

# 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 9 Workplan**

**October 1, 2012 – September 30, 2013**



**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 9 Workplan**

**October 1, 2012 – September 30, 2013**

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

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

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

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

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

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

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

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

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

### ***Biodiversity Conservation and the SUCCESS Program***

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

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

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

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

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

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

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

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

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

### **1.1 Overview and Summary of Accomplishments (October 1, 2009 – September 30, 2012)**

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

- Leveraged over US \$520,000 for project activities related to MPA certification, climate change, and learning
- Developed 21 tools/guides/curricula, including the *Adapting to Coastal Climate Change Guide* and associated curricula and worksheets, the *MPA PRO Handbook and Assessor Guide*, and the “*Enterprise Development in Coastal and Marine Biodiversity Conservation: A Guidebook for Local Government and Practitioners.*”
- Produced/presented 28 “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
- Twenty local universities, government units, and NGOs in Africa, Latin America, and the CTI region are incorporating SUCCESS tools into their work.
- 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.

### **1.2 Major accomplishments in Year 8 (FY 12):**

- Leveraged approximately US \$50,000 for project activities related to climate change, learning, and MPA certification.
- Held trainings that covered a total of 867 person hours of training in natural resources management (440 for men and 427 for women).
- Provided technical support on climate change to the USAID Coral Triangle Initiative on their Local Early Action Planning Toolkit for Climate Change and to the USAID BALANCED project on livelihoods and fisheries.
- Developed seven tools/guides/curricula, including field based videos on climate change and the enterprise guide and training curricula.

Accomplishments in Year 8 that are summarized above, relative to Year 8 targets, are described in Annex A. The status of Year 8 tasks are summarized in Annex B, indicating whether specific tasks were completed, delayed or dropped. Some tasks from Year 8 are carried over into Year 9 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 includes:

- 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 during 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 9, CRC will focus on learning from existing programs (USAID and others) and transferring lessons to decision-makers and the international development community leading to legacy outreach in Year 10. This year's program will include a comparative analysis of the economic, social and physical conditions of coastal areas worldwide and an effort to enhance coastal resilience by influencing high-level policy-makers in the effective incorporation of climate change adaptation into national-level development planning such as the upcoming National Adaptation Plans. USAID-supported programs in Ghana, Tanzania, Senegal, and The Gambia as well as other global experience from Small island states and least developed countries will engage in a process of sharing past and on-going and experiences. 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 and WIOMSA have developed an innovative certification program for MPA professionals working to promote the stewardship of coastal ecosystems. This certification program defines standards as the benchmark against which to assess whether a professional has the education, knowledge, skills, and experience needed to effectively 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
- **Share** – educate and build constituencies for MPA PRO program in two additional regions and/or countries

In Year 9, CRC will continue to build a critical mass of certified MPA PROs and assessors (with significant leveraged support from SIDA), increase our outreach to management directors with the goal to integrate WIO-COMPAS into MPA capacity development policies at the national level and test an exchange program to service the needs of existing MPA PROs. Several legacy products will be produced to share the experience with other regions of the world who have been interested in learning about the experience.

### ***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, is working 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 9, the SUCCESS Project will transition its learning portfolio. Originally this learning agenda focused on developing curricula and guides to capture lessons learned on two specific topics—livelihoods, and fisheries and aquaculture—and then using these guides in our capacity building interventions. In the Project’s remaining two years, we will switch that focus to capturing what we have learned across a full suite of SUCCESS activities including climate change and certification and how these are linked in an integrated approach. We will have additional “learning” and advocacy initiatives on the topic of climate change as it affects coasts (see section 2 of this report for more detail). As part of a final outreach and lesson learned event for SUCCESS in year 10, we will organize a workshop to reflect on USAID investments in coastal and marine programs over the last two and a half decades, with invitees from national and international partner organizations, USAID, and other government and private donors investing in coastal and marine programs—to assess what has worked and not worked, why, the value achieved through the “successes,” and how all that has been learned can inform future programming decisions. From these events, we expect to produce a number of reflection/position statements/products that can inform the coastal management, including climate change as it impacts coastal management, moving forward (these products are detailed in subsequent sections of this report).

#### **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 9 Activities

### 2.1 Climate Change Adaptation

**Scale of Activities:** Global

**Lead Implementing Organization:** CRC

**Other Partner Organizations:** *Hen Mpoano*/Ghana and *Pwani*/Tanzania country-based field programs; also potentially the World Resources Institute, The Nature Conservancy, Colombia University,

**Activity Coordinator:** Pam Rubinoff

#### **Background**

Looking towards FY14, CRC and SUCCESS see 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.” Key to this is how nations can effectively mainstream coastal adaptation within their development goals such as fisheries, tourism, and poverty reduction. 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 and recommendations for advancing coastal community resilience. These recommendations 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.

**Objective 1: Complete the pilot project in the Republic of the Marshall Islands (RMI) and disseminate the finished products.**

**Activity 1:** Complete and disseminate products for linking climate change, biodiversity conservation planning and shoreline management, with application at the national and local scales.

A limited number of The Facilitator’s Guide for Community Based Management (Reimaanlok) and the shoreline protection technical briefs now in final production stage will be printed for distribution within RMI and the region, and will be published electronically for a wider audience. SUCCESS efforts in the RMI were incorporated into the regional guidelines and will now be used as guidance for the RMI facilitators and others in the region engaging in locally managed marine areas.

The shoreline protection technical briefs provide landowners and resource managers with important information on different shoreline management/protection techniques, and the relative costs and benefits associated with each. Resource managers can 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.

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

<b><i>Tasks and Milestones</i></b>	<b>Date</b>
Facilitator’s Guide printed	November 2012
Dissemination of the Facilitator’s Guide	December 2012
Shoreline Protection Guidelines printed	November 2012
Shoreline Protection Guidelines disseminated	December 2012

## Output/Products:

- Published and distributed Facilitator's Guide
- Published and distributed Shoreline Protection Guidelines

**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.

**Activity 1:** Create a report synthesizing the latest research and understanding of bio-physical and socio-economic well-being of coastal areas worldwide, highlighting areas of highest risk through use of comparative analysis and visually impactful mapping and graphics.

CRC, collaborating with partner organizations and consulting experts, will conduct a desk-top study of the latest research on the factors that impact the health and well-being of the world's coastal systems. This report aims to synthesize the status of and threats to the welfare and continued productivity of coastal regions around the globe in a manner that will clearly and effectively convey the urgency of the most vulnerable areas to the impacts of climate change. The final document (to be completed in Year 10) will include an array of visual representations and comparative analyses to best communicate the relative threats in different regions and the extent of risks currently facing the coastal zone.

## Tasks, Milestones and Schedule

<i>Tasks and Milestones</i>	<b>Date</b>
Collect existing data regarding socio-economic and bio-physical status of coastal areas	April 2013
Summary statement of key trends ready to present at Global Ocean Forum	June 2013
Draft summary of analysis and trends to circulate among Working Group	September 2013

## Output/Products

- Draft summary of analysis and trends

**Activity 2:** Develop case studies of nations that have undergone a national development and climate change adaptation process.

CRC will gather information and experience from five nations that have already undergone the process of incorporating climate change into their national development strategies. This series of case studies, prepared in collaboration with host-country nationals, will compare the successes and lessons learned from that process and the effectiveness of the implementation resulting strategies. The comparative assessment can inform future planning processes, particularly the National Adaptation Plan (NAP) as directed by the Intergovernmental Panel on Climate Change (IPCC) Conference of Parties. The goal is to help improve the process for incorporating climate change into national strategies/plans and helping make implementation more relevant and effective to the target nations and less donor-driven.

## Tasks, Milestones and Schedule

<i>Tasks and Milestones</i>	<b>Date</b>
Review existing literature and select target countries for case studies	November 2012
Draft report of comparative assessment and case studies	March 2013
Final report prepared for a special session at the Global Ocean Forum	June 2013

### Output/Products:

- Draft case studies
- Final report including case studies, comparative assessment and conclusions

**Activity 3:** Facilitate a meeting in Tanzania to assess national development goals and the impacts of climate change on those goals, in order to better address development planning.

CRC will collaborate with the USAID Climate Adaptation Team to support the Tanzanian government to mainstream climate change adaptation into its national development planning process for the mainland and Zanzibar. As part of CRC's engagement, it will use the newly drafted USAID guidance on climate-resilient development planning to help the Tanzania government hone its national development goals such that sector-based plans as well as the overarching national development plan incorporate climate change factors and constraints. Through this exercise, sectorial representatives will better understand how climate change will impact their sector, and what types of planning and adaptation measures will be necessary to address the larger development agenda. The workshop will also provide CRC and USAID with feedback on the USAID guidance and input on how national adaptation planning can be improved.

### Tasks, Milestones and Schedule

<i>Tasks and Milestones</i>	<b>Date</b>
Conduct national level workshop in Dar es Salaam	December 2012
Generate report of major outcomes from meeting	February 2013

### Output/Products:

- Meeting successfully convened
- Final report

**Activity 4:** Facilitate a meeting of regional leaders in West Africa focused on national development planning and climate change adaptation

CRC will convene a meeting in Accra, Ghana to bring together national-level leaders from the West African region, including Ghana, Senegal and The Gambia. This meeting will include representatives of governing agencies as well as NGOs and the private sector such as tourism, oil and gas, fisheries and shipping. CRC will facilitate a review of the development model and discuss lessons learned from previous planning efforts and aspirations for the NAPs.

### Tasks, Milestones and Schedule

<i>Tasks and Milestones</i>	<b>Date</b>
Conduct meeting with regional leaders and sectors	April 2013
Generate summary report of major outcomes from meeting.	May 2013

### Output/Products:

- Meeting convened in Accra
- Outcomes and lessons formulated for Global Oceans Forum

**Activity 5:** Convene a widely representative Working Group of experts in the coastal zone and climate change to formulate recommendations for adaptation efforts in national planning to bring to the international community.

We will convene a Working Group to collect experience and lessons learned in climate change adaptation and planning. This Working Group will include representatives of least developed and developing nation governments; private sector industries with a particular stake in coastal areas such as tourism, shipping, fisheries and seafood, and oil/gas; donors; and NGOs with expertise in the field.

Given the geographical range of leaders, it will be difficult to meet with the whole group. SUCCESS will supplement virtual meetings with opportunities for smaller groups to give input and feedback. This Working Group will join the Accra regional meeting to collect input from the West African participants. It will also convene a session at the Global Ocean Forum in June 2013, where CRC will conduct a session to present the findings and gather additional input from Forum participants. The Working Group will meet subsequently to incorporate the additional learning and feedback into their final recommendations.

Looking beyond his current workplan year, CRC plans to present the final recommended guidance for incorporating climate change adaptation into national development planning during a special session at the December 2013 meeting of the Conference of Parties to the IPCC.

#### Tasks, Milestones and Schedule

<i>Tasks and Milestones</i>	<i>Date</i>
Form a Working Group to focus on national-level planning incorporating climate change adaptation	December 2012
Conduct Accra meeting with regional planners and above Working Group	April 2013
Generate report of major outcomes from meeting	May 2013
Conduct a special session at the Global Ocean Forum with Working Group to present the outcomes of the West Africa meeting	June 2013
Assemble feedback into final recommendations	September 2013

#### Output/Products:

- Meeting convened in Accra
- Outcomes and lessons formulated for Forum
- Session at Forum conducted
- Report with recommendations prepared for Conference of Parties

#### Results Expected for objectives 1-2

<i>Indicator</i>	<i>Year 9 Target</i>	<i>Comments</i>
1. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-men. (previously part of Ind 1 in SUCCESS)	384	12 men per each two day workshop (one in Tanzania and one in Accra). Each workshop is a total of 16 hours.
1.b. Person hours of training completed in climate change supported by USG assistance- adaptation (men)	384	

2. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-women. (previously part of Ind 1 in SUCCESS)	96	3 women per each two day workshop (one in Tanzania and one in Accra). Each workshop is a total of 16 hours.
2.b Person hours of training completed in climate change supported by USG assistance- adaptation (women)	96	
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	One video and one document with recommendations based on case studies and analysis
5. Stories, articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS	1	Paper presented at Oceans and Coasts Conference
7. Recipients of SUCCESS training and/or mentoring subsequently implementing projects or providing training or technical assistance in these topics to others	3	Tanzanians who participated in National workshop who are now implementing projects and mentoring others.
8. Number of institutions with improved capacity to address climate change issues as a result of USG assistance - adaptation capabilities	8	At least two national agencies with strengthened capacity in each of the four countries represented in CC workshops in Tanzania and Accra.

## 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. While it offers a combination of professional development, networking, ethics and certification, the focus to date has been on the latter. A key message from our experience is that certification cannot stand alone in order for management agencies to adopt the model. The MPA PRO model is leading to a paradigm shift in traditional capacity development strategies for protected area management. While many natural resource professionals are very interested in the concept, they want to see the impacts of this program before they commit to adopting it.

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

The four objectives of MPA PRO are to:

- Objective 1: Certify to build a critical mass
- Objective 2: Service MPA PROs post certification
- Objective 3: Solidify WIO-COMPAS
- Objective 4: Share the model globally

### Two year strategy (FY 13 & FY14) for WIO-COMPAS using SUCCESS funds

Objective	Activity	YR 9	YR 10	Output
Certify	Certifications	2x with SIDA support	2x with SIDA support	4 events, ~ 20 MPA PROs
	Awareness for Applicants in WIO	Posters		Posters, increased application rates
Service	Exchange Program	1-2 Exchanges	1-2 Exchanges	Exchange Impact Reports and Evaluation of Program
	<i>Potential Training Course if partner funding available</i>	<i>Link with South Africa MPA Forum?</i>		<i>TBD</i>

Objective	Activity	YR 9	YR 10	Output
	<i>Networking activities if partner funding available</i>			<i>TBD</i>
Solidify	Educate MPA Agency Directors	6 countries: briefs and presentations	6 countries	Status and opportunities report
	Video Testimonials	Draft materials	Final video	Video online
	WIO-COMPAS Past and Future Report	Learning Workshop Summary with MPA PRO Cases		Report
	Upgrade WIO-COMPAS Website		Security Patches, MPA PRO database and documents	Functioning data rich website
Share	Journal articles	1 article	1 article	2 articles for two audiences
	“How To” Guidebook		1 Guide	Guide with online resources
	MPA PRO /IUCN /IRF Partnership	MPA PRO to Arusha IRF World Ranger Conference, Discussions and papers	Meeting?	Awareness and potential partner agreements
	Newsletter Articles and Blogs	3 articles/postings	3 articles/postings	Increased global awareness

## Year 8 Accomplishments

- Convened our core WIO-COMPAS partners to reflect on achievements and lessons over the past eight years and outlined a strategy for the next phase of WIO-COMPAS. Two papers—one on the evolution of the program, the other on the impact of the program—were produced as input to this Learning Meeting.
- Completed all three certification levels after the first Level 3: Strategy, Policy and Planning Certification was completed in May for six candidates (five of whom were awarded certification) from South Africa, Kenya and Tanzania.
- Delivered the first Certification Event hosted by our partners in Tanzania. Sixteen people applied. Twelve were accepted to attend the Assessment Event, and of these nine were awarded MPA PRO Level 1: Marine Field Operations Certification (4 from Kenya and 5 from Tanzania). Mafia Island Marine Park hosted the Assessment Event.
- Delivered two comprehensive training courses for our assessors to ensure they follow best practices for assessing competences and maintained confidence in their abilities.
- Presented the MPA PRO model and advised global partners on advancing the certification concept at the World Conservation Union (IUCN) World Congress in Korea; at an IUCN-WCPA (World

Commission on Protected Areas) Marine meeting in April in Denmark; and at the East Asian Seas Congress in Korea this past July. All invitations were funded by host organizations demonstrating growing global interest in this innovate capacity development model.

- Coordinated with International Ranger Federation (IRF) in preparation to highlight WIO-COMPAS at the World Ranger Congress in November 2012 in Tanzania.
- Printed the updated WIO-COMPAS Program Handbook (using RECOMAP/ WIOMSA funds).
- Hosted two West African observers at the MPA-PRO Level 3 certification event, with their participation fully funded by other projects.

### ***Year 9 Task Objectives***

#### ***Objective 1: Certify to build a critical mass***

Now that all three levels of certification have been conducted and the assessment tools refined, we are focusing on building a critical mass of certified MPA PROs in the WIO region. Our existing 42 MPA PROs are excellent ambassadors to the program, motivate their peers to apply and influence management agency policies. To sustain WIO-COMPAS beyond the life of SUCCESS, however, we must have a significant number and quality of MPA PROs in each WIO country to advocate for the certification model. As the number of MPAs in each country increase, this also expands the pool of possible national assessors in each country, and increases overall opportunities for continued testing and experience in using the assessment tools developed to date. SIDA has committed funding to conduct two certification offerings each year for five years through 2016. As well, there is a good track record of local partners contributing funds, which helps in keeping down costs. SUCCESS will provide some small amount of funds to also support this effort.

Additionally we need to promote the program to rangers at MPA sites. To achieve this we will produce some simple posters that will hang in the MPA staff office. We will also support our MPA PROs with information and brochures as needed for them to promote the program when speaking to their peers.

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

<i>Tasks and Milestones</i>	<i>Date</i>
Conduct two Certification Offerings (majority of funding from SIDA and local counterparts, with SUCCESS providing leverage)	November 2012 – June 2013
Posters of WIO-COMPAS to increase awareness and applications by MPA rangers	November 2012- January 2013

#### **Outputs**

- Case studies by candidates and assessment scoring results
- Poster promoting WIO-COMPAS value, impact and application process

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

Post-certification services are an important aspect of the MPA PRO model and a program element that now needs to be strengthened. With over 42 MPA PROs, we have many who are nearing their five year certification “renewal” period. The goal of any “services” we provide post-original certification is to improve the networking and sharing of knowledge between MPA PROs within the region. Last year we surveyed MPA PROs for their ideas on what services/support needs they saw as a priority. Repeatedly we

hear they are interested in exchange programs between sites/MPA PROs and in continuing education course offerings. This year we will test the exchange program by offering support to one or two MPA PROs to visit another MPA for a short period of time. This is seen as an incentive to the MPAs – i.e., by having certified staff they get access to on-site technical assistance. We will produce detailed policies to guide the exchange program and ensure some level of support by the participating MPA organizations.

To promote our MPA PROs, we will continue to populate our website with feature profiles of our MPA PROs and with the case studies they produced during their assessment process.

**Tasks, Milestones and Schedule**

<i>Tasks and Milestones</i>	<i>Date</i>
Conduct 1-2 exchanges of MPA PROs	December 2012– August 2013
Continue posting MPA PRO profiles and case studies on program website	Ongoing
Evaluate MPA PROs for impact of the program	August 2013

**Outputs/Products**

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

**Objective 3: Solidify WIO-COMPAS**

To ensure the long-term sustainability of WIO-COMPAS, management agencies need to mainstream all or some of the elements of WIO-COMPAS into their policies and budgets. Partners at the September 2012 WIO-COMPAS Learning Meeting agreed to focus on this objective over the next two years. Our strategy is to use our MPA PROs as the main entrance to senior management agency officials. We will produce briefing materials, presentations, videos and other media that MPA PROs can use as they educate and “market” the program to their institutional decision-makers. This includes, this year seeking an audience with senior directors to gauge their awareness of WIO-COMPAS and understand their needs. Based on these results, we will be better able to market the value of WIO-COMPAS program to management agencies and to offer them specific tools to incorporate elements of the program into their institutional policies and procedures.

In support of our promotional strategy, we will also produce a simple short video of MPA PROs giving testimonials to the impact of the program on their profession and agencies. We will strive to include Management Agency Directors in the video as well. This year, we will focus on gathering the raw footage and the interviews for what will become a final video in Year 10, and which can then be used in our executive briefings and also posted on our website.

As an outcome of the September 2012 WIO-COMPAS Learning Meeting, we will produce a summary document that captures the lessons, achievements, challenges and next steps captured in that meeting with regional partners. This document will provide a succinct summary of the first generation of the WIO-COMPAS/MPA PRO program and outline potential strategies for its next generation.

## Tasks, Milestones and Schedule

<i>Tasks and Milestones</i>	<i>Date</i>
Brief MPA management agency directors and identify their needs	December 2012- August 2013
Produce a ‘testimonial’ video footage and script and draft interview	February – September 2013
Lessons from the first phase of WIO-COMPAS	December 2012 – March 2013

## Outputs/Products

- Briefing documents for Executives
- Video script and interview footage to be used in final video
- Lessons document capturing the lessons, accomplishments and next steps for WIO-COMPAS

## Objective 4: Share the model globally

MPA PRO is at a key juncture for sharing the model with other regions. We have presented the model to many international forums and national governments. It is clear the model has opened minds to an alternative path of professional development/capacity building that can help ensure MPA staff have the right set of competencies and level of performance within those competency areas to contribute to the most effective management possible of their MPA. However transitioning to all or parts of the MPA PRO model is not an easy journey. Hence, we have developed a multi-pronged strategy for sharing the model. The table below summarizes the key legacy products we will produce over the next two years to assist in communicating our key messages and experience and encouraging more countries and/or management agencies to adapt/adopt the model.

## Legacy Products and Audience

<b>Product</b>	<b>Audience</b>	<b>FY Year Produced</b>
Executive briefs	MPA management directors	2013
Journal articles	Scientists and capacity development field	2013 and 2014
Video of “testimonials”	Rangers, directors and global audience	2014
Book on “Lessons on First Generation of WIO-COMPAS”	General MPA community	2013
‘How To’ Guidebook on Developing a Certification Program	Capacity development professionals, human resources departments, MPA community	2014

At the international level, we are working closely with the IUCN Protected Areas Committee to advocate for investing in park staff to meet international agreements. Linked to this effort has been our partnership with the nascent Global Partnership for Professionalizing Protected Area Management (GPPAM) that is linking open access courses with certification and performance competences. Mexico has shown interest in this full package of services. This year, we will continue to explore opportunities to share the model with them.

The West African region has shown interest in the MPA PRO model through their observations at certification events. Partners in Senegal and Ghana have asked us to present the model and assess their countries’ opportunities for incorporating aspects of the model into their systems.

As well, we have been presenting the model to the Indonesian Government, which is charged with building the capacity of over 2,500 district government rangers in the coming year. Currently, NOAA and conservation NGOs are assisting the government in producing ‘certified’ courses. While these courses may be valuable, using the term “certified” to describe them in an inaccurate use of the term. We will seek opportunities this year to advise them on the MPA PRO model and how it can be used for guiding training course competences and assessing course participants.

Linked to these global partnerships and presentations is a conversation with one of our leading endorsers, the IRF. CRC is advocating for a stronger professional association for MPA professionals. As such, we believe we need an existing association that already has a global footprint to be in the lead with CRC. IRF is just such an organization and we have been fostering a joint partnership for the past six years. As of last March 2012, IRF agreed to take a leadership role in promoting the MPA PRO model. One of our first joint efforts will be a session at their World Ranger Congress in Tanzania this November. CRC and WIOMSA are supporting Arthur Tuda (MPA PRO Level 2 and 3 and also an MPA PRO Assessor) from the Kenya Wildlife Service to present at the Congress and to assess the level of interest across the larger IRF association from around the world for adopting the MPA PRO model and also to explore the opportunity to link with terrestrial parks.

The MPA management community is diffuse and there is no single main source for MPA news and information. The widely distributed MPA News newsletter continues to be our best outlet to the international community and for that reason we will continue producing short newsletter articles for that and other newsletter-type publications as appropriate. In addition, we will post blogs on partner sites/media (e.g., IUCN) and draft a journal article that targets not only our primary audience of MPA PROs, but also scientists— a secondary/tertiary audience, for the program.

**Tasks, Milestones and Schedule**

<i>Tasks and Milestones</i>	<i>Date</i>
Journal article submitted on capacity-building through the MPA PRO model: summing up the program’s “first generation “	November 2012-February 2013
Present at the IRF World Ranger Conference in Tanzania	October 2012
Present the MPA PRO model with Mexico and Indonesia (or other countries upon request)	October 2012-September 2013
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**

- Article submitted to a journal
- Presentation of WIO-COMPAS at Ranger Conference
- Newsletter articles and blogs on MPA PRO and WIO-COMPAS progress in certifying professionals

**Results Expected for objectives 1-4**

<i>Indicator</i>	<i>Year 9 Target</i>	<i>Comments</i>
1. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-men.	196	Seven men certified in two events. Each certification is 4 days with 7 hours per day.
2. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-women	84	Three women certified in two events. Each certification event is 4 days with 7 hours per day
4. 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
5. Stories, articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS	3	Articles and papers
6. 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

#### Livelihoods

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 developed 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. A training curriculum was developed as a companion to the Conservation Enterprise Guide. The curriculum has been used in trainings implemented in Rhode Island and the Philippines.

#### Fisheries and Aquaculture

Another learning activity was 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.

#### Looking Back as We Head Forward

We will take what has been learned and captured in the Livelihoods Guide and Fisheries and Aquaculture Guide and strategically announce and promote them more aggressively in order to achieve the maximum visibility (e.g., have them appear in the top ten on a Google search) and ensure they have the widest use by international peer groups (e.g. WWF, CI, and CARE). We will also begin planning for other end-of-Project legacy products and events that capture what we have learned across the *larger* SUCCESS portfolio—not limited to livelihoods and fisheries, but also including climate change adaptation, capacity building/certification and other aspects of our early SUCCESS field activities (Phase I from 2004-2009). Perhaps our most reflective legacy initiative will be to hold an event and/or produce a document that is a 25-year retrospective on USAID's investments in coastal and marine programs—the summary of that

investment, its impacts, and how it has set the groundwork for addressing some of the most critical challenges of our time facing our coasts in the years ahead. While the actual event or publication will be finalized in the final year, planning must begin this year. Other learning/legacy products include position papers/case studies that capture coastal nation efforts to incorporate climate change adaptation into sector-specific and overarching national plans and strategies (see section 2 of this report).

## **Year 8 Accomplishments**

- Finalized and published the “Enterprise Development in Coastal and Marine Biodiversity Conservation: A Guidebook for Local Government and Practitioners” online.
- Developed a two-day training curriculum and a shorter two- to four-hour introductory session on conservation-based enterprise development.
- Used the conservation-based enterprise training curriculum during a training workshop for the USAID/Philippines mission supported activities of the BALANCED Project in the Philippines and the international “Building Coastal Community Resilience: Integrating Population, Health and Environment” course held in Rhode Island in June 2012.
- Finalized the content of the fisheries and aquaculture programming guide.
- Used the contents of the Draft Programmers Guide for Sustainable Fisheries and Responsible Mariculture as the basis of training modules delivered in the Philippines for Municipal and Provincial officials in Bohol Province in support of USAID/Philippines mission supported activities of the BALANCED Project as well as in a URI Fisheries leadership Course held in RI in July, 2012 and in a 10 day intensive course held in September 2012 for two Ghanaians (including a Regional Director of the Fisheries Commission) in support of the USAID/Ghana Hen Mpoano Project.
- Subsequent to the June 2012 Building Coastal Community Resilience: Integrating Population, Health and Environment training course hosted by CRC and CI, one of the participants supported by the Lake Victoria Basin-HOPE Project invited CRC to provide technical assistance on their fisheries initiatives in Uganda and Kenya as a follow up to curriculum delivered in the course on sustainable livelihoods and fisheries derived from the two guidebooks. This technical assistance was provided by Dr. Kathy Castro in August 2012 with leveraged support from the USAID BALANCED Project
- The CRC Director participated in a diversity of global 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.

## **Year 9 Task Objectives**

In year 9, we will continue disseminating and incorporating the conservation “Conservation Enterprise Development” and “Sustainable Fisheries and Aquaculture” programming guides into various CRC/SUCCESS and partner planned workshops and other training events. Furthermore, SUCCESS will 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.

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

The SUCCESS team will launch the two Guides through email, web-based announcements, and a brown bag presentation in Washington DC. Invited will be USAID, other donors, and the DC-based fisheries and

coastal conservation community. Before the brown bag event, we will print just 100 copies of the two Guides, as the publications are primarily intended for electronic distribution. We will also produce short (fact sheet and/or 60 second video clip) summaries of the Guides, which will accompany the electronic announcements and brown bag presentation.

SUCCESS plans to deliver the two-day conservation enterprise curriculum at a minimum of two international workshops. Discussion is underway with the CTI project to co-organize two workshops in that region (one for Indonesia/Philippines/Malaysia and one for Papua New Guinea/Timor/Samoa). CTI plans to organize these workshops around other regional meetings that will have MPAs, fisheries management, and climate change as their focus—a synergistic opportunity as these mirror the fuller suite of SUCCESS interests and experience. The workshops will likely include at least one day on fisheries management—building on the SUCCESS Fisheries and Aquaculture Programming Guide. While the SUCCESS team will pay for the cost of its staff time and travel to the region, the CTI will manage the local logistics and fund the participant costs. There are also opportunities to deliver conservation enterprise training to the COMFISH project in Senegal and as part of a WIO-COMPASS continued education option for MPA personnel. The shorter conservation enterprise module will be used during a regional East African population, health and environment course, which will be held on Zanzibar in February 2013.

The Fisheries Guide will also be made available at internal and external training events—e.g., we will offer to deliver a session during the G-FISH project’s fisheries management course for USAID and provide participants of that course with a copy of the Guide.

**Tasks, Milestones and Schedule**

<i>Tasks and Milestones</i>	<b>Date</b>
Develop a summary of the conservation enterprise guide (fact sheet and/or video)	December 2012
Conduct a brown bag presentation in Washington DC to launch the fisheries and conservation enterprise guides.	December 2012
Deliver conservation-based microenterprise training modules into at least two international workshops in the Coral Triangle region and/or East Africa	June 2013
Deliver session during G-FISH course on fisheries programming for USAID	June 2013

**Outputs/Products**

- Summary of conservation enterprise and fisheries guide
- Training reports

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

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

1. Organize a workshop to reflect on USAID investments in coastal and marine programs over the last two and a half decades, with invitees from partner organizations, USAID, and other government and private donors investing in coastal and marine programs. The purpose of this workshop would

be to assess what has worked and not worked, why, the value achieved through the “successes,” and how all that has been learned can inform future programming decisions.

2. Develop and publish a short article/letter to the editor that summarizes the findings of the workshop—possible outlets could be Science, Nature, or another high visibility journal; or produce a webcast based on the workshop and the resultant article.
3. Produce SUCCESS legacy products (briefs, reports, or other written materials) that summarize the last ten years of the project’s activities, accomplishments, impact, and lessons learned.
4. Produce a series of very brief videos that “introduce” the above products in an engaging way and provide links to their summaries or full text.

At this time there are no plans for a SUCCESS end-of-Project event in Washington DC for reasons of cost and inconsistent attendance by the target audiences.

### Results Expected for objectives 1-2

<i>Indicator</i>	<i>Year 9 Target</i>	<i>Comments</i>
1. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-men. (previously part of Ind 1 in SUCCESS)	480	15 men trained. Each workshop will be two days, eight hours per day.
2. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-women. (previously part of Ind 1 in SUCCESS)	480	15 women trained. Each workshop will be two days, eight hours per day.
3. Dollar value of funds leveraged from USAID Missions and non-USG sources	10,000	Training costs covered by other organizations
6. Technical support interventions provided by SUCCESS to other partners and programs on toolkits and guidebooks developed by SUCCESS	2	TA to BALANCED Philippines on livelihoods and Senegal on Fisheries.
7. Number of 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.	2	Individuals helping out as co-trainers during training workshops
9. Number of target organizations incorporating SUCCESS tools etc. into their work	1	CI/CTI incorporating SUCCESS Livelihoods Guide

### 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 9/18/12)	Incremental Obligations Received FY12 (as of 9/18/12)
USAID Ghana: “Integrated Coastal and Fisheries Governance/ICFG – <i>Hen Mpoano</i> ”	US \$10,000,000	US \$8,425,266	US \$3,399,571
USAID Senegal COMFISH	US \$11,499,709	US \$3,986,000	US \$1, 609,000
USAID West Africa <i>Ba Nafaa</i>	US \$ 3,414,566	US \$2,645,995	US \$638,797

#### **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 entering its final year with activities, 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 Year3, activities related to fisheries and the seascape portion of the coastal zone were focused on improving the enabling conditions on which management decisions are based. This included improved enforcement and prosecution strategies to deter illegal fishing 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. A legislative Initiative that will provide a more explicit mandate for co-management in Ghana is planned for this final year.

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, 2014)

This project, locally known as USAID/Ba Nafaa, is continuing to develop and promote models of fisheries co-management in the West African region especially through examples developed in The Gambia. In January 2012, the Fishery Co-Management Plan for the Gambia Sole Complex and the Cockle and Oyster Fishery Co-Management Plan for the Tanbi Wetlands National Park were approved, granting exclusive user rights and responsibility for sustainable management of the fishery to the National Sole Co-Management Committee (NASCOM) and the TRY Oyster Women's Association (TRY) respectively. Project support has since focused on continuing to strengthen the capacity of the co-management institutions and the Department of Fisheries.

Two Department of Fisheries senior staff (one male and one female) attended the Fisheries Leadership Summer Institute at The University of Rhode Island in July 2012. The President of The Association of Gambian Fisheries Companies (TAGFC), which is an institutional member of NASCOM also attended. Department of Fisheries Officer Kanyi Babanding received project support to earn a degree in Fisheries and has successfully completed that degree in September 2012. Both TRY and NASCOM received capacity building seed grants from the project to establish and institutionalize sound financial management and administrative procedures and to implement activities that support co-management plan objectives.

In July and August 2012, URI submitted requests to USAID/West Africa for additional project funds and an extension of the project end date through April 2016. These add-ons will enable the project to build on the significant successes achieved to-date and to further institutionalize the adaptive management process around which the two approved co-management plans were designed. Bi-lateral (Gambia-Senegal) climate change adaptation measures and additional Water, Sanitation and Hygiene (WASH) activities are also included in the request.

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

The USAID/Senegal-funded *Collaborative Management for a Sustainable Fisheries Future in Senegal* (COMFISH) project seeks to develop and demonstrate new management approaches to sustainable fisheries, increase the resilience of the fisheries sector to climate change, improve food security and well-being, and protect biodiversity. The five year project began in February 2011 and has many partner sub-awards including:

- WWF-WAMPO (World Wide Fund for Nature – West Africa Marine Program Office)
- CSE (Center for Environmental Monitoring)
- CRODT (Center of Oceanographic Research de Dakar Thiaroye)
- FENAGIE (National Fisheries Federation)
- IUPA (University Institute of Fisheries and Aquaculture/ Université Cheikh Anta Diop de Dakar)

- APTE (Association for Fisheries, Tourism and the Environment)
- ISE (Institute of Sciences and the Environment, University Cheikh Antar Diop, Dakar)
- IRD/IFAN (Institute for Research and Development/University Cheikh Antar Diop, Dakar)
- University of British Columbia Fisheries Department

Co-management of fisheries in Senegal takes place through Local Artisanal Fisheries Councils. COMFISH areas of intervention are in seven local councils of artisanal fishers (CLPA) and in three MPAs. Working with DPM (Department of Marine Fisheries), CLPA leadership and members, and other fisheries stakeholders and donors, COMFISH builds CLPA capacity and assists in the development of Fisheries Management Plans (FMP) for priority species at the scale of the fish stock. To carry out FMPs involves research on the status of the stock itself and building the enabling conditions—such as the legal, financial and institutional capacity—for management plans. The legal basis for CLPAs to regulate fisheries comes from legally binding agreements, termed Conventions Locales (CLs). A manual that details a 14-step procedure to create CLs to manage a fish stock was prepared and presented to each of the seven CLPA COMFISH priority areas. In August, CLs were approved in the CLPAs of Joal, Sindia and Mbour. This is a major milestone and the first phase of fisheries management planning for a unit stock.

COMFISH begins the same process of capacity building, training, and planning in three new CLPAs in FY13. One type of CL—one that spans multiple CLPAs—will be formulated next. The grouping of CLPAs in a CL is what COMFISH calls UGD (Sustainable Management Units) and will be a first in Senegal. Each UGD will bring together all CLPAs whose members fish the same stock. DPM with COMFISH support will create a draft FMP for each UGD. Each FMP will be based on timely and indicative fisheries assessments (using fisheries data currently being collected and analyzed by COMFISH and partners). Fisheries data includes sampling of landings (size, weight and price), catch per unit effort (CPUE) and age and sex of fish.

These indicative fisheries data assessments and GIS mapping conducted with fishermen and project partners will be shared with all CLPAs during consultative and information exchange workshops. Scientific data will also be combined with fisherman-based local knowledge and understanding of fisheries best practices.

To improve the well-being of women fish processors, COMFISH is working in the CLPA and fish landing site in Cayar to improve fish processing methods, equipment and quality of final product. This is intended to improve net revenues and expand markets for processed fish products.

Building resilience to climate change and adaptation planning is important because climate change impacts catch rates and landings independently from excess effort. A recent report from the Food and Agriculture Organization (FAO) listed Senegal as the eighth most vulnerable country of the 155 countries where landings and food security are vulnerable to climate change impacts. In partnership with ISE, the COMFISH project is training fishing communities and local government on climate change and will develop vulnerability assessments and adaptation plans in the seven CLPAs where COMFISH has a presence.

### **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 goals is to create wealthier and more empowered communities. Wealthier communities are created not by simply increasing people's economic health and standing, but by 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. Since 2011, the Pwani Project has completed six vulnerability assessments on the mainland and Zanzibar. Learning from SUCCESS and *Hen Mpoano* (SUCCESS Associate Award project in Ghana), the *Pwani* Project is revising its vulnerability and assessment process to focus less on single villages and more on a larger ecosystem/district-wide level. Second, *Pwani* is a learning site for enterprise development and it is one of the cases featured in the Conservation Enterprise Guide. Lastly, *Pwani* supports the MPA PRO program, including having one of its staff certified in June 2011 as an MPA PRO.

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

CRC is a partner in the Chemonics International-led consortium of the PLACE indefinite quantity contract (IQC) that was awarded for the "Indonesia Marine and Climate Support" (IMACS) project funded by USAID/Indonesia. The project is focusing on building the capacity of the Indonesia Ministry of Marine Affairs and Fisheries (MMAF) to address fisheries and climate change issues. CRC is playing a senior advisory role for the coastal adaptation aspects of the project and will focus on providing support to MMAF in developing vulnerability assessments, designing and delivering short training courses, and developing the capacity of regional universities to provide extension services to local governments. CRC produced a capacity assessment of the two Mitra Bahari (Sea Grant-like programs) programs in the field sites of Nusa Tenggara Barat and Sulawesi Tenggara. We are currently assisting IMACS on executive briefings and a provincial training course on coastal resilience. In June, we had five IMACS project partners attend the CRC-CI three-week Coastal Community Resilience Course. Further, CRC has shared the SUCCESS-led Coastal Adaptation Guide produced with USAID to influence the village assessment methodology being developed in IMACS. CRC's role in the fisheries aspect of the project has also expanded with support given to the Secretary General of the MMAF on compliance and rights-based fisheries.

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

CRC completed a small grant with the US CTI program in December 2011. Based on the success of the climate change training attended by 15 CTI partners in 2010, the US CTI program awarded CRC a second small grant to collect adaptation cases from the region, and to design and deliver two regional short courses and one training-of-trainers course. In the process, CRC coached the CTI field partners as they implemented their independent adaptation programs. CRC delivered the first short course for the Solomon Islands and PNG in Port Moresby in September-October 2011. The focus was on community-based adaptation planning. The second regional course occurred in February 2012 with the University of the Philippines Marine Science Institute in the lead. As noted in the work plan above, SUCCESS is in discussion with CTI about incorporating sessions based on the Enterprise and Fisheries guides into some of their regional events being planned in the upcoming year.

### **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 advances and supports 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. This includes the nexus of issues and linkages between human health, environmental health and climate change.

While not a SUCCESS Associate Award, 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 (FP) and health services into that project's already highly integrated activities (including work in HIV-AIDS prevention and livelihoods development/savings and loan activities). It 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 FP 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 has provided an additional US \$1.6 million to supplement the Project's US \$5m in core funding. The Mission's Office of Health has contributed US \$800,000 and its Office of Energy and Environment has contributed US\$800,000. This US \$1.6 million is being used for PHE activities that include a livelihoods approach; the strengthening of MPAs and fisheries enforcement networks; and development of multi-municipal fisheries management plans—issues that the USAID SUCCESS Project has addressed and continues to address and from which the BALANCED Project can learn important lessons.

Members of the BALANCED team were co-designers and trainers of the June 2012 Building Coastal Community Resilience: Integrating Population, Health and Environment training course hosted by CRC and CI. A reality that emerged was how difficult it is for most individuals—whether they work very much within one sector, e.g., exclusively in the health field or the marine biology field or whether they work in a more integrated field such as coastal management—to understand the nuances of the linkages between population, human health and the environment (including climate change) and harder still to understand how their programs might be redesigned to better integrate these issues. Insights such as these are helping inform the growing body of lessons being learned being captured by the SUCCESS climate change team.

Subsequent to that training event, one of the participants supported by the Lake Victoria Basin -HOPE Project invited CRC to provide follow-up assistance on their fisheries initiatives in Uganda and Kenya as a follow up to curriculum delivered in the course on sustainable livelihoods and fisheries, derived from those two guidebooks. This follow-up assistance was provided by Dr. Kathy Castro in August 2012 with leveraged support from the USAID BALANCED Project.

### 3.2 Leveraged and Complementary Activities

In Year 8, SUCCESS leveraged over US \$49,870 from various sources (see table below).

#### Year 1-5 Leveraged Funding Results

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

#### Leveraged Funds Years 6-8

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 Sea Grant	Sea Grant 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 WIO_COMPASS	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>Year 7</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 Sea Grant	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 Sea Grant		Salary and funding for fact sheets	12,000
WIOMSA	WWF TZ	WIO-COMPASS event	5,000
		<b>Total Year 7</b>	<b>\$390,085</b>
<i>Year 8</i>			
WIOMSA	SIDA	MPA PRO assessor training	14,000
CRC	TNC	Pam Rubinoff to participate in workshop on Natural Coastal Protection,	1,600
CRC	CRC/BALANCED	Elin and Brian's travel to the Philippines	6,170
WIOMSA	EU	Printing of assessors handbook	2,500
CRC	IUCN	travel to Denmark	1,600
WIOMSA	Various	Level 3 assessment event	4,000
WIOMSA	SIDA		20,000
		<b>Total Year 8</b>	<b>\$49,869</b>
<b>Total Leveraged Funds (Years 6-8)</b>			<b>\$524,381</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>
Maria Haws (Deputy Director)	UHH	<a href="mailto:haws@aol.com">haws@aol.com</a>
Lesley Squillante (Deputy Director)	CRC	<a href="mailto:lesley@crc.uri.edu">lesley@crc.uri.edu</a>

#### GCC Team

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Maria Haws	UHH	<a href="mailto:haws@aol.com">haws@aol.com</a>

#### WIO Certification Team

Glenn Ricci	CRC	<a href="mailto:gricci@crc.uri.edu">gricci@crc.uri.edu</a>
Julius Francis	WIOMSA	<a href="mailto:julius@wiomsa.org">julius@wiomsa.org</a>
Lesley Squillante	CRC	<a href="mailto:Lesley@crc.uri.edu">Lesley@crc.uri.edu</a>

#### Learning & Outreach

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

### 4.2 Key Reports

The following table lists key reports that will be produced in Year 8 along with completion dates.

<i>Key Products and Outputs</i>	<i>Schedule</i>	<i>Recipient</i>
<b>Program Reports</b>		
Quarterly PMP report (in work plan)	30 September 2012	Richard Volk, AOTR and AO
Semi-annual Report & PMP Report (July 2012 - December 2012)	20 December 2012	Richard Volk, AOTR and AO
Quarterly Progress Report (January 2013 - March 2013)	30 April 2013	Richard Volk, AOTR and AO
Semi-annual Report & PMP Report (January 2013 - June 2013)	30 July 2013	Richard Volk, AOTR and AO
Year 9 Workplan	30 September 2013	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	Richard Volk, AOTR
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 pub.	Richard Volk, AOTR and USAID Clearinghouse

### 4.3 Tentative International and US Travel Schedule

<i>Program Element</i>				
<i>Month</i>	<i>Climate Change</i>	<i>Capacity Building</i>	<i>Learning and Outreach</i>	<i>Project Mgt.</i>
October 12		Tuda Kenyan: Ranger Conference in Tanzania		
November 12				Woodring – WIOMSA pre-audit review (add on 2 days per diem to Pwani trip)
December 12			Crawford and Torell to DC to launch guides	
TDB	Rubinoff et al: Working Group meetings and synthesis paper			
January 13	Kent: Tanzania Climate change workshop			
March 13	Kent, Stevens: West Africa Climate Change workession	Ricci: Mexico, MPA PRO Sharing the model	Torell, CTI country for microenterprise training	Crawford: DC
May 13			Crawford CTI country for microenterprise and fisheries training	
June 13	Rubinoff, Stevens to Global Ocean Forum			
August 13		Ricci: South Africa, Level 1 Offering		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>1</sup>:

<sup>1</sup> Two exceptions are numbers of policies etc. promoting sustainable natural resource management and conservation

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
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 were reflected in a revised PMP. Beginning in FY 12, the following indicators are tracked:

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

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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.

conservation implemented

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

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

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

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 all other indicators are set annually during work planning. During the FY 13 work planning, we also increased the targets for number of person hours of training for both men and women.

**FY 13 Targets for all indicators**

INDICATOR	FY 13 Targets
1. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-men. (previously part of Ind 1 in SUCCESS)	1,060
1.b. Person hours of training completed in climate change supported by USG assistance- adaptation (men)	384
2. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-women (previously part of Ind 1 in SUCCESS)	660
2.b Person hours of training completed in climate change supported by USG assistance- adaptation (women)	96
3. Dollar value of funds leveraged from USAID Missions and non-USG sources	10,000
4. Tools, protocols, procedures, systems, methodologies, guides, curricula, or indices developed or adapted for country and/or thematic contexts	4
4b. Number of climate change mitigation and/or adaptation tools, technologies and methodologies developed, tested, and/or adopted as a result of USG	2

INDICATOR	FY 13 Targets
assistance	
5. Success stories, peer review articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS	4
6. Technical support interventions provided by SUCCESS to other partners and programs on toolkits and guidebooks developed by SUCCESS	4
7. Recipients of SUCCESS training and/or mentoring subsequently implementing projects or providing training or technical assistance in these topics to others	5
8. Number of institutions with improved capacity to address climate change issues as a result of USG assistance - adaptation capabilities	8
9. Target organizations incorporating SUCCESS tools etc. into their work	2
10. Hectares in areas of biological significance under improved management	No target, but we might be able to count RMI hectares under improved management
11. Policies, laws, agreements, or regulations promoting sustainable natural resource management and conservation implemented	0

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

#### Tasks and Milestones

<i>Tasks and Milestones</i>	<b>Date</b>
Annual self-assessment	August 2013
Collect PMP data	Quarterly
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 from several international groups for this new initiative though it has been difficult getting traction to move to the next step. National governments in the WIO Region have not yet fully embraced and mainstreamed this as part of their MPA staff development strategies and others outside the region are not yet convinced this is an appropriate tool they can use in their own country. Alumni are enthusiastic supporters of the program although other protected area staff do not fully understand the concept as it is new to the natural resources field. 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.

With respect to climate change activities, there have been several challenges during this last year. First has been to coordinate with our colleagues in RMI to complete edits on two products that have been pending for a very long period of time. This road block has been overcome with both products now in layout stages at UHH. The second challenge was precipitated by a visit by the AOR, Richard Volk, to CRC to discuss the direction of work undertaken. He challenged us to revise our climate change activities to consider an initiative that could have more global significance and influence. This would then encourage a transition away from implementing small practitioner oriented workshops and training events on mainstreaming climate change. Subsequent to this we decided to reduce emphasis on case studies in specific countries and consider a broader analysis about challenges (and successes) to effective climate change adaptation mainstreaming. We could use a framework to look at what is happening in some of the current countries where we work, and how we could influence to some extent the global dialogue about what needs to be done. We discovered that there is a fast evolving literature on what is occurring globally and discussion on barriers to mainstreaming, with our own view being that national governments are not doing enough to directly invest in adaptation actions or connect localized efforts with national strategies. Several concept notes were developed over the past year and discussed with our AOR and with the USAID climate change specialist in Washington D.C. This led to refinement of our strategy for the climate change work over the next two years aiming to identify lessons and recommendations for national adaptation planning efforts via several international venues. Looking forward, we have mapped out an ambitious strategy which will be challenging to implement in a two year period with limited budget. CRC is also allocating a substantial amount of returned overhead funds to this activity as USAID SUCCESS funding alone will not be sufficient to achieve our aims.

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 current portfolio of Associate Awards and CRC involvement in related USAID projects have stretched the human resource capacity of CRC over the last several years, exacerbated with the retirement of two senior staffers at CRC in June 2012 (The CRC Director and one senior coastal manager) that were providing technical support and cost share on our international and US-based projects. The SUCCESS Director has now assumed the Interim Director position of CRC until a new Director is hired. While some additional staffing hires to CRC over the last two years have helped to fill this void, additional internal reorganization has been made as well. A senior CRC staffer has been assigned to each of the CRC International Projects, except SUCCESS, where the SUCCESS Director (and CRC Interim Director) retains the project leadership role. However, Glenn Ricci has increased his time on the project to support the Director and leads coordination and assembly of the work plan, quarterly and semi-annual reports. CRC is also in the process of hiring a full time communications officer, especially important as we move into the final two years of SUCCESS where legacy and outreach will become more prominent. These adjustments are enabling CRC to meet the demands of our USAID project activities and to produce our deliverables on time and with high quality.

The status of Year 8 tasks are included in Annex B indicating whether tasks were completed, delayed, or dropped.

## 5. Budget

This section provides details of the annual budget aggregated in different ways. The budget assumes carryover of Year 8 USAID funds of approximately \$144,000 from exiting obligations, and a Year 9 planned USAID budget of \$367,215. The modification to the cooperative agreement in process is expected to add an additional \$500,000 for the remaining period of the agreement thereby leaving a planned budget in the final year of \$277,000. Estimated URI Cost share for Year 9 is budgeted at \$109,793.

### Budget by Line Item

Item	USAID	URI Cost Share	Total
Salary	93,527	16,380	109,907
Consultants	14,693		14,693
Fringe benefits	44,533	4,750	49,283
Other direct Costs	33,932		33,932
Travel	42,786		42,786
Sub-agreements	43,660	80,000	123,660
Total Direct Costs	229,472	21,130	250,602
Indirect @ 41% (excluding subs)	94,083	8,663	102,747
<b>Total</b>	<b>\$367,215</b>	<b>\$109,793</b>	<b>\$477,008</b>

### Budget by Program Element

Program Element	USAID	URI Cost Share	Total
Climate Change	168,408		168,408
Capacity Building	88,037	80,000	168,037
Livelihoods and Outreach	44,929		44,929
Program Management	65,841	29,793	95,634
<b>Total</b>	<b>\$367,215</b>	<b>\$109,793</b>	<b>\$477,008</b>

### International and US Based Travel Budget

Program Element	USAID	Total
Climate Change	23,542	23,542
Capacity Building	5,456	5,456
Livelihoods and Outreach	12,394	12,394
Program Management	1,394	1,394
<b>Total</b>	<b>\$42,786</b>	<b>\$42,786</b>

### Annex A: PMP Results and Targets

Indicator	FY 12 Target	FY 12 Cumulative total	Q4	Comments
1. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-men. (previously part of Ind 1 in SUCCESS)	2560	440	0	We overestimated the target for this indicator. The original target was to train 40 individuals in FY 12 (including both men and women). We trained 56 individuals (24 women and 32 men), but we did not estimate the hours correctly (overestimating the duration of training events) when we switched the indicator from number of individuals to number of person hours.
1.b. Person hours of training completed in climate change supported by USG assistance-adaptation (men)	No target	0	0	
2. Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance-women (previously part of Ind 1 in SUCCESS)	1,240	427	0	See comment under Indicator 1.
2.b Person hours of training completed in climate change supported by USG assistance-adaptation (women)	No target	0	0	
3. Dollar value of funds leveraged from USAID Missions and non-USG sources	No target	49,870	20,000	
4. Tools, protocols, procedures, systems, methodologies, guides, curricula, or indices developed or adapted for country and/or thematic contexts	10	9	6	Slightly below target as we are still finalizing the Fisheries Guide. In Quarter 4, we counted the two RMI documents (facilitators guide and erosion guide), microenterprise guide, and training curricula. These tools are completed and we expect the final lay out and PDF to be ready by the end of September, 2012. However, the tools will be printed and distributed in the first quarter of FY 13.

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	2	2	On target. RMI facilitators guide and Erosion Fact Sheets were finalized in Q4. They will be printed in the first quarter of FY 13
5. Success stories, peer review articles, conference papers, research studies documenting key actionable findings and lessons learned related to SUCCESS	7	5	0	Under target. The climate change case studies will be finalized in FY 13.
6. Technical support interventions provided by SUCCESS to other partners and programs on toolkits and guidebooks developed by SUCCESS	No target,	7	5	In Q4, TA was provided on fisheries (Fisheries Institute, HOPE LVB project, and Ghana training) and climate change (SAGE committee, USArmy Corps, FEMA, etc.)
7. Recipients of SUCCESS training and/or mentoring subsequently implementing projects or providing training or technical assistance in these topics to others	No target	18	8	Eight MPA Pro Assessors were counted in Q4.
8. Number of institutions with improved capacity to address climate change issues as a result of USG assistance - adaptation capabilities	No target	1	1	SAGE Committee was added in Q4. Also, continued working and building capacity of six out of 15 institutions previously reported through SUCCESS and associate awards.
9. Target organizations incorporating SUCCESS tools etc. into their work	No target	2	0	
10. Hectares in areas of biological significance under improved management	0	0	0	We are looking into the possibility of reporting some hectares under improved management for RMI in the next reporting period.
11. Policies, laws, agreements, or regulations promoting sustainable natural resource management and conservation implemented	0	0	0	

## Annex B: Status of Year 8 Workplan Tasks and Products

<i>Output</i>	<i>Date</i>	<i>Status</i>
<b>MPA PRO</b>		
Produce an assessors' training course and manual	February 2012	Course Completed
Conduct Level 3 offering, including a training of Level 3 assessors during the event (regional)	December 2011 – March 2012	Completed.
Produce Level 3 Assessor Guidebook	January 2012	Completed.
Assess the demand and methods for an exchange program	December 2011– March 2012	Completed
Continue posting MPA PRO profiles and case studies on program website	Ongoing	On track
Evaluate MPA PROs for impact of the program	Ongoing	Completed
Survey MPA PROs for continuing education course themes	June 2012	Completed
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	Completed
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	Completed
Journal article submitted on capacity-building through the MPA PRO model: summing up first generation	September 2012	Final Submission to a journal may be later due to learning workshop scheduled in September 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	Submission to Editors To be completed by Sep 30

<i>Output</i>	<i>Date</i>	<i>Status</i>
<b>CLIMATE CHANGE</b>		
Dissemination of Year 7 videos	November 2011	Completed
Final guidance materials on shoreline erosion protection and adaptation measures written, reviewed, edited and laid out	December 2011	Edits to layout. Delay continued. Target of September, 2012 completion.
Outreach document on Reimaanlok community-based process, with a climate lens produced	December 2011	Target of September 30 completion.
Finalize the RMI Namdrik field report, highlighting methodology for assessing shoreline erosion and options for addressing this problem at the community level	December 2011	Completed
Script, production and dissemination of 1 V&A Planning video	February 2012	Script under review and materials/video collected. Target August 15, 2012
Outline of case study, framework for analysis	January 2012	Case study outline completed. After review with AOR, case study activities changed to develop a concept paper for a call to action, or “clarion Call” which was completed and underwent review with USAID
Draft case studies	June 2012	
Draft synthesis across cases	September 2012	
<b>LEARNING</b>		
Enterprise Guide sent to experts for review	October 2011	completed
Expert group feedback received	December 2011	completed
Enterprise Guide revised and finalized based on feedback	February 2012	completed
Final lay out and publication of Enterprise Guide	March 2012	completed
Develop two training modules based on the Enterprise Guide	February 2012	completed

<i>Output</i>	<i>Date</i>	<i>Status</i>
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	Completed, module used in two trainings
Final editing of Fisheries and Aquaculture Guide based on USAID comments and to USAID for final approval of content	December 2011	Final editing completed drafting of figures for e-publishing underway
E-layout and 508-compliant formatting and submission to USAID for final approval	March 2012	September 2012
Delivery of final document for uploading on USAID website	April 2012	September 2012
Communications to launch the Guide	May 2012	September 2012