical approaches used by our colleagues in different coastal countries to manage risk and take no-regrets actions to increase their resilience and adapt to the impacts of climate change. These “how to” videos will be targeted at practitioners, decision makers, USAID Missions and other donors. The content for this video will be gleaned from field experience, lessons learned, and critical messages revealed and shared in Task 2 above. The “how to” themes that are being considered include: review of the pros and cons of different adaptation measures or measures related to policy and adaptive capacity. Other themes might focus on specific aspects or tools —e.g., beach monitoring, community mapping, establishing a construction setback line, or examples of “retreat/hold the line/accommodate” strategies.

CRC will distribute the three videos through its YouTube channel: (<http://www.youtube.com/user/URICRC>) and [www.vimeo.com](http://www.vimeo.com), in addition to sites like Africa Adapt (<http://www.africa-adapt.net>) where CRC has already posted profiles and supplementary materials ([Tanzania](#) and [Ghana](#) and [The Gambia](#)). We will work with USAID to feature videos as well as linking to other international organizations such as the UN’s adaptation network.

CRC will contact listservs and alumni networks, and make linkages from our CRC project page. All videos will be available to our in-country partners who have indicated their interest as they expand their climate adaptation programs. These videos also serve to document the process and the learning within and across field programs.

### Tasks, Milestones and Schedule

Tasks and Milestones	Date
Dissemination of Year 7 videos	November 2011
Script, production and dissemination of 1 V&A Planning video	February 2012
Themes, scripts, production and dissemination for “How to” video (10 minutes, either one long or two short)	June 2012

### Outputs/Products

- 15 minute of video (2 or 3)

### Results Expected for objectives 1-3

Indicator	Year8 Target	Comments
3. Tools, protocols, procedures, systems, methodologies, guides, curricula, or indices developed or adapted for country and/or thematic contexts	5	4 technical briefs, 1 guide (RMI outputs)
4. Stories, articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS	6	4 Case studies; 2-3 videos

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

**Scale of intervention:** Global

**Lead Implementing Organizations:** CRC

**Other Partnering Organizations:** WIOMSA

**Activity Coordinator:** Glenn Ricci

### Background

The MPA PRO model is unique in its focus on proven on-the-job performance as evidence of competence rather than on what is learned in one-off training events. The use of standards implies a performance expectation—i.e., candidates must demonstrate a minimum level of knowledge and ability to apply skills with a level of (standard) proficiency (such as proficiency in biodiversity conservation methods). While MPA PRO offers a combination of professional development, networking, ethics and certification, the focus is on the latter.

The end goal of SUCCESS's contribution to the WIO-COMPAS program is to have a well-established certification program in the WIO region and to have support at the international level to recognize WIO-COMPAS and advocate for other regions to adopt a competence-based capacity building program. This will be achieved by staying true to the original intent and deliverables established for MPA PRO in the SUCCESS workplans. These are 3 certification levels, a continuing education component, two guidance documents for replicating the model and technical assistance to other regions interested in learning about the model. In Year 7, we focused on the certification offerings and technical assistance to other regions. The Year 8 focus will be to strengthen the WIO-COMPAS program by building a critical mass of certified MPA PROs through delivering the first Level 3 Certification for policy and planning, and engaging national and international partners to formally assess the impact of WIO-COMPAS and the opportunities for greater government institutionalization.

We now have 37 certified MPA PROs of which six are female. This tally (total certified and gender balance) would seem low in a traditional training program, however certification is not training as it is far more rigorous and focuses on leaders at all levels. For a voluntary program, our MPA PROs are having a significant impact on the attitudes and career guidance for their peers. Second, there are few women in the protected area systems of Western Indian Ocean (WIO) region. For those few women who are working in the region's MPAs, we are increasing our efforts to target them for application to the program, including using our existing female MPA PROs to champion the program and mentor any new female candidates through the process.

Based on our experience and the overall stated objectives of SUCCESS for MPA PRO a refined strategy is being developed with partners. It's becoming apparent that we must focus on the profession as a whole to link competencies, formal training, certification, networking, ethics and advocacy. This could be achieved through a professional association of MPA staff or strong national MPA agencies. It's unlikely that certification can stand on its own. Existing Protected Area Professional Associations could take on this larger role or leave it to environmental NGOs and national governments. CRC is currently engaged in three linked strategies to explore how this vision might take form.

#### 1. Strengthening the WIO-COMPAS Program.

WIO-COMPAS must show an impact in order to motivate national governments, MPA professionals and other regions to adopt the MPA PRO model. The certification of individuals has been a success – Level 3 certification will happen in 2012 to get top level buy-in. Now, the



focus is on the sustainability of the program. We are testing new methods for conducting the certifications, including the combination of a protected area site evaluation with the assessment of its staff. This may reduce the costs and provide an MPA with a clearer overall capacity building strategy. The other approach we will be pursuing is to work with national MPA agencies to incorporate the competences into their human resources policies.

2. Regional and national adoption of the MPA PRO Certification/Competences to maintain a bottom-up support/leadership.

There is considerable interest in adopting the certification model on several fronts outside of the WIO Region. Most programs would use the competences to drive their training programs, while more mature programs could use the certification element for motivation of staff.

- a. West Africa – a Ghanaian Government official who observed the L203 Certification Event concluded that the competences are needed to drive their capacity building program for their younger MPA program
  - b. Costa Rica – Presented the model in 2009 with strong interest though no funds
  - c. Indonesia – the model was presented to the Government and NGOs this year. They are interested in our model to apply to their existing capacity building program. There has been no further responses since our first meetings.
  - d. Mexico/Colombia – Mexico is interested in training courses. Colombia is interested in using the model to influence the design of their newly formed protected area agency. There is the potential for Mexico, Colombia and Costa Rica to start a Latin America regional certification program if the GPPAT program discussed below moves forward.
  - e. Caribbean – some individuals have shown interest but no organized institutional leadership has formed.
3. Global recognition of the need to professionalize protected area management.

Some countries appear to be waiting for international support and recognition of the certification concept before moving forward. Therefore a third strategy of MPA PRO is to advance the recognition and promotion of the certification concept at the global level. We are focusing on the strengths and energy of our major endorser – IUCN WCPA. They have asked us to join their new initiative on Global Partnership for Protected Area Training (GPPAT). Eduard Muller at the University of International Cooperation, the biggest degree program for protected area management in Latin America, is the prime sponsor of GPPAT. Their focus is on open source courses and accredited training institutions that would compete for students funded by a global scholarship fund. GPPAT offers MPA PRO the opportunity to expand to terrestrial protected areas, an area where the majority of the professionals reside. It also allows us to link formal training and certification through competences.

While there is strong interest in certification, we also have challenges in overcoming some hurdles. Existing regional networks see certification as a potential conflict with their roles. Governments are concerned that certification will add more work to their already full workload. Finally, some want to build their own program. While most colleagues support the concept of certification—whether through adopting the MPA PRO model or building their own, the limited availability of the resources needed to

bring people together and launch events is a key limiting factor to making advances with certification.

## **Year 7 Accomplishments**

- Delivered Level 2 Certification in Kenya for five candidates—four were awarded MPA PRO certification and one government official from The Gambia attended as an observer to assess whether the program might expand to that country/region
- Delivered Level 1 Certification in Tanzania for nine candidates, all of which were certified. An assessor-in- training attended the event as well
- Increased the tally of MPA PROs to 37 fully certified with an additional six candidates pending submission in Year 8 of further evidence that they have met standards
- Assessment consultants confirmed the strength of the WIO-COMPAS assessment model and gave recommendations for Level 3
- Promoted the MPA PRO model to government officials in Indonesia and the Philippines as well as to NGOs in Malaysia and Indonesia
- Updated the WIO-COMPAS website to highlight the MPA PROs and Assessors
- Drafted an article on the impact of certification systems for capacity building and conservation, which drew on data on the WIO-COMPAS candidates
- Produced the MPA PRO brochure in Spanish for Latin America and the Caribbean
- Strengthened partnerships with IUCN World Commission on Protected Areas (WCPA) on advancing competences for MPA professionals linked to their initiatives
- Integrated the MPA PRO competences with two MPA training courses offered in the WIO region
- Drafted the competences and assessment instruments for Level 3 certification, setting the stage for training of assessors and scheduling a yet to be scheduled Level 3 certification offering
- Evaluated the impact of WIO-COMPAS on the MPA PROs one year after certification and produced a summary article on the findings

## **Year 8 Task Objectives**

In Year 8, specific efforts will focus on completing the original model (the three levels of certification) and wrapping up the first generation of activities through a series of assessments with our leading partners. This will serve to reflect on our strategy and outcomes to date as well as lay the foundation for adaptations to the model and sustainability strategy for post-SUCCESS funding. SUCCESS will fund the following activities as part of our larger MPA PRO strategy:

***Certify***—complete the Level 3: Policy and Planning certification offering and develop an assessor training course

***Service***—promote our certified MPA PROs through websites and media, assess the potential for an exchange program and evaluate the impact of the program

***Solidify***—win four additional endorsements of the MPA PRO program by international and/or national institutions with interests in MPA management

***Scale-up***—educate and build constituencies for the MPA PRO program through global partnerships and a formal assessment of the first generation of our certification efforts

### ***Objective 1: Certify***

To advance toward the goal of a fully developed program that is conducting all three levels of certification, WIO-COMPAS will run the first Level 3 – Policy and Planning Certification in English for the WIO region. Assessors will be trained at the Event to reduce time demands and cost. An assessment expert, who reviewed our program last year, will be hired to train the assessors as well as to be one of the assessors at the Level 3 Event. An assessor training course will be developed for Levels 1 and 2. A training event may occur in 2011 if scheduling allows and funding from Sida is secured. Certifications should continue to be offered at Levels 1 and 2 so as to increase the numbers of MPA PROs, provide new assessors with experience and obtain buy-in from governments. There are no funds allocated towards this effort thus all events are contingent upon full funding from alternative sources. For example, NGOs in Madagascar have requested a Level 1 certification and training of domestic assessors in hopes of reducing costs of the program. We will survey country leaders to determine other opportunities for additional certification events at Level 1 and 2. It appears that while demand at Level 2 has tapered off, there is now increased demand for the Level 1.

### Tasks, Milestones and Schedule

<i>Tasks and Milestones</i>	<i>Date</i>
Produce an assessors' training course and manual	February 2012
Conduct Level 3 offering, including a training of Level 3 assessors during the event (regional)	December 2011 – March 2012
Produce Level 3 Assessor Guidebook	January 2012

### Outputs

- Refined Level 3 Assessors Guidebook and assessment materials
- Manual and curriculum for training assessors at levels 1 and 2

### *Objective 2: Service*

Post-certification services are an important aspect of the MPA PRO model and that program element needs to be strengthened now that we have almost 40 MPA PROs. The goal is to improve the networking and sharing of knowledge between MPA PROs within the region and one step we will take to help make this happen is by posting MPA PRO case studies on the program's website. We will also assess exchange programs to determine interest, methods and opportunities for extended visits between MPA PROs. This is seen as an incentive to the MPAs – i.e., by having certified staff they get access to on-site technical assistance. Governments and MPA professionals internationally are asking for evidence related to the impact of WIO-COMPAS on MPA PROs. Toward that end, we will continue to share publically all post-certification evaluations as these ask this question directly of the MPA PROs. In preparation for providing continuing education credits to our MPA PROs, we will be analyzing our database of applicants to determine skills gaps that could be addressed through targeted training. We will also survey our MPA PROs to identify unknown emerging needs and trends that could assist MPA PROs in advancing to the next level of their career development.

### Tasks, Milestones and Schedule

<i>Tasks and Milestones</i>	<i>Date</i>
Assess the demand and methods for an exchange program	December 2011– March 2012
Continue posting MPA PRO profiles and case studies on program website	Ongoing

Evaluate MPA PROs for impact of the program	Ongoing
Survey MPA PROs for continuing education course themes	June 2012

### Outputs/Products

- Report on the demand and good practices of exchange programs in the WIO region.
- Online networking of MPA PROs to share information and provide updates on *MPA News* (an international monthly news services/electronic newsletter)
- Updated WIO-COMPAS website with new materials, MPA PRO profiles and case studies
- Summary report on the post-certification evaluations by MPA PROs
- Survey results of continuing education needs of MPA PROs

### Objective 3: *Solidify and scale-up*

MPA PRO is at a key juncture for sharing the model with other regions. Therefore there is a need to assess the achievements to date with leading partners before moving forward into our second generation of activities. We are in discussions with IUCN for integrating certification (specifically the MPA PRO model) into their global initiative for capacity building of protected area professionals. We will be presenting our model at an upcoming regional fisheries conference/workshop for the Caribbean and Latin America MPA community. We are also reaching out to Indonesia in hopes that they will accept our offer for technical assistance in developing their certification program. To solidify our sustainability strategy we will pilot a site assessment (likely in the Table Mountain MPA in South Africa and potentially Kenya) that will assess all of the staff at an MPA as well as the overall MPA itself. However, conducting the site assessment this year is contingent upon full partner funding. The benefits of this strategy are to reduce the travel costs for candidates, assess more professionals and integrate the individual capacity issues with the MPA performance. This strategy would complement the existing model of certification events by preparing individuals for applying to the WIO-COMPAS program. The long-term strategy is to integrate WIO-COMPAS into the government MPA human resources and management policies. This would be a significant contribution to the sustainability of the program. To improve the branding and recognition of MPA PRO globally, we will continue to publish in newsletters and journals as appropriate. We also plan to publish an article on capacity building through the lens of how our certification program is changing the capacity building paradigm. This article would be a formal document that results from our assessment with partners of the program's first generation.

### Tasks, Milestones and Schedule

<i>Tasks and Milestones</i>	<i>Date</i>
Attend IUCN workshop to integrate MPA PRO into their global capacity building initiative (side event of Caribbean Fisheries Conference; co-present with IUCN)	October – November 2011
Participate in the IUCN GPPAT initiative to generate support for the MPA PRO model at the global level. This could involve providing Technical Assistance to other countries on how to apply the MPA PRO model at a national level.	March – August 2012
Journal article submitted on capacity-building through the MPA PRO model: summing up first generation	Sept 2012
Produce outreach materials for international media (MPA PRO e-news, brochures, blog postings) that inform the marine conservation/coastal management/MPA sector of the MPA PRO program	August 2012

## Outputs/Products

- Presentation of how MPA PRO links with larger IUCN capacity building initiative
- Articles for newsletters and blogs on MPA PRO and WIO-COMPAS progress in certifying professionals

## Results Expected for objectives 1-3

<i>Indicator</i>	<i>Year8 Target</i>	<i>Comments</i>
1. Individuals trained (gender disaggregated)	5 (1 females)	Level 3 offering,
3. Tools, protocols, procedures, systems, methodologies, guides, curricula, or indices developed or adapted for country and/or thematic contexts	2	Level 3 assessors guide, Manual for training assessors
4. Stories, articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS	2	Articles and papers
5. Number of technical support interventions provided by SUCCESS to other partners and programs on toolkits and guidebooks developed by SUCCESS.	2	Technical assistance to IUCN, Indonesia/ Mexico

## 2.3 Collaborative Learning

**Scale of intervention:** Global

**Lead Implementing Organizations:** CRC

**Other Partnering Organizations:** UHH

**Activity Coordinator:** Elin Torell

### Background

A primary premise of the on-the-ground activities implemented by SUCCESS was that tangible benefits to quality-of-life through a livelihoods approach are a necessary (but not alone sufficient) condition to sustained success of ICM programs. Unfortunately, there is a growing body of anecdotal evidence suggesting many livelihood activities are neither increasing household income in coastal communities, nor reducing pressure on coastal and marine resources. For this reason, SUCCESS selected livelihoods as the theme for a cross-portfolio global learning agenda. Since the SUCCESS field sites in Tanzania, Nicaragua, Ecuador, and Thailand had significant livelihood components, they provided living laboratories for the learning agenda, and local partners involved in their implementation are clients for the learning outputs. Based on the first five years of SUCCESS experience, the learning team drafted a guide entitled, *Enterprise Development in Coastal and Marine Biodiversity Conservation: A Guidebook for Local Government and Practitioners.* The Guide's primary purpose is to assist coastal practitioners and local government officials who use enterprise as a strategy for the conservation of biological diversity in rural coastal communities and to benefit both local populations and their natural environment. The objectives of the guide are to:

- Provide a framework for designing, implementing and monitoring conservation enterprise
- Provide examples of conservation enterprise and lessons learned
- Provide links to other resources and tools

The end goal is to publish the enterprise guide online and develop teaching materials (curricula and power points) that will be used in CRC's international and local trainings as well as leveraging opportunities in our Associate awards and other USAID supported projects to mentor and train local staff. A key objective is to assist field project staff avoid common enterprise development mistakes and build on successful models.

Other learning activities are related to developing a programming guide targeted at USAID staff and partners working in sustainable fisheries and responsible aquaculture. This guide was designed to encourage USAID Missions to invest in these sectors as they can contribute significantly to USAID's objectives for food security and economic growth. However, these same sectors are currently plagued by weak capacity and poor governance, factors that make it a challenge to achieve these goals in a way that reduces impacts on the environment and ecosystems, especially in biologically significant areas. Efforts to develop simple guidelines and methodologies for assessing governance responses to ecosystem change have matured and can serve as important tools in strengthening good coastal and marine ecosystem governance worldwide. In fact, many of the implementation challenges that programs face stem from poor progress being made—during the planning and program development process—to properly assess and achieve the enabling conditions necessary for effective implementation. These enabling conditions are: clear goals, institutional capacity, strong constituencies among stakeholders and commitments from decision-makers.

### Year 7 Accomplishments

- Drafted the “Enterprise Development in Coastal and Marine Biodiversity Conservation: A Guidebook for Local Government and Practitioners,” which includes eight case studies from Latin America, Africa, and the Pacific.
- Drafted a second version of the above Guidebook based on the reviews and input of Maria Haws (UHH) and Richard Volk (USAID).
- Based on the receipt of consolidated comments on the fisheries programming guide from USAID, began preparation for final revisions and completion of the guide in Year 8
- SUCCESS lent its expertise to development of a newsletter focusing on integrating livelihoods into population, health and environment (PHE) projects. Two SUCCESS staff—Elin Torell and Donald Robadue—served as special issue editors for the newsletter, which was published in June 2011.
- Conducted a workshop to review what current and previous USAID fisheries projects have used as performance management indicators as well as to review some custom fisheries indicators being used by others. Information from this workshop will inform the development of an extended monitoring and evaluation section for the Fisheries and aquaculture programming guide.
- CRC Director, Stephen Olsen, participated in a diversity of global and regional fora to disseminate, apply and refine the methods developed at CRC for assessing the sequence of outcomes that mark an advance to more sustainable forms of development and to analyze the governance dimensions of ecosystem change.
- Applied methods for the analysis of governance responses to coastal ecosystem change to new Associate Awards in Ghana and The Gambia

**Year 8 Task Objective** Building on the experience and lessons learned from the field sites that were included in phase one of SUCCESS, the objective for years 6-10 is to synthesize the livelihoods knowledge, incorporating where possible the experience from other development projects.

The end product will be the Enterprise Guide for local government officials and practitioners.

When planning for the SUCCESS year 6-10 extension, the team envisioned that the Guidebook would be disseminated in a series of regional learning/outreach workshops (in years 8-10). Rather than organizing week-long coastal conservation-based microenterprise development courses, the plan is to develop curricula for shorter, half-day to two-day long sessions that can be incorporated into integrated coastal management courses—or that can be held as short stand-alone workshops that follow upon regional or international conferences/meetings.

In addition to the livelihoods agenda this year, the Fisheries and Aquaculture Guide will be completed and printed. In subsequent years, it will be disseminated and incorporated into various CRC/SUCCESS planned workshops and other training events. SUCCESS will also continue to disseminate, apply and refine the methods developed at

CRC for assessing the sequence of outcomes that mark an advance to more sustainable forms of development and to analyze the governance dimensions of ecosystem change.

#### **2012 Livelihood survey**

In 2012, the Pwani Project will conduct a survey of all its livelihood beneficiaries. The survey will cover many of the SUCCESS beneficiaries surveyed in 2006. The 2012 survey data will be compared with the 2006 data to assess impact/change in income and/or quality of life indicators. We will also likely develop one or two first person success stories, highlighting individuals who were supported by SUCCESS in years one to five.

Year 8 will be a transitional year for the collaborative learning team, where we expect to finish up the guides and associated training materials. Thereafter the collaborative learning section will transition into

the larger global change communications and outreach agenda.

**Objective 1: Guide for Enterprise Development in Coastal and Marine Biodiversity Conservation**

The SUCCESS livelihoods learning team will complete the Guide in Year 8:

- Disseminate the draft Guide to experts for review and input. Experts will include individuals from the USAID microenterprise office, US-based experts (e.g. Bob Pomeroy and Judy Oglethorpe) and international groups active in microenterprise development (e.g. Blue Ventures and The Foundation for the Peoples of the South Pacific International (FSPI).
- Finalize the Guide based on input from the expert group.

**Tasks, Milestones and Schedule**

<i>Tasks and Milestones</i>	<b>Date</b>
Guide sent to experts for review	October, 2011
Expert group feedback received	December, 2011
Guide revised and finalized based on feedback	February, 2012
Final lay out and publication of Guide	March, 2012

**Outputs/Products**

- Microenterprise guide, with 8 case studies from around the world

**Objective 2: Field-based Learning on Livelihoods**

SUCCESS has drafted a list of ongoing projects, organizations, academics, donors, and field sites that are implementing conservation-based microenterprises around the world. This list was a starting point when identifying potential case studies for the Microenterprise Guide. In Year 8, SUCCESS will develop two training modules (one half -ay and one two-day session plan) and a ready-to-use PowerPoint presentation on coastal conservation-based microenterprise development. These materials will be used during at least one of two international training courses (one on fisheries and one on PHE), which will be held in Rhode Island during the summer of 2012. If the opportunity arises, the team will also organize a one-day seminar on microenterprise development in conjunction with some other meeting, conference, or workshop in West Africa—or in conjunction with an MPA PRO event in the WIO region.

**Tasks, Milestones and Schedule**

<i>Tasks and Milestones</i>	<b>Date</b>
Develop two training modules based on the Microenterprise Guide	February 2012
Deliver microenterprise training modules in at least one training course (e.g. during the PHE or fisheries courses, which will be held in mid-2012)	June 2012

**Outputs/Products**

- Training modules
- Ready to use PowerPoint presentation

**Objective 3: Collective learning on Fisheries and Governance**



SUCCESS is generating knowledge to inform ICM regionally and globally—not only on livelihoods as described above—but on other key issues. The learning agenda also addresses the need for best practices in and reform of capture fisheries and aquaculture. As USAID has provided CRC with its final feedback on the draft Fisheries and Aquaculture Programming Guide, the SUCCESS team will complete the Guide as an e-publication for inclusion on the USAID website, and disseminate the availability via USAID and other relevant development listservs. As part of the CRC match contributions to the SUCCESS Program, the CRC Director will continue to participate in a diversity of global and regional fora to disseminate, apply and refine the methods developed at CRC for assessing the sequence of outcomes that mark an advance to more sustainable forms of development and to analyze the governance dimensions of ecosystem change. SUCCESS will also continue applying the methodology in new SUCCESS Associate Awards and other CRC field programs.

### Tasks, Milestones and Schedule

<i>Tasks and Milestones</i>	<i>Date</i>
Final editing of Guide based on USAID comments and to USAID for final approval of content	December 2011
E-layout and 508-compliant formatting and submission to USAID for final approval	March 2012
Delivery of final document for uploading on USAID website	April 2012
Communications to launch the Guide	May 2012

### Outputs/Products

- Sustainable Fisheries and Responsible Aquaculture Programming Guide

### Results Expected for objectives 1-3

<i>Indicator</i>	<i>Year 7 Target</i>	<i>Comments</i>
1 Number of Individuals trained (gender disaggregated)	20	The individuals are expected to be persons attending larger ICM, climate change, PHE, or fisheries courses
3. Tools, protocols, procedures, systems, methodologies, guides, curricula, or indices developed or adapted for country and/or thematic contexts	4	Enterprise Guide, microenterprise teaching curricula, and Fisheries & Aquaculture Guide

## 2.4 Communications and Outreach

**Scale of intervention:** Global

**Lead Implementing Organizations:** CRC

**Other Partnering Organizations:** UHH, WIOMSA

**Activity Coordinator:** Glenn Ricci

In light of some of the strategic adjustments the SIUCCESS Program will be making as previously described in the introduction and individual activity component sections, this year will mark the beginning of development of a strategic communications and outreach strategy. This strategy will work to articulate the program legacy; to make the global community of ICM practice aware of and apply the suite of tools SUCCESS has developed, as well as communicate a more forward looking agenda of keys messages, and lessons that decision makers in developing countries, USAID and its implementing partners, and other donors must address in the next decade of development initiatives along the coast.

The SUCCESS team has already started to sketch out this strategy and additional efforts will be made this year to finalize an outreach campaign plan across the three focal elements. This will include development of key messages and target audiences, and modalities of communicating these. This will feature a redesigned webpage, use of other internet based communications tools and other selected outreach venues and events to deliver messages to key audiences.

### Tasks, Milestones and Schedule

<i>Tasks and Milestones</i>	<b>Date</b>
Draft communications and outreach strategy developed	April 2012
Redesigned web page	August 2012
Implementation of outreach strategy initiated	August 2012

### Outputs/Products

- Communications/outreach strategy for Years 9-10

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

#### 3.1 Associate Awards

The SUCCESS Leader Award has generated four field level Associate Awards to date (Thailand, Ghana, West Africa, Senegal) for a total estimated funding of over US \$25m. While the work implemented through these awards responds to the programmatic priorities of the funding Mission and the coastal issues of the country/place, it also furthers the overarching SUCCESS mission and goals and draws upon much of the experience, tools and opportunities first begun or developed under the Leader Award. Details of the three ongoing Associate Awards (Thailand has been completed) by project country follow.

Associate Award	Total Estimate Amount	Total Obligations to Date (as of 10/30/11)	Incremental Obligations Received FY11
USAID Ghana: “Integrated Coastal and Fisheries Governance/ICFG – <i>Hen Mpoano</i> ”	US \$10,000,000	US \$5,025,695	US \$2,500,000
USAID Senegal COMFISH	US \$11,499,710	US \$3, 377,000	US \$2, 377,000
USAID West Africa <i>Ba Nafaa</i>	US \$ 3,414,566	US \$2,007,198	US \$1,007,198

#### **The Integrated Coastal and Fisheries Governance Initiative in Ghana (Associate Award: \$10 million; September 15, 2009-September 16, 2013)**

The Ghana Project, locally known as *Hen Mpoano* (Our Coast) is implementing its Phase 2 strategy and activities, which are designed to build towards the goal of formulating a nested governance system in which the roles and responsibilities of the individual communities, the six coastal districts and coordination at the regional scale are made explicit and strengthened. During Phase 2 (Year2), activities related to fisheries and the seascape portion of the coastal zone are focused on improving the enabling conditions on which management decisions are based. This includes ways to improve information on how and why effort is changing and its impact on fish stocks and fishing businesses, as well as potential strategies for improving the basis for collaborative management. The later point is quite important as previous efforts at collaborative management have failed and the current legislative and institutional arrangements for genuine participation of fisheries stakeholders are weak.

On the landscape side of the coastal zone, activities are focusing on developing a number of pilot models for ICM and conservation in three focal areas that contain combinations of issues that are representative of those facing the coast as a whole. The focal areas also have been selected for a range of conditions that span the relatively pristine and rural Amansuri wetland and associated shorefront area, to the urbanized Shama district where major new investments in infrastructure are being proposed. Between these two

extremes, lies the Cape Three Points focal area with priority areas for conservation, and with several villages and small towns where the canoe fishery is the major source of employment and income and where shorelines are dotted with tourism lodges that hold the promise for new forms of economic development. Sea turtle nesting beaches are yet another important feature of both the Amansuri and Cape Three Points areas.

**Senegal-Gambia Sustainable Fisheries Project**  
(Associate Award: \$3.4 million; May 1, 2009 – April 30, 2004)

This project, locally known as *Ba Nafaa*, is continuing to develop and promote models of fisheries co-management in the West African region especially through examples under development in The Gambia. These examples focus on the establishment of a shellfish co-management plan for 500 women oyster harvesters in the Tanbi Wetlands National Park and a co-management plan and related actions to obtain Marine Stewardship Council (MSC) certification for The Gambian sole fishery. These plans have undergone a final stage of stakeholder review. Formal approvals are expected in the early part of the first quarter of next year. Once plans are ready for formal adoption, launch/signing ceremonies will be planned and the USAID Regional Mission and USAID/DC representatives will be invited.

Previously, the Project requested a three-year water and sanitation add-on component for The Gambia field activities, budgeted at approximately \$700,000. The Gambia is currently facing problems with exporting to the European Union, in part due to poor quality of sanitary conditions at the landing sites. This will affect plans for certifying the sole fishery and its associated export under an eco-label. In addition, water quality studies in the Tanbi have identified several point sources of fecal contamination (a piggery and a hotel latrine) that put at risk opportunities to develop a shellfish sanitary management plan that could open up new local markets to hotels for raw shellfish and the potential for export further down the road. This request required a revision to the Project's Initial Environmental Examination (IEE), which has now been approved and add-on funds for the water and sanitation activities have been received. In addition, the add-on includes approximately \$240,000 in funding for a regional coastal climate change vulnerability assessment with the expectation that additional funds for adaptation planning and actions can be requested once the vulnerability assessment is completed.

**Collaborative Management for a Sustainable Fisheries Future in Senegal (COMFISH)**  
(Associate Award - 11.5 million; February 14, 2011 – September 30, 2016)

The USAID/COMFISH project (Collaborative Management for a Sustainable Fisheries Future in Senegal) seeks to develop and replicate new models for sustainable fisheries to assist Senegal in achieving sustainable management of its artisanal fisheries. The five year project began in February 2011. A project office in Dakar was established and is now fully functional and staffed. Coordination and planning meetings with the Department of Marine Fisheries (DPM), project partners, and other donors have helped define collaboration procedures and increase awareness of the project's objectives. Meetings with the DPM identified the need for regular coordination mechanisms, better strategies for managing fish stocks, better defined management objectives, and enhanced synergies among donor initiatives. USAID/COMFISH presented a new strategy for managing the coastal zone through Sustainable Management Units (*Unites de Gestion Durable/UGDs*) each of which would target one stock (and perhaps multispecies). UGD boundaries would include all local management structures for fisheries which target the same stock. The stock and the UGD would have the same shared boundaries. This idea was presented to and accepted by DPM, and was then shared at a second DPM Technical Committee meeting with other donors who indicated that they wished to buy into the model. USAID/COMFISH is also actively seeking ways to utilize current data more fully, to revise and adjust them for perceived and demonstrable biases, to carry out new assessments using such data, to improve data collection systems, and to create convergence between DPM and CRODT data collection systems. CRODT is Senegal's

designated stock assessment center and as such is a key USAID/COMFISH partner.

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

The Conservation of Coastal Eco-Systems in Tanzania: the *Pwani* Project is a four-year initiative funded through a bilateral cooperative agreement with USAID Tanzania. One of the *Pwani* Project's goals is to create wealthier and more empowered communities. Wealthier communities are created not by simply increasing people's economic health and standing, but improving as well other factors that contribute to quality of life—factors such as increasing people's resilience to the impacts of climate change stressors; and improving their access to health services that shape their overall physical well-being. Although not an Associate Award, the *Pwani* Project is part of the SUCCESS family with several direct links to SUCCESS. First, it collaborates with SUCCESS on climate change-related activities, where SUCCESS resources are leveraged to support the development of vulnerability assessment and adaptation planning tools that build upon the Climate Change Guide. In return, *Pwani* serves as a pilot site for on-the-ground climate change vulnerability assessments and adaptation planning that SUCCESS can learn from as it refines its climate change adaptation and planning tools and training curriculums. In FY 11, *Pwani* has finalized village-level vulnerability assessments in two villages on the Tanzania mainland. Two additional assessments are under development on Zanzibar. The experience of implementing the first two vulnerability assessments informed the revision of a tool for village-level adaptation planning. Second, *Pwani* is a learning site for enterprise development and it is one of the cases featured in the Conservation-based Enterprise Guide. Lastly, *Pwani* supports the MPA PRO program. One of the individuals certified in June 2011 works for the *Pwani* Project.

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

CRC is a partner in the Chemonics International-led consortium of the PLACE indefinite quantity contract (IQC) that was recently awarded for the "Indonesia Marine and Climate Support" (IMACS) project funded by USAID Indonesia. The project is focusing on building the capacity of the Indonesia Ministry of Marine Affairs and Fisheries (MMAF) to address fisheries and climate change issues. CRC is playing a senior advisory role for the coastal adaptation aspects of the project and will focus on providing support to MMAF in developing vulnerability assessments, designing and delivering short training courses, and developing the capacity of regional universities to provide extension services to local governments. CRC will begin their activities in August 2011 with visits to the two field sites of Nusa Tenggara Barat and Sulawesi Tenggara. There will be strong linkages with CRC's other climate change projects through the sharing of vulnerability assessments and training curricula.

### **US Coral Triangle Initiative (CTI)**

Based on the success of the CCAC training attended by 15 CTI partners this past June, the US CTI program awarded CRC a small grant to collect adaptation cases from the region, and to design and deliver two regional short courses and one training-of-trainers course. In the process, CRC has been coaching the CTI field partners as they implement their independent adaptation programs. The coaching has occurred through the use of our Adaptation Profiles. The January-March quarterly report provided an example of our draft profile for Solomon Islands related to developing a national methodology for vulnerability assessments. All of the participants are struggling with their adaptation programs due to a lack of organizational commitment or to challenges in adopting the appropriate tools for assessments. CRC is contacting each participant on a monthly basis to collect updates and provide guidance. Information gathered through the process will hopefully be integrated into our two regional courses as appropriate. These field partners will also participate in the SUCCESS adaptation network being facilitated by CRC. These small grant activities will be integrated with our overall SUCCESS climate activities through coaching, profiles, case studies and curriculum.

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

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

While not an Associate Award to the SUCCESS, BALANCED is working in and with other USAID-funded projects that were shaped by the first phase of SUCCESS. This includes the *Pwani* project in Tanzania, where BALANCED is helping to integrate family planning and health services into that project's already highly integrated activities (including work in HIV-AIDS prevention and livelihoods development/savings and loan activities); and supporting a *Pwani* extension officer to attend the Beahrs Environmental Leadership Program, which offers mid-career practitioners and decision-makers the opportunity to broaden their knowledge and perspectives on environmental and natural resource science, policy, management, and leadership. BALANCED is also working with the SUCCESS Associate Award, *Integrated Coastal and Fisheries Governance* (ICFG) project, in Ghana where it is providing technical assistance to the larger ICFG team and a key partner, Friends of the Nation (FON), in bringing much needed family planning information and services to coastal communities in the Western Region—all as part of an integrated approach to improving quality-of-life (including food security) and stemming biodiversity loss and over-fishing in that nation. In the Philippines, the USAID Mission recently agreed to a concept presented to add a CRM component (\$800,000 over two years) to the BALANCED-Philippines activities through the Mission's Office of Energy and Environment. This add-on will supplement the funds already provided for family planning activities in the Danajon Bank and Verdi Island passage area by the USAID/Philippines Office of Health (\$400,000). It will include a livelihoods approach combined with strengthening networks of MPAs, enforcement and piloting managed access at the municipal scale and development of multi-municipal fisheries management plans. Detailed workplanning began in August 2011.

### **3.2 Leveraged and Complementary Activities**

In Year 7, SUCCESS leveraged over US \$380,000 from various sources (see table below). A large portion of the leveraged funding comes through the IMACS Indonesia Project. This year, CRC leveraged over US \$180,000 for climate change related work. The MPA PRO team leveraged over US \$100,000 from sources, including the Swedish International Development Agency (SIDA), the European Union, and WWF South Africa for the three certification offerings and other activities. In addition to the IMACS activity, the climate change team leveraged approximately US \$100,000, including US \$20,000 from the International Ocean Commission (IOC) for a fellowship at CRC for three individuals from Ghana, The Gambia, and Mozambique and \$60,000 from the Coral Triangle Initiative for a regional climate change adaptation training course.

### Year 1-5 Leveraged Funding Results

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

### Leveraged Funds Year 6-7

Leveraging Partner	Donor	Activity funding is for	Leveraged Funds (US\$)
<i>Year 6</i>			
CRC	Marviva	MPA PRO	1,800
CRC	individual experts	Livelihoods learning	5,322
CRC	CRC	Reception at 3/24 meeting	2,212
CRC	CIDEA	Juan Ramon Travel	859
CRC	NOAA	To develop 3 climate change adaptation modules	20,280
CRC	USAID Tanzania	CEEST subcontract to use adaptation to climate change guide in Tanzania	12,835
CRC	UH SeaGrant	SeaGrant staff contributing to RMI coastal assessment	2,002
CRC	LOICZ	Stephen participation in India meeting.	504
CRC	LOICZ	Stephen participation in Paris meeting	2,133
WIOMSA	SIDA	Expert meeting for WIOCOMPASS	15,200
WIOMSA	WIOMSA match	South Africa certification event	3,180
WIOMSA	WWF S.A. and South African Parks Governments	South Africa certification event	10900
WIOMSA	USAID Tanzania	Kenya certification event	4,000
WIOMSA	Employer candidate fees	Kenya certification event	3,200
		<b>Total Year 6</b>	<b>\$84,427</b>

<b>Leveraging Partner</b>	<b>Donor</b>	<b>Activity funding is for</b>	<b>Leveraged Funds (US\$)</b>
<i>Year7</i>			
WIOMSA	ReCoMap	Updating MPA training manual	25,000
WIOMSA	Sida	Conducting MPA training course	20,000
WIOMSA	ReCoMap	Conducting MPA training course	55,000
CRC	CTI	Climate change cases, courses, and training of trainers	58,423
UH Seagrant	UNDP	Development of shore management guide for the Marshall Islands	6,000
CRC	USAID	IMACS Indonesia Project, year 1 climate change funds implemented by CRC	183,303
CRC	IOC and URI (training account)	Climate change related fellowship at CRC for three individuals from Ghana, the Gambia, and Mozambique	20,550
WIOMSA	Sida	Level 2 certification event in Kenya	3,209
WIOMSA	WWF S.A.	Level 2 certification event in Kenya	1,600
UH Seagrant		Salary and funding for fact sheets	12000
		<i>Total Year 7</i>	<b>\$385,085</b>
<b>Total Leveraged Funds (Years 6&amp;7)</b>			<b>\$ 469,513</b>



## 4. Program Management

### 4.1 Key Staff

#### Directors

Brian Crawford (Program Director)	CRC	<a href="mailto:brian@crc.uri.edu">brian@crc.uri.edu</a>
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#### WIO Certification Team

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#### Learning & Outreach

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Maria Haws	UHH	<a href="mailto:haws@aol.com">haws@aol.com</a>
Kathy Castro	URI	<a href="mailto:kcastro@uri.edu">kcastro@uri.edu</a>

### 4.2 Key Reports

The following table lists key reports that will be produced in Year 8 along with the expected completion dates and key individuals at USAID who will receive copies.

<i>Key Products and Outputs</i>	<i>Schedule</i>	<i>Recipient</i>
<b>Program Reports</b>		
Quarterly PMP report (in work plan)	30 October 2011	Richard Volk, AOTR and AO
Semi-annual Report & PMP Report (July 2012 - December 2012)	20 December 2011	Richard Volk, AOTR and AO
Quarterly Progress Report (January 2012 - March 2012)	30 April 2012	Richard Volk, AOTR and AO
Semi-annual Report & PMP Report (January 2012 - June 2012)	30 July 2012	Richard Volk, AOTR and AO
Year 9 Workplan	30 September 2012	Richard Volk, AOTR and AO
<b>Financial Reports</b>		
Forms SF 269, 269a	quarterly	Richard Volk, AOTR
Forms SF 272, 272a	quarterly	Richard Volk, AOTR & <a href="http://www.dpm.psc.gov">www.dpm.psc.gov</a>
Accruals	Quarterly as requested by AOTR	Richard Volk, AOTR

<i>Key Products and Outputs</i>	<i>Schedule</i>	<i>Recipient</i>
Pipeline and request for additional funds	Annually as needed	Richard Volk, AOTR
<b>TraiNet Data</b>	30 days post event	USAID TraiNet database
<b>Publications</b>	30 days post publication	Richard Volk, AOTR and USAID Clearinghouse

### 4.3 Tentative International and US Travel Schedule

<i>Program Element</i>				
<i>Month</i>	<i>Climate Change</i>	<i>Capacity Building</i>	<i>Learning and Outreach</i>	<i>Project Mgt.</i>
October 11		IUCN workshop side event of Caribbean Fisheries Conference		
November 11				Woodring – WIOMSA pre-audit review (add on 2 days to Pwani trip)
December 11		Ricci: South Africa, WIO-COMPAS Assessor Training		
January 12		Ricci: South Africa, Level 3 Offering		
March 12		Ricci: Mexico, MPA PRO Sharing the model		Crawford: DC
September 12				Crawford: DC

### 4.4 Monitoring, Evaluation and Reporting

As part of the SUCCESS extension, the indicators tracked in the Performance Management Plan have been revised to better correspond with the global leadership activities undertaken. Since the work outlined for the SUCCESS extension period (FY 10 to FY 14) does not include field programs, the original SUCCESS indicators that were connected to on-the-ground results will no longer be active (see Appendix A for a full listing of the original indicators) <sup>2</sup>:

During years six and seven, the following nine indicators were tracked:

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

<sup>2</sup> Two exceptions are numbers of policies etc. promoting sustainable natural resource management and conservation implemented and numbers of hectares under improved management. Although we will not set targets for these indicators, they will remain in the PMP because there is a possibility that we will be able to see results related to them as part of our climate change adaptation work.

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

During course of preparing the Year eight work plan, some indicators were added or revised. These changes will be reflected in a revised PMP, which will be finalized in the first quarter of FY 12. Beginning in FY 12, the following indicators will be tracked

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

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

These indicators aim to measure the outputs and impacts of SUCCESS activities related to MPA

certification, climate change adaptation, and learning. Life-of-Program targets have been established for the first indicator only:

**LOP targets for number of individuals trained**

INDICATOR	FY 10 Target	FY 11 Target
1 Number of Individuals trained	40	40
<i>Number of women trained</i>	16	16
<i>% women trained</i>	40%	40%

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

Indicator	FY 12	FY 13	FY 14
1.a Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-men. (previously part of Ind 1 in SUCCESS)	2560 hrs	520 hrs	550 s
1.b. Person hours of training completed in climate change supported by USG assistance- adaptation (men)	NO Target but tracked	NO Target but tracked	NO Target but tracked
2.a Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-women (previously part of Ind 1 in SUCCESS)	1240 hrs	208 hrs	120 hrs
2.b Person hours of training completed in climate change supported by USG assistance- adaptation (women)	NO Target but tracked	NO Target but tracked	NO Target but tracked

Targets for indicators 3-5 will be set annually during work planning. There are no targets for the remaining indicators. They will, however, be tracked during project implementation. For example, it is possible that SUCCESS will contribute to “hectares under improved management” and “policies adopted” as part of its climate change adaptation work, but the potential results are too uncertain to allow for setting targets.

**FY 12 Targets for all indicators**

INDICATOR	FY 12 Targets
1.a Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-men. (previously part of Ind 1 in SUCCESS)	2560
1.b. Person hours of training completed in climate change supported by USG assistance- adaptation (men)	No target, but tracked
2.a Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-women (previously part of Ind 1 in SUCCESS)	1240
2.b Person hours of training completed in climate change supported by USG assistance- adaptation (women)	No target, but tracked
3. Dollar value of funds leveraged from USAID Missions and non-USG sources	No target
4. Tools, protocols, procedures, systems, methodologies, guides, curricula, or indices developed or adapted for country and/or thematic contexts	10

INDICATOR	FY 12 Targets
4b. Number of climate change mitigation and/or adaptation tools, technologies and methodologies developed, tested, and/or adopted as a result of USG assistance	2
5. Number of success stories, peer review articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS	7
6. Number of technical support interventions provided by SUCCESS to other partners and programs on toolkits and guidebooks developed by SUCCESS.	No target, but results will be measured
7. Number of participants who received SUCCESS training that are now implementing projects or providing training or TA to others on the topics that they were trained in.	No target, but results will be measured
8. Number of institutions with improved capacity to address climate change issues as a result of USG assistance - adaptation capabilities	No target, but results will be measured
9. Number of target organizations incorporating SUCCESS tools etc. into their work	No target, but results will be measured
10. Number of hectares in areas of biological significance under improved management	0
11. Number of policies, laws, agreements, or regulations promoting sustainable natural resource management and conservation implemented.	0

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

In-Program learning and adaptations will also be promoted during the annual internal reflection meeting that will be part of the Year 9 work planning process. In August 2011, we held an internal self-assessment and reflection meeting focusing on climate change. The meeting was the start of the climate change learning activity and it helped refine the climate change activities for the year 8 work plan. During the meeting we took an honest look at what we have learned from implementing climate change adaptation planning and capacity building activities over the last two years—focusing on the areas that we still need to learn more about. A project wide reflection meeting will be held in October 2011.

### Tasks and Milestones

<i>Tasks and Milestones</i>	<b>Date</b>
Annual self-assessment	August 2012
Collect PMP data	Semi-annually
Prepare and submit quarterly and semiannual reports to USAID	Quarterly

## 4.5 Issues and Challenges

With no field activities and the reduced size, scale, and scope of this second phase of the SUCCESS Program Leader Award, there are minimal management issues. With a relatively modest and very focused budget, a reduced number of partners involved in this second phase of SUCCESS activities, and with the CRC technical staff assigned to very discrete tasks with clearly defined goals, the level of effort that must go into program reporting and other management transactions is limited.

However, with no field-based activities included as part of this phase of SUCCESS, the team has had to be creative in generating opportunities for face-to-face contact with practitioners on-the-ground in order to promote MPA certification and climate change adaptation in coastal communities—two activities we are looking to scale-up and have replicated on-the-ground in other countries and regions. Toward this end, as the SUCCESS team members visit the field as part of their work on other USAID-funded field projects and as they attend international conferences and workshops, they seize opportunities—as appropriate—to discuss the SUCCESS MPA PRO certification program and the SUCCESS activities and tools in climate change adaptation for coastal communities.

In regards to lessons with sharing the MPA PRO Certification model, we have received strong support though it has been difficult getting traction to move to the next step. Governments see it as another task upon an already heavy workload, protected area staff like it though some do not understand the concept as it is new to the natural resources field. Regional networks see some overlap with what they provide though without much of the substance and rigor. Additionally, concerning gender balance, we are challenged by the limited number of women in the MPA field. This is slowly changing and we have our existing MPA PRO certified women encouraging their peers to apply for certification.

As noted in the earlier sections of this report and in the section that follows, the SUCCESS Associate Awards provide a wealth of cross-portfolio learning opportunity, including continued opportunity to test and learn from the tools, approaches, strategies, etc. first developed under the Leader Award. Several other USAID projects that CRC is involved with provide synergistic opportunities with SUCCESS objectives and activities and are also described below. However, the expanding portfolio of Associate Awards and CRC involvement in related USAID projects had been stretching the human resource capacity of CRC over the past 18 months. To address this issue, in the current reporting period CRC filled one vacant fiscal/administrative position and filled two new mid- to senior-level program positions. One of these program positions is an individual who will focus on climate change issues in our international projects, including but not limited to those issues as they relate to our SUCCESS Leader and Associate Award projects. A second program hire has extensive experience in development in West Africa and is experienced in USAID policies and programs. These new hires along with existing CRC staff as well as our local, regional and global partners and external consultants, leaves us much better staffed to meet the demands of our USAID project activities and to produce our deliverables on time and with high quality.

New USAID climate work in Indonesia, Senegal and The Gambia is providing CRC with significant opportunities for creating a global learning platform for our coastal adaptation work—especially given the field application and capacity building components of this work. The Coral Triangle Initiative also integrates with our SUCCESS activities through a learning agenda and capacity building, however, its lacks of a field application component is limiting our direct engagement in hands-on program implementation.

The status of Year 7 tasks are included in Annex B indicating whether tasks were completed, delayed or dropped. Some tasks from Year 7 are carried over into Year 8 activities as described above.

## 5. Budget

This section provides details of the annual budget aggregated in different ways. The budget assumes carryover of Year 7 USAID funds of approximately \$80,449, plus a Year 8 obligation of \$300,000 for a total Year 8 budget of approximately \$380,449.

### Budget by Line Item

Item	USAID	CRC Cost Share	Total
Salary	121,579	9,429	131,008
Consultants	10,306		10,306
Fringe benefits	55,517	2,829	58,346
Other direct Costs	13,220		13,220
Travel	11,824		11,824
Sub-agreements	80,900		80,900
Direct Costs	293,346	12,258	305,604
Indirect @ 41%	87,103	5,026	92,129
<b>Total</b>	<b>380,449</b>	<b>17,284</b>	<b>397,733</b>

### Budget by Program Element

Program Element	USAID	CRC Cost-share	Total
Climate Change	117,586		117,586
Capacity Building	124,054	8,642	132,696
Livelihoods and Outreach	68,811		68,811
Program Management	69,998	8,642	78,640
<b>Total</b>	<b>380,449</b>	<b>17,284</b>	<b>397,733</b>

### International and US Based Travel Budget

Program Element	CRC	WIOMSA	Total
Climate Change	-		-
Capacity Building	10,430	34,040	44,470
Livelihoods and Outreach	-		-
Program Management	1,394		1,394
<b>Total</b>	<b>11,824</b>	<b>34,040</b>	<b>45,864</b>

## Annex A: PMP Results and Targets

<i>INDICATOR</i>	<i>FY 10 Target (Year 6)</i>	<i>FY 10 Results</i>	<i>FY 11 Target (Year 7)</i>	<i>FY 11 Results</i>	<i>Year 6-7 cumulative result</i>	<i>Comments on FY 11 results</i>
1. Individuals trained (gender disaggregated)	40	58	40	41	99	CACC and certification events
<i>Number of women trained</i>	16	20	16	10	30	
<i>Percent women trained</i>	0.4	34%	40%	24%	30%	Below target in FY 11, because only one woman attended an MPA pro event.
2. Dollar value of funds leveraged from USAID Missions and non-USG sources	No target	84,428	No target	385,085	469,513	
3. Tools, protocols, procedures, systems, methodologies, guides, curricula, or indices developed or adapted for country and/or thematic contexts	1	7	7	7	14	On target. The FY 11 tools include two videos, an MPA training curriculum, community vulnerability tool, CCA profile tool, and CCA modules
4. Success stories, peer review articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS	9	17	10	6	23	Below target in FY 11. However, target was exceeded in FY 10 and taken together, we are above target.
5. Technical support interventions provided by SUCCESS to	1	4	3	5	9	Over target



<b>INDICATOR</b>	<b>FY 10 Target (Year 6)</b>	<b>FY 10 Results</b>	<b>FY 11 Target (Year 7)</b>	<b>FY 11 Results</b>	<b>Year 6-7 cumulative result</b>	<b>Comments on FY 11 results</b>
other partners and programs on toolkits and guidebooks developed by SUCCESS						
6. Recipients of SUCCESS training and/or mentoring subsequently implementing projects or providing training or technical assistance in these topics to others	0	11	10	11	22	CACC participants that we are following/mentoring as they implement projects.
7. Target organizations incorporating SUCCESS tools etc. into their work	0	6	3	12	18	The organizations counted in FY 11 include those that are using the climate change profiling tool.
8. Hectares in areas of biological significance under improved management	0	0	0	0	0	
9. Policies, laws, agreements, or regulations promoting sustainable natural resource management and conservation implemented	0	0	0	0	0	

For FY 12 targets please see the table presented on pages 32-33 of the “Monitoring, Evaluation and Reporting” section.

## Annex B: Status of Year 7 Workplan Tasks and Products

<i>Program Area</i>	<i>Date</i>	<i>Status</i>
<b>MPA PRO</b>		
<b>Objective 1: Certify</b>		
Update Program Policies and Ethics Statements	January 2011	Completed
Conduct Level 2 offering (national or regional)	February-May 2011	Completed with four new MPA PROs from South Africa and Kenya; and West African representative attending as observer
Conduct Level 1 offering (Tanzania)	April – June 2011	Completed – 9 MPA PROs; 15 applications received (nine from Tanzania; six from Kenya)
Train Level 3 Assessors and develop assessment materials	August 2011	Delayed to November due to challenges in securing consultant time.
Conduct Level 3 offering (regional)	September 2011	Rescheduled for FY12 to link with above assessor training activity
<b>Products</b>		
Updated Handbook with new Level 1, 2 and 3 processes, competences, assessment instruments and candidate materials		Completed
Level 3 Assessors Guidebook and assessment materials		On track for completion by January
Manual for training assessors		Delayed to December due to consultant timing
<b>Objective 2: Service</b>	<b>Date</b>	<b>Status</b>
Active networking of MPA PROs through electronic media and exchanges	Ongoing	Completed
Continue posting MPA PRO profiles and case studies on website	Ongoing	Completed
Evaluate MPA PROs for impact of Program	Ongoing	Completed

<i>Program Area</i>	<i>Date</i>	<i>Status</i>
Refine social network analysis and application	March 2011	Rescheduled to October
<b>Products</b> Online networking of MPA PROs to share information and provide updates		Completed
Updated WIO-COMPAS website with new materials, MPA PRO profiles and case studies	May	Completed
Summary report on the post-certification evaluations by MPA PROs		Completed
Social Network Analysis and refinements to the data collection process	September	October as we are adding new data recently collected
<b><i>Objective 3: Solidify and Scale-up the Model</i></b>	<b><i>Date</i></b>	<b><i>Status</i></b>
Conduct institutional analysis of WIO region MPA government agencies to seek endorsements	January 2011	Change in task; focus turned to Level 3 design needs
Present the MPA PRO/WIO-COMPASS Program to other regions (Asia, Latin America and Caribbean)	April 2011	Completed
Lead capacity building workshop and writing of paper at the International Marine Conservation Congress (IMCC) <i>(Contingent on funding from NOAA)</i>	May 2011	Completed - NOAA presented the MPA PRO model for CRC as CRC did not attend due to limited travel funds and Ricci's assignment to Asia
Secure key endorsements from WIO-COMPAS region governments, NGOs, etc.	July 2011	Ongoing

<i><b>Program Area</b></i>	<i><b>Date</b></i>	<i><b>Status</b></i>
<b>Products</b> Articles for newsletters and blogs on MPA PRO and WIO-COMPAS progress in certifying professionals		Ongoing, on schedule
Strategy document for linking WIO-COMPAS to government MPA agencies and for obtaining endorsements		Pending outcome of Level 3 design and discussion at Assessor Training Course
<b>Climate Change</b>		
<i><b>Objective 1 Complete the pilot project in the RMI</b></i>	<i><b>Date</b></i>	<i><b>Status</b></i>
Final field assessment report by engineer/geologist, including methodology for assessing shoreline erosion and options for addressing this problem at the community level.	March 2011	Namdrik draft assessment complete, CRC will complete this as an annotated methodology for RMI or other places. Sea Grant (leveraged) methods for surveying completed. Third section, on erosion methods, delayed due to decision of contractor
Final guidance materials (for a global audience) on shoreline erosion protection and adaptation measures written, reviewed, edited and laid out	August 2011	Initiated. Expected in December 2011
Outreach document on Reimaanlok community-based process, with a climate lens (layout and publication at UHH)	March 2011	Final draft; anticipate December completion
<b>Products</b> Shoreline erosion assessment report. (no cost extension)		Expected in December 2011
Guidance document for erosion and shoreline protection laid out and produced		Expected in December 2011

<i>Program Area</i>	<i>Date</i>	<i>Status</i>
Document on Reimaanlok process, including a climate lens applicable to RMI and other similar environments (no cost extension)		Anticipate September completion
<b><i>Objective 2: Support the emerging global community of practice</i></b>	<b><i>Date</i></b>	<b><i>Status</i></b>
Identify practitioners/sites for tracking progress and lessons for the CRC practitioner network	October 2010	Completed
Finalize field profile template for data input	November 2010	Completed
Draft field profiles written and disseminated through the CRC practitioner network	August 2011	Completed and ongoing
Working draft synthesis of cross-site profile findings	August 2011	September 2011
Contribute to TNC partnership for summarizing Ecosystem-based Adaptation (EBA) science and approaches	September 2011	Completed. Contributed to workshop; TNC working on follow-up
<b>Outputs</b>		
Three field profiles developed		Completed
Synthesis of cross-site lessons and practices (working draft)		September 2011
EBA meeting findings and write-up of knowledge and recommendations for next steps		Completed. Follow-up by TNC still underway

<i><b>Program Area</b></i>	<i><b>Date</b></i>	<i><b>Status</b></i>
<i><b>Objective 3: Identify and empower climate change adaptation champions</b></i>	<i><b>Date</b></i>	<i><b>Status</b></i>
Online information and communication via CRC practitioner network	November 2010	Completed
Web-based forum for practitioners	March 2011	Completed
Webinar for practitioners	April 2011	Canceled due to lack of internet capacity in CTI and elsewhere
Video clips from the field	September 2011	Video Intro to series and overview of Tanzania CCA completed.
Peer-to-peer exchanges in Africa	TBD	Recommend postponing until projects have more substantive learning to share with each other.
<b>Products</b>		
1 web-based forum		Completed – in process
3 video clips from the field		One intro and one from Tanzania complete.
<b>Learning</b>		
<i><b>Objective 1: Conservation-based Enterprise Guide</b></i>	<i><b>Date</b></i>	<i><b>Status</b></i>
6-8 case studies received from partners	December 2010	Eight case studies completed
Draft guide completed and sent to experts for review	January 2011	First draft completed
Expert group meeting to review draft guide	March 2011	Initial reviews completed by Maria Haws and Richard Volk. A larger group will review the guide in October-November, 2011, but no meeting will be held.
Guide revised and finalized	May 2011	Goal is to have guide completed no later than March 2012.
<b>Outputs</b>		
Conservation-based Enterprise Guide, with 6-8 cases from around the world		Guide is under revision based on initial feedback.

<i><b>Program Area</b></i>	<i><b>Date</b></i>	<i><b>Status</b></i>
<i><b>Objective 2: Field-based Learning on Livelihoods</b></i>	<i><b>Date</b></i>	<i><b>Status</b></i>
Develop training modules and a teaching case study based on the Conservation-based Enterprise Guide	September 2011	New date is February, 2012
Identify location and dates for Year 8 regional microenterprise workshop	September 2011	Activity has changed; focus on integrating livelihoods into other trainings vs. stand-alone trainings on micro-enterprise development in ICM
<b>Outputs</b>		
Training modules	September, 2011	New date is February, 2012
<i><b>Objective 4: Collective learning on Fisheries and Governance</b></i>	<i><b>Date</b></i>	<i><b>Status</b></i>
<b>Outputs</b>		
Sustainable Fisheries and Responsible Aquaculture Programming Guide		Edits received from USAID. Goal is to have guide completed no later than March 2012.