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U.S. CORAL TRIANGLE INITIATIVE (CTI) SUPPORT PROGRAM

**PROGRAM INTEGRATOR**

**YEAR 2 WORK PLAN 2009 – 2010**

November 2009 (Bangkok, Thailand)

U.S. CORAL TRIANGLE INITIATIVE (CTI) SUPPORT PROGRAM

# PROGRAM INTEGRATOR

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November 2009 (Bangkok, Thailand)

Prepared for U.S. Agency for International Development  
by ARD Inc. under Contract No. EPP-I-00-06-00008-00; Order No. EPP-I-07-06-00008-00

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# LIST OF ACRONYMS AND ABBREVIATIONS

ADB	Asian Development Bank
PEC	Asia Pacific Economic Cooperation
ARD	Associates in Rural Development
ARMM	Autonomous Region of Muslim Mindanao
ASEAN	Association of South East Asian Nations
ATSEF	Arafura and Timor Seas Experts Forum
BIMP-EAGA	Brunei, Indonesia Malaysia, Philippines – East ASEAN Growth Area
BSSE	Bismarck Solomon Seas
CBD	Convention on Biological Diversity
CCC	CTI Coordination Committee
CDM	Clean Development Mechanism
CEPA	Communication, education, and public awareness
CGIAR	Consultative Groups on International Agricultural Research
CI	Conservation International
CITES	Convention on International Trade in Endangered Species
COASTFISH	Sustainable Coastal Fisheries and Poverty Reduction Initiative
COP	Chief of Party (USAID) or Conference of Parties
CRFC	Coastal Resources and Fisheries Conservation Project
CRMP	Coastal Resource Management Project (USAID)
CT	Coral Triangle
CT6	Coral Triangle countries (Indonesia, Malaysia, Philippines, Papua New Guinea, Solomon Islands, East Timor)
CT6+2	Coral Triangle countries plus Fiji and Vanuatu
CTI	Coral Triangle Initiative
CTICOM	Coral Triangle Initiative Council of Ministers
CTIMS	Coral Triangle Information Management System
CTMPAN	Coral Triangle MPA Network
CTMPAS	Coral Triangle MPA System
CTPF	Coral Triangle Partnership Fund
CTSP	Coral Triangle Support Partnership
ECOGOV	Environmental Governance (USAID project)
ECSP	Environmental Change and Security Project, Woodrow Wilson International Center for Scholars
EAFM	Ecosystem approach to management of fisheries
EBFM	Ecosystem-based fisheries management

FAD	Fish aggregation device
FAO	Food and Agriculture Organization
FFA	Forum Fisheries Agency
FISH	Fisheries Improved for Sustainable Harvests Project (USAID)
GEF	Global Environment Facility
GHG	Greenhouse gas emissions
GIS	Geographic Information System
GMSA	Global Marine Species Assessment
ICC	Information Coordination Committee
ICO	Information, communications, and outreach
ICRI	International Coral Reef Initiative
ICZM	Integrated Coastal Zone Management Plan
IPCC	Intergovernmental Panel on Climate Change
IUCN	World Conservation Union
IUU	Illegal, unreported, and unregulated
LMMA	locally managed marine area
LRF	Live-reef food
LRFT	Live reef fish trade
LRFFT	Live reef food fish trade
MDGs	Millennium Development Goals
M&E	Monitoring and evaluation
MG	Matching grant
MMEA	Malaysian Maritime Enforcement Agency
MOU	Memorandum of Understanding
MPA	Marine Protected Area
MSC	Marine Stewardship Council
MSG	Melanesia Spearhead Group
NBSAP	National Biodiversity Strategy and Action Plan
NCC	National Coordination Committee
NGO	Non-governmental organization
NOAA	National Oceanic and Atmospheric Administration
NPOA	National Plan of Action
PATA	Pacific Asia Travel Association
PCG	Program Coordination Group
PEMSEA	Program for the Environmental Management of the Seas of East Asia
PHE	Population, health, and environment

PI	Program Integrator
PIP	Program Integrator Portal
PMP	Performance and Monitoring Plan
PNG	Papua New Guinea
POA	Plan of Action
PPP	Private-public partnerships
REDD	reduced emissions from deforestation
RDMA	Regional Development Mission/Asia
RFMO	Regional fisheries management organization
SGP	Small grants program
SIMCA	Sugut Island Marine Conservation Area
SOM	Senior Officials Meeting
SPREP	South Pacific Regional Environment Program
SRU	Sustainable resource unit
SSME	Sulu Sulawesi Seas
TNC	The Nature Conservancy
TOR	Terms of reference
UNCLOS	United Nations Convention on the Law of the Sea
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development
USAID GDA	USAID Global Development Alliance
USDA	United States Department of Agriculture
USDA/FS	USDA Forest Service
USG	United States Government
USGS	United States Geological Survey
USTDA	United States Trade and Development Agency
WWF	World Wildlife Fund

# I. INTRODUCTION

ARD Inc. was awarded Task Order EPP-I-07-06-00008-00 on September 3, 2008 to provide program integration and technical support for a unified US government response to the Coral Triangle Initiative.

## I.1 Overview of the US CTI Support Program

The Coral Triangle Initiative (CTI) is a multilateral partnership founded on the commitment of the six Coral Triangle countries (CT6): Indonesia, Malaysia, Papua New Guinea, the Philippines, Timor Leste, and the Solomon Islands, to accelerate efforts to safeguard coastal and marine resources and communities.

Despite increased investment and efforts by governments and organizations to improve management, the condition of the resources continues to decline. Coral reefs and fisheries are being subjected to increasing threats from population growth in coastal areas, overfishing, and changes in oceanographic conditions, including increase in sea surface temperature and ocean acidification, resulting from climate change.

### Program Approach

- Assist Government with Enabling Conditions
- Build Capacity and Strengthen Institutions
- Build Constituencies
- Enhance Decision Making Support Capacity

Regional commitment and cooperation is expected to catalyze, expand, and sustain national and local-level implementation efforts through the development and adoption of the CTI Plan of Action. Within the broad framework of the CTI Plan of Action, the six countries are developing national strategies and action plans, as well as working together to identify and implement those actions that require regional cooperation. CTI thus encompasses a distinctively regional approach, building on country-driven priorities and actions. Management of the CTI is led by a Secretariat, currently based in Indonesia. Formal governance arrangements are currently under negotiation, but are likely to include a governing council, assisted by a partners' forum, and national coordinating committees in each country.

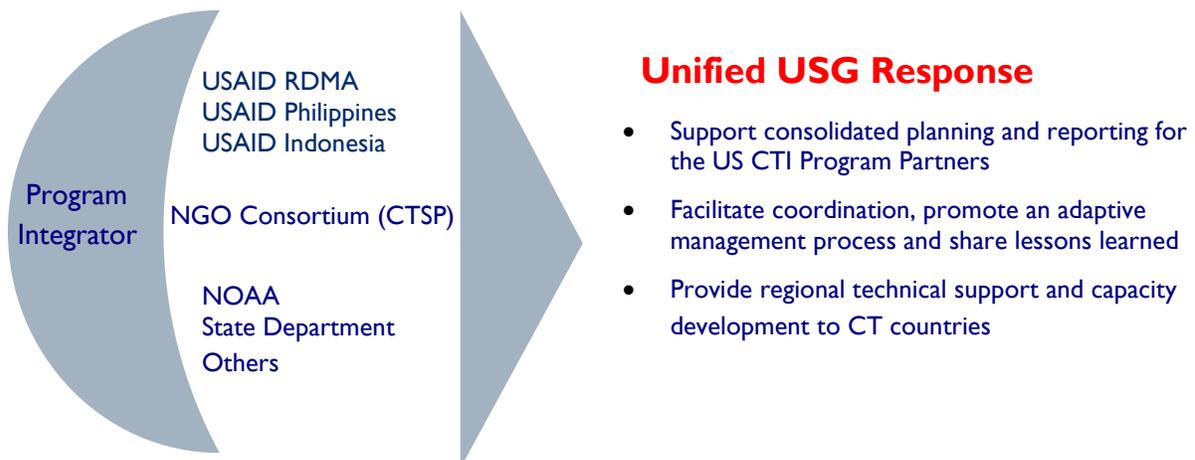
The U.S. Coral Triangle Initiative Support Program represents the US Government's (USG's) commitment to support the efforts of the CT6 countries plus two additional countries, Fiji and Vanuatu (CT6+2). The U.S. Agency for International Development (USAID) Regional Development Mission for Asia (RDMA) in Bangkok, Thailand is supporting regional and national implementation through the National Oceanic and Atmospheric Administration (NOAA) and the Coral Triangle Support Partnership (CTSP) implemented by a consortium of NGOs composed of the World Wildlife Fund (WWF), The Nature Conservancy (TNC), and Conservation International (CI).

As part of the US commitment to the CTI, RDMA is also supporting a US CTI Program Integrator (PI) through a task order under the USAID PLACE contract to ARD Inc. Modeled after the U.S. Indian Ocean Tsunami Warning System (IOTWS) Program, the PI is responsible for coordinating inputs from the various USG agencies and partners, including other donors, providing strategic technical support to the region, and for facilitating a unified USG response to CTI needs and objectives. USAID bilateral missions in the Philippines and Indonesia are also contributing to the US CTI Support Program through existing marine-related projects in their respective countries. The U.S. Department of State is supporting development of the CTI Regional Secretariat in Jakarta, Indonesia.

## I.2 Overview of the Program Integrator

CTI is a complex, multi-stakeholder program with multiple funding and implementing organizations at regional, national, and local levels. As a result, significant coordination challenges exist. Some of the benefits of strengthened coordination include multiplying impact through synergy, avoiding release of conflicting technical information, ensuring efforts are not duplicated, streamlining engagement with beneficiaries to minimize transaction costs and fatigue, and exploiting opportunities to capture and apply lesson and apply them in activities through adaptive management

The PI will support the US CTI Support Program by coordinating consolidated planning and reporting, facilitating adaptive management, and providing strategic technical support to the region. The overall objective of the PI is to facilitate a unified USG response to the CTI and regional exchange among all CTI stakeholders to assess status and needs and share lessons learned.



*Role of Program Integrator in the US CTI Support Program*

### Work Plan Organization

This Year 2 Program Integrator Work Plan provides an overview of the planned activities and outcomes for the 12 month period of implementation from October 1, 2009 – September 30, 2010. The work plan structure has been modified from the Year 1 work plan to follow the Program’s Results Framework. The Year 1 work plan for Fiscal Year 2009 (FY09) was organized by 5 program areas and 13 tasks as reflected in the Program Integrator’s Task Order contract. In July 2009, the Program Integrator developed a common Results Framework for the US CTI Support Program that was adopted by all US CTI Program team members (see Section VI). This results framework now provides the basis for planning and reporting on all activities under the US CTI Support Program. This work plan is organized as follows:

Section 1	Introduction
Section 2	US CTI Support Program Partners
Section 3	Program Support and Integration
Section 4	Regional Support and Technical Assistance

#### Shared USAID Indicators to Measure Program Progress

- Number of hectares in areas of biological significance under improved management
- Number of hectares under improved natural resource management as a result of USG assistance
- Number of policies, laws, agreements or regulations promoting sustainable natural resource management and conservation that are implemented
- Number of people receiving USG-supported training in natural resources management and/or biodiversity conservation
- Number of laws, policies, agreements, or regulations addressing climate change proposed, adopted, or implemented as a result of USG assistance
- No. of public-private partnerships formed

Section 5	Program Integrator Organization and Staffing
Section 6	Year 2 Work Plan Activity Tables
Section 7	PI Performance Management Plan

This work plan will be integrated with the Year 2 work plans of the US CTI Support Program partners into an Annual Consolidated Work Plan.

## II. US CTI SUPPORT PROGRAM TEAM

As one of the CTI stakeholders, the US CTI Support Program is composed of USAID, the U.S. Department of State, NOAA, the NGO Consortium of WWF, TNC and CI which implements the USAID-funded Coral Triangle Support Partnership (CTSP) and ARD/Tetra Tech which serves as the Program Integrator (PI) through a USAID contract. USAID RDMA serves as lead and provides overall management of the program, in coordination with other key USAID missions in the Philippines, Indonesia, Washington D.C., and the U.S. Department of State.

**U.S. Agency for International Development RDMA.** USAID will provide overall management, coordination, and administrative support for the integrated USG program from its Regional Development Mission for Asia (RDM/A), located in Bangkok, Thailand. USAID/RDM/A will coordinate directly with appropriate USAID Mission personnel and programs in Indonesia and the Philippines, as well as internally within USAID with RDM/A's Regional Environment Office and USAID Washington and the State Department. USAID will manage the PI for the US CTI Program working and coordinating directly with the NGO Consortium (CTSP) and USG agency partners. *Point of Contact:* Renerio Acosta, US CTI Program Manager and Cognizant Technical Officer (CTO), USAID Regional Development Mission for Asia, Tel. +66-2-263-7972; [racosta@usaid.gov](mailto:racosta@usaid.gov).

**USAID Philippines.** USAID Philippines is actively engaged in the US CTI Support Program through direct coordination with the Philippines government and with specific projects implemented in coastal areas of the Philippines including the Fisheries Improved for Sustainable Harvests (FISH) Project and the Environmental Governance (ECOGOV) Project (see below). *Point of Contact:* Rebecca Guieb, Tel. + 632-552-982, [rguieb@usaid.gov](mailto:rguieb@usaid.gov).

**USAID Indonesia.** USAID Indonesia is actively engaged in the US CTI Support Program through direct coordination with the Indonesia government and with specific project implemented in coastal areas of Indonesia.. *Point of Contact:* Alfred Nakatsuma, Tel. + 62-21-3435-9434, [anakatsuma@usaid.gov](mailto:anakatsuma@usaid.gov)

**U.S. Department of State.** The U.S. Department of State is playing a critical role in supporting the CTI Regional Secretariat. *Point of Contact:* Howell (Hal) Howard, Tel. +662-205-4712; email [HowardHH@state.gov](mailto:HowardHH@state.gov)

**U.S. Department of Commerce - National Oceanic and Atmospheric Administration (NOAA).** NOAA is providing strategic technical support to the US CTI Support Program building on existing programs and in response to needs defined at country and regional levels. *Point of Contact:* Kacky Andrews , email [Kacky.Andrews@noaa.gov](mailto:Kacky.Andrews@noaa.gov).

**Coral Triangle Support Program (CTSP).** The CTSP, funded by USAID RMDA, is a collaborative effort among WWF, TNC, and CI, three of the world's largest marine conservation organizations. These organizations have been conducting field implementation activities in CT countries over the past 10

years and are now joining forces for CTI. The NGO Consortium is led by WWF. Point of Contact: Maurice Knight, CTSP; email [Maurice.Knight@wwfus.org](mailto:Maurice.Knight@wwfus.org)

**Fisheries Improved for Sustainable Harvests (FISH) Project - Philippines.** The FISH Project, funded by USAID Philippines and implemented by Tetra Tech EM Inc., has been pioneering ecosystem-based management approaches for coastal fisheries in the Philippines since 2003.

**Environmental Governance Project (ECOGOV) - Philippines.** ECOGOV, funded by USAID Philippines and implemented by DAI, Inc. has been working since 2004 with local government units in the Philippines to build environmental governance capacity.

**Program Integrator (PI).** The PI is providing coordination, technical, and administrative support to the US CTI Support Program and CTI Regional Secretariat. The contract for the PI is held by ARD Inc. The PI is assisting in coordinating USG agency efforts towards achieving and reporting the overall expected results for the USG program. In addition to overarching support, the PI is providing strategic technical analyses, assessments, and coordination support at the regional level in consultation with the CTI Regional Secretariat. *Point of Contact:* Peter Collier, Chief of Party, Tel. +66-2-637-8518; [pcollier@uscti.org](mailto:pcollier@uscti.org).

### III. PROGRAM SUPPORT AND INTEGRATION

In addition to conducting and coordinating program activities described under the Program Results Framework, the PI provides coordination and integration support to USAID in its management of the US CTI Support Program Team, including CTSP, NOAA and the U.S. Department of State. Development of effective coordination strategies and mechanisms maximizes impact and facilitates the development and communication of a unified USG contribution to the CTI that is technically sound, culturally appropriate, and gender-sensitive. PI Program Support and Integration activities are outlined below under four task areas consistent with the original USAID Task Order.

#### **Task I: Coordination of US CTI Support Program and USG Activities in the Region.**

A successful unified US CTI Support Program includes effective and regular communication among team members; efficient program planning, monitoring and reporting; coordinated implementation at regional, country, and local levels; clear and consistent messages and information about program activities, progress, and directions delivered to CTI partners; and synergies created that enable the program to be more than the just the sum of its parts.

The PI is working with the US CTI Support Program Team in finalizing and maintaining a set of management tools that facilitate the consolidation of Program efforts. These include the Common Results Framework, a Consolidated Work Plan, a Consolidated Performance Monitoring Plan (PMP), coordinated and integrated reporting mechanisms, as well as a Consolidated Communications Plan. The communications plan addresses internal and external flows of information that includes monthly program coordination calls, an integrated planning process, and the Web Portal.

The PI will provide a forum for the US CTI Support Program team to communicate, assess, evaluate, and refine strategies and activities in the region depending on changing or new circumstances at regional and national levels and incorporating new information. Products developed or integrated by the PI include:

- US CTI Support Program Consolidated Annual Work Plan
- US CTI Support Program Consolidated Performance Management Plan
- Respective Program Team member Quarterly Updates
- US CTI Support Program Consolidated Semi-Annual Progress Reports
- Consolidated planning and performance data as inputs to RDMA operational planning and performance reviews
- Consolidated Annual Progress Reports.

The PI plans, schedules and conducts calls, communications and planning efforts of the Program Coordination Group, as confirmed at the July 2009 Program Coordination Meeting, with calls conducted on a quarterly basis or as needed. The PI schedules and facilitates Core Team Calls and Communications Team calls on a biweekly basis and drafts and circulates minutes. The PI also conducts regular Regional Activity Team calls to support the coordination and work of the Regional Activity Teams. The PI will continue to conduct PI Team Calls on a regular basis facilitate US CTI Support Program Coordination Meetings as requested by USAID and the US CTI Support Program Team.

The PI also supports the development and coordination of six teams to lead program efforts under regional activity areas (RAA) identified for integrated implementation. Four of the RAAs including: Live Reef Fish Trade, Fisheries Enforcement, Marine Protected Area Management, and Climate Change Adaptation, are aligned to regional and national priorities articulated in the CTI Regional Plan of Action (RPoA) and National Plans of Action (NPoA) for each CT country. A fifth RAA, Public Private Partnerships, is a crosscutting activity. The sixth RAA covers the development of a Three to Five Year Strategy based on the experiences and outcomes of each thematic RAA for inclusion in the FY11 US CTI Support Work Plan.

Regional activity teams are being mobilized to further refine priority issues for each theme based on information collected from previous workshops such as the Townsville Workshop in Australia, November 2009, and the thematic workshops in Denpasar, Indonesia in July 2009, and defining the focus of regional learning network activities. Based on USAID and PI meetings with CT6 country representatives at the 4th CTI Senior Officials Meeting in Malaysia in October 2009, country visits and reviews of regional activities are being launched in Year 2. Country visits and assessments will be conducted in December 2009 through January 2010 to plan and coordinate activities for each theme with NCCs and government agencies. The assessments will further identify resource organizations to engage in regional learning network activities and provide small grants assistance.

## **Task 2: Coordination with Non-USG Coral Triangle Programs**

Following the first CTI Senior Officials Meeting held in 2007, the six Coral Triangle countries (CT6), nongovernmental organizations (NGOs), and multilateral and bilateral donors accelerated their efforts to fund programs to support CTI. As a result, CTI-related programs are being developed by organizations such as the Asian Development Bank (ADB) with funds from the Global Environment Facility (GEF), and country-specific bilateral donor agencies. Australia is now initiating its CTI support programming as well. Task 2 is designed to facilitate information sharing with non-USG programs to avoid duplication of efforts, leverage funding, and plan activities to achieve overall CTI goals and objectives defined in the CTI Plan of Action (POA).

Donor coordination efforts are being conducted through meetings, dialogue, and participation in regional and national donor forums. Donor agency representatives are invited to US CTI Support Program planning workshops to share information. Program planning and implementation data, including point of contact, technical and geographic scope, status, and implementation timeline from ongoing and

proposed non-USG Coral Triangle programs, are being compiled from program design documents and implementation plans. This CTI Project Map is maintained and made available through the CTI Partner Portal and reviewed and periodically updated in order to provide the RDMA and the CTI Secretariat with up-to-date assessments and status reports of other donor programs. Coordination strategies with non-USG CTI partners are directly supporting a number of Task Order deliverables including the following:

- Compilation/report on assessments prepared by Non-USG Partners
- Consolidated Report on Annual Work Plans of Non-USG CTI Stakeholders/Partners
- Sustainability Plan for the CTI Secretariat.

### **Task 3: Internal and External Communications**

The PI continues to work with Program Team members to finalize a consolidated, overall Program Outreach and Communications Plan to support the unified USG response to the CTI and reflect outcomes of the Denpasar Program Coordination Meeting held July 2009. The Outreach and Communications Plan ensures that all program documents and communications products are consistently branded and follow standard formats. These materials and templates are located in the CTI Partner Portal and can be easily accessed by all program team members. A related set of report cover templates to reflect the various team member affiliations and organizational structure while still providing overall program continuity are in the process of development. Standardized language that defines the US CTI Support Program is being included in materials to help communicate a common message. The PI is promoting the use of consistent terminology on all US CTI Support Program products.

The PI continues to develop key communication pieces for the US CTI Support Program, and coordinates the drafting, review and submission a range of regularly produced products including Weekly Updates, Monthly Updates, fact sheets, progress reports, etc. for RDMA and other communications channels. These include Partner Portal, EcoAsia e-newsletters, the US CTI web site, and others.

New outreach materials intended for broader audiences that include other USG agencies, national governments, NGOs, and international donors are also being developed. These include contributions to USAID's Telling Our Stories, fact sheets for priority geographic areas, and social media platforms such as Facebook. The PI is working with other Program Team members to review US CTI Support Program work plan activities and develop and implement communication strategies for priority events and achievements that would benefit from special media outreach planning and support. The PI is holding regular training web casts with US CTI Support Program country teams on communication products and processes.

The PI is further developing and utilizing the CTI Partner Portal as a platform to support information sharing, online real-time planning and collaboration among partners supporting the Coral Triangle Initiative (CTI). The Portal posts announcements, hosts work spaces and contains a documents library, the CTI Project Map, a contacts database, events and travel schedules, and a geographic information system (GIS) mapping interface to allow partners to view and map site-specific activities conducted across the Coral Triangle. The GIS interface will also be used to track the Regional Exchange focal sites and the priority geographic sites supported by the program. While access to certain work spaces and folders in the documents library maybe limited to specific users for security or site integrity reasons, Portal users using a generic username and password can read and download all documents from all

other folders in the site. To further increase awareness and use of the Portal, the PI circulates regular Portal Updates to its network highlighting new resources, announcements and updates in the Portal.

Figure I. shows the proposed conceptual technical architecture diagram of the Portal. The Portal is composed of a US CTI Program Web site for the broader public, and a secure, password-protected Web site that allows the PI and its partners to coordinate project activities, perform and monitor tasks, and prepare and publish documents and associated deliverables. For example, authorized users of US CTI, non-US CTI, and CT6+2 countries can enter or submit information about their project activities, success stories and lessons learned, and performance monitoring data via form templates that are accessible through the Portal.

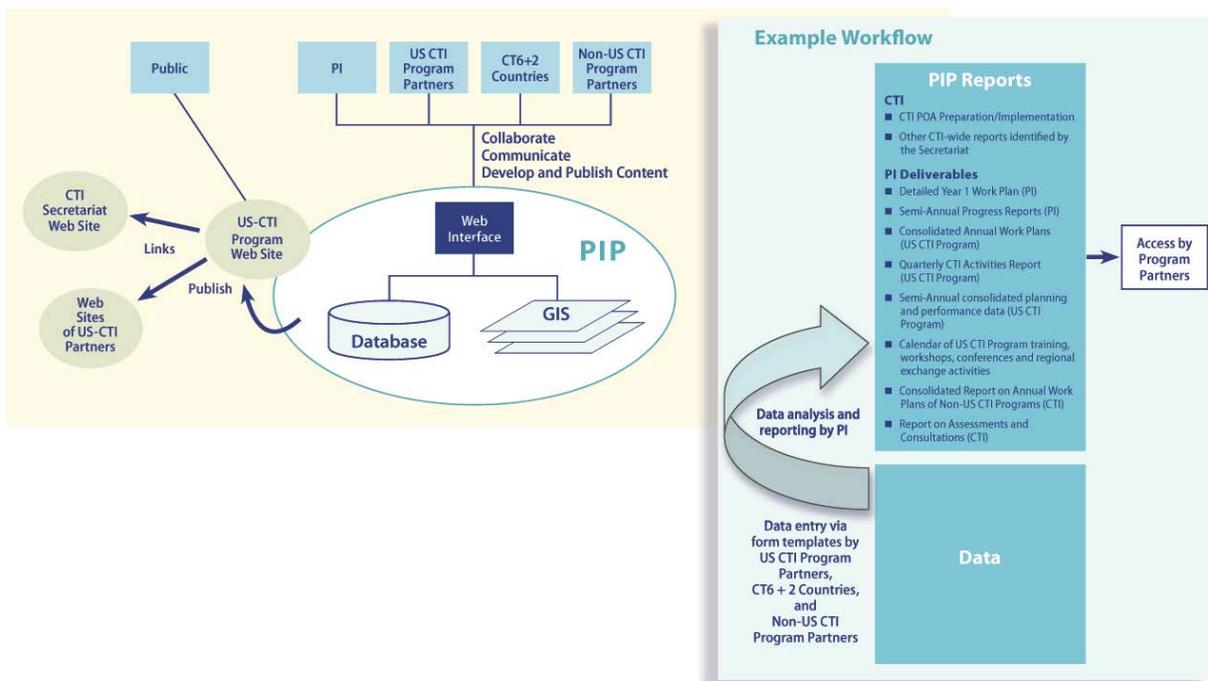


Figure I. Conceptual Technical Design of the CTI Partner Portal

The PI is monitoring usage and identifying successes related to social inclusion. More specifically, the PI aims to capture the Program’s ability to promote the participation of women and other traditionally marginalized groups in CTI activities. In addition, the PI is assisting in the development of technical briefs to support key program objectives such as ecosystem-based fisheries management practices, establishment and enforcement of marine protected area networks, climate change adaptation strategies and coastal community resilience. All materials developed adhere to the USAID branding guidelines. Internal and external communication strategies directly support a number of Task Order deliverables including the following:

- Documentation, Outreach, and Communications Plan—with specific strategies on how to reach women and other traditionally marginalized groups
- Program Integrator Portal/Website.

#### Task 4: USAID Administrative Support

The PI is working with USAID RDMA on a daily basis providing regular and special reports, updates and analyses; scheduling, preparing and conducting meetings; preparing briefs, speeches, talking points and other materials; completing requests for information; and supporting US participation in CTI meetings, events and activities. Annual planning and reporting workshops will be regularly held to develop “out year” Consolidated Annual Work Plans and to incorporate changes in technical, management, and administrative approaches based on lessons learned. Table 1. identifies specific Year 2 integration and support activities by Quarter.

Table 1. Program Integration and Support Activities

Activity	Lead Organization	Individual Lead	Partners	Activity Level	FY10			
					Q1	Q2	Q3	Q4
Prepare Consolidated US CTI Support Program Annual Work Plan	PI	K. Courtney	CTSP, NOAA	Region	■			
Prepare Consolidated US CTI Support Program Performance Monitoring Plan	PI	K. Courtney	CTSP, NOAA	Region	■			
Review and confirm reporting procedures for US CTI Support Program	PI	P. Collier	CTSP, NOAA	Region	■			
Implement reporting procedures for US CTI Support Program team	PI	P. Collier	CTSP, NOAA	Region	■	■	■	■
Respond to communications and other materials needs of RDMA	PI	P. Collier	CTSP, NOAA	Region	■	■	■	■
Compile planning and performance data for RDMA	PI	N. Mattich	CTSP, NOAA	Region	■		■	
Prepare Monthly US CTI Support Program Updates	PI	L. Gallardo	CTSP, NOAA	Region	■	■	■	■
Prepare Quarterly Updates for PI	PI	P. Collier	N/A	Region	■		■	
Prepare Quarterly Financial Reports for PI	PI	P. Collier	N/A	Region	■		■	
Prepare Program Integrator Semi-Annual Progress Report	PI	N. Mattich	CTSP, NOAA	Region		■		
Conduct Biweekly Core Team Calls	PI	C. Macpherson	CTSP, NOAA	Region	■	■	■	■
Conduct Quarterly Program Coordination Group (PCG) Calls	PI	P. Collier	CTSP, NOAA	Region	■	■	■	■
Conduct Portal Review to identify opportunities for enhanced coordination and lessons learned	PI	P. Collier	CTSP, NOAA	Region		■		■
Develop, update, and disseminate lessons learned	PI	P. Collier	CTSP, NOAA	Region		■		■

## IV. REGIONAL SUPPORT AND TECHNICAL ASSISTANCE

Within the US CTI Support Program Team, the Program Integrator provides regional support and technical assistance to CTI bodies. This support is aligned to the US CTI Support Program Results Framework primarily under Result 1. In Year 2 of the Program, the PI will work with the other Program Team member to develop and implement a number of Program strategies to achieve the results set out in the framework.

### 4.1 US CTI Support Program Results Framework

The US CTI Support Program Results Framework consists of four results statements that capture the outcomes and impacts of activities over the life of the program (See Figure 4). By focusing on these results, the US CTI Support Program can be strategic in targeting its resources both geographically and programmatically.

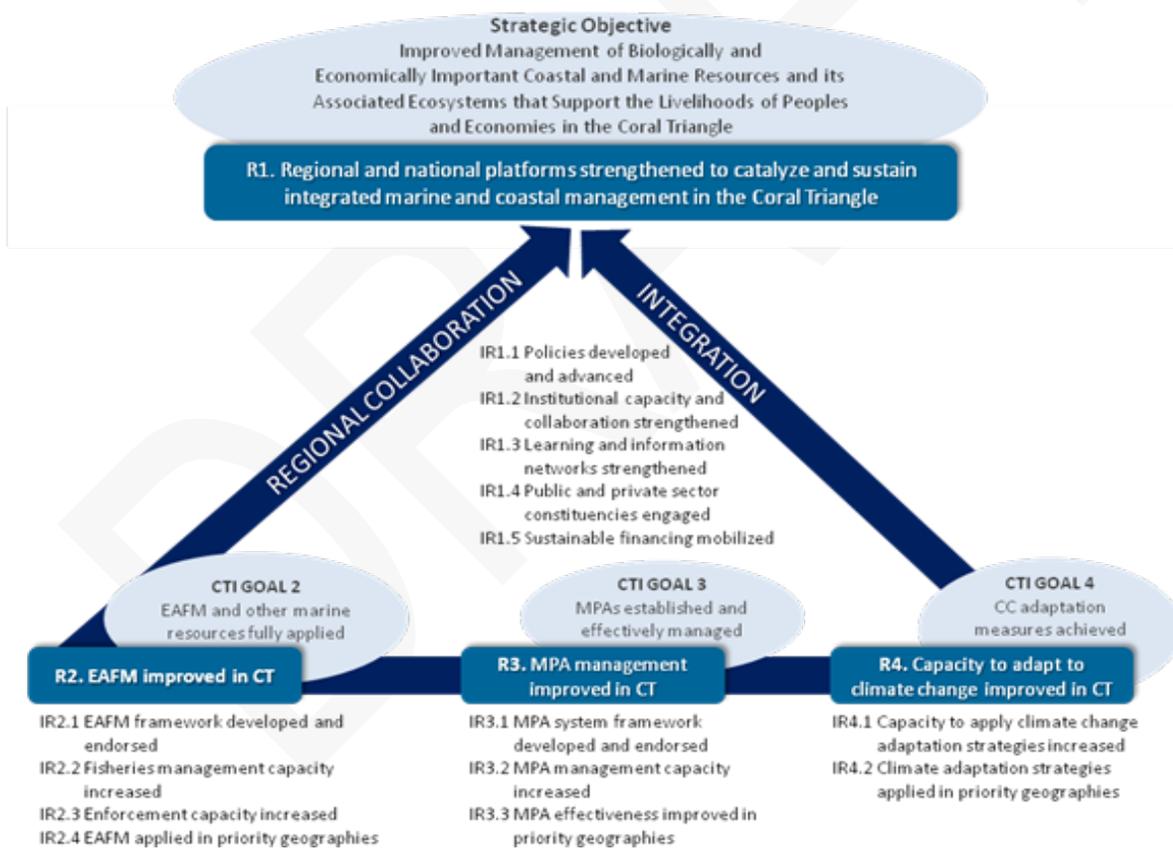


Figure. 2 US CTI Support Program Results Framework

The results selected are catalytic (effective only at the regional level), strategic/foundational (cannot be done by a single country alone or provides regional elements that benefit national implementation), or additive (represent the sum of country efforts). Each result includes a set of more specific Intermediate

Results (IRs) that when implemented, will roll up and contribute to meeting the broader result. In addition, USAID has provided a common set of program indicators that have been tagged to each IR and will be used in report on progress of the US CTI Support Program. US CTI Support Program goals have been aligned to match three of the five goals under the CTI RPOA. Two CTI goals -- those addressing seascapes and endangered species -- are outside of the scope of the US CTI Support Program and therefore not specifically addressed within the Results Framework, although elements of these two goals will be supported at the country level.

## **4.2 Result I - Regional and National Platforms Strengthened to Catalyze and Sustain Integrated Marine and Coastal Management in the Coral Triangle**

Strong platforms provide a common, trusted location or institutional source of resources that can inform and build consensus where all CT6 countries share a stake and can meet to continue the exchange and integration of ideas with coordinated efforts. Platforms are defined as multi-country associations of agencies, organizations, and/or individuals for the purpose of sharing experiences, information, and best practices and developing common approaches, action plans, and policies for addressing regional challenges and issues. Strengthening of a platform refers to improved organizational structure, clarification of platform goals and vision, development of platform organizational structure, development of platform agenda action items, training of platform members, or increased awareness of platform activities including workshops and forums. Under the US CTI Support Program, support to platforms may include the CTI bodies (Council of Ministers, Regional Secretariat, NCCs, Working Groups), academic or thematic institutes, thematic committees within inter-governmental or non-governmental bodies and organizations, among others.

The US CTI Support Program, working in concert with the CTI bodies, is assisting in the identification of key themes and directions for policy development, supporting the selection of appropriate national and regional institutions to strengthen and network for sustained advisory services on CTI issues, and aiding the CTI bodies in building skills and information networks that can apply science-based knowledge. The Program will work to expand stakeholder engagement to include private sector and communities in coastal resource management, and will help develop business plans with sustainable financing to achieve these regional goals. These forms of technical assistance will lead to the five Intermediate Results (IRs) defined below (Table 2, far Right Column), with the proposed annual milestones for each IR listed. Together they are expected to achieve the RI Result of strengthened regional and national platforms.

The strategies that the Program is using to achieve these milestones are described in Table 2. These five Intermediate Results will contribute to the CTI's self-determined strategic development and the strengthening of regional and national platforms in the years ahead. These reinforced institutions and platforms will catalyze the implementation of integrated coastal and marine management through stronger bonds and joint actions between political and technical networks in the Coral Triangle. Working in coordination with CTSP and NOAA and under the guidance of USAID, the PI will offer support to regional and national CTI platforms with the following illustrative examples for 2010:

- **Council of Ministers (CTICOM)** – The Council of Ministers creates and aligns policies and governs implementation of the CTI Regional Plan of Action. The Council of Ministers is composed of one or two lead ministers from each of the Coral Triangle governments. The PI will offer planning, organization and technical support to the 3rd Ministerial Meeting planned for August 2010, specifically to support a forum to address highest regional policy priorities for the CT6 in 2010, such as first steps toward a region-wide early action plan for climate change adaptation for near-shore marine and coastal ecosystems. This and similar high-level policy fora

will be reviewed and developed in the CTI Regional Planning Workshop scheduled for April 2010.

- **Senior Officials Meeting (SOM)** – The SOM provides recommendations to the CTICOM for decision and ensures implementation of these decisions through the CTI Regional Secretariat and Technical Working Groups. The SOM is composed of senior officials from each CT6 countries. The SOM chair rotates in time and country parallel to CTICOM. Whenever possible, a dialogue with the CTI Partners is scheduled to coincide with each SOM. Two SOM meetings are planned in 2010, SOM6 in August and SOM7 in November. The PI will assist in the formulation of agendas; support capture of CTI progress and challenges through 2010 including the work of regional focal teams; aid in identification of 2011 road map priorities including agreements on concrete collaborative actions to accelerate progress toward achieving RPOA goals and targets.
- **Scientific and Policy Advisory Group** – The CTI interim Regional Secretariat has expressed a need for a Science and Advisory Group to advise the SOM and other bodies and provide decision support. Reflecting the CTI’s commitment to the Second RPOA Guiding Principle, that “CTI should be based on solid science,” the Program will work with and support relevant bodies to develop an appropriate methodology for the provision of scientific and policy expertise and guidance to the CTICOM, SOM and Regional Secretariat in order to provide effective decision support. This may involve the creation of an independent advisory board or similar body or evolve into a less formal structure as CTI needs dictate.
- **Technical Working Groups** – The Technical Working Groups for CTI provide a range of inputs on specific issues, themes or projects as tasked by SOM. Technical Working Groups will be established by the SOM on an as-needed basis, and will consist of official representative from CTI countries, and may include development partners and additional experts. At present there are three: Coordination Mechanisms, Monitoring and Evaluation, and Sustainable Finance. The PI will continue supporting the Coordination Mechanisms and Monitoring and Evaluation Working Groups with establishment and implementation of systems, procedures and protocols, as directed by USAID. The Program may also support the establishment and activities of any additional Working Groups deemed necessary.
- **Regional Secretariat** – At the direction of the SOM, the CTI Regional Secretariat will provide long-term, wide-ranging support to the CTI governments and partners for implementation of the CTI Plan of Action, particularly through direct support for the various coordination mechanisms. A CTI Regional Secretariat will be established in Indonesia. The structure of the CTI Regional Secretariat should enable effective and efficient coordination in the CTI and support the cooperation of all six CTI member countries. The Regional Secretariat reports to the SOM in the service of all CTI bodies. The PI will continue to actively coordinate in collaboration with the interim Regional Secretariat. Upon achieving the CTICOM goal of establishing a permanent Regional Secretariat in 2010, the PI will support next steps in becoming fully functional and sustainable. This will include the development of a training needs assessment to identify institutional strengthening and capacity building requirements as well as undertaking a long-range sustainability plan that includes benchmarks for finance, management and coordination and implementation support of CTI activities.
- **National Coordination Committees** – National Coordinating Committees consist of the lead agencies and organizations identified to guide and coordinate implementation of the RPOA and NPOA in their countries, and to ensure country representation in CTI bodies. In collaboration with CTSP and others partners, the PI will coordinate through the NCCs each

countries participation in the Program’s regional activities, including learning network development, regional exchange programs, and grants mechanisms.

- **CTI and Private Sector Alliance** – Using the CTI Business Summit and the US CTI Program support exchange, “Enhancing Private Sector Engagement to Sustain Marine and Coastal Resources” in the Philippines in January 2010 as a launching point, PI will work with CT6 countries and in close coordination with the CTSP NGO consortium on strengthening private sector engagement and the establishment of a new CTI Private-public Partnership platform.

In addition, PI will continue supporting integration and coordination efforts of CTI Partners and other regional platforms such as: the Partnerships in Environmental Management for the Seas of East Asia (PEMSEA); the Coordinating Body on the Seas of East Asia (COBSEA); Sulu Sulawesi Marine Ecoregion (SSME); Association of South East Asian Nations (ASEAN); Locally Managed Marine Area (LMMA) Network; and others. PI’s coordination efforts will focus on among other things identification of relevant learning networks and grant activities that can serve as the foundation for or be linked with CTI planned Centers of Excellence, PI Exchanges, and activities in priority geographic areas.

**Table 2. Milestones and Strategies to Achieve Result 1**

<b>Result 1: Regional and national platforms strengthened to catalyze and sustain integrated marine and coastal management in the Coral Triangle by 2013.</b>						
	<b>FY09</b>	<b>FY10</b>	<b>FY11</b>	<b>FY12</b>	<b>FY13</b>	<b>Intermediate Results</b>
<b>Milestones</b>	<b>Policy issues of regional concern identified</b>	<b>Policy issues prioritized and discussed at regional levels</b>	<b>Policy reforms developed for regional review</b>	<b>Policies reforms refined and advanced at national, regional, and international forums</b>	<b>Policies reforms refined and advanced at national, regional, and international forums</b>	<b>IRI.1 Policies developed and advanced</b>
<b>Strategies</b>	<ul style="list-style-type: none"> <li>• Work with CTI regional and national bodies to identify policy issues of regional concern</li> <li>• Prepare policy reviews and analyses for priority issues</li> <li>• Conduct regional policy forums and exchanges for CT6 countries</li> <li>• Develop position papers on priority policies for review by SOM</li> </ul>					
<b>Milestones</b>	Regional and national CTI bodies supported to finalize RPOA and NPOAs	Capacity needs assessment for and design of regional and national CTI bodies completed	Coordination mechanisms for regional and national CTI bodies established	Coordination mechanisms for regional and national CTI bodies operational	Coordination mechanisms for regional and national CTI bodies functional	<b>IRI.2 Institutional capacity and collaboration strengthened</b>
<b>Strategies</b>	<ul style="list-style-type: none"> <li>• Work with CTI bodies to complete Action Plans and identify capacity building needs</li> <li>• Track, compile, and analyze completed capacity assessments with CTI bodies and partners</li> <li>• Conduct additional capacity needs assessments and strategy with CTI bodies and partners</li> <li>• Provide strategic support for capacity building to CTI bodies based on priority needs</li> </ul>					
<b>Milestones</b>	Existing learning and information networks for EAFM, MPAs, and CCA identified and Exchanges launched	Capacity needs assessment for networks completed, exchanges and grants implemented	Institutional capacity for learning and information networks strengthened	Learning and information networks share lessons and guidance on EBFM, MPAs, and CCA	Learning and information networks for CTI advise policy forums and support sustained local skills and knowledge	<b>IRI.3 Learning and information networks strengthened</b>

<b>Strategies</b>	<ul style="list-style-type: none"> <li>• Work with NCCs to identify organizations and priority themes for learning and information networks</li> <li>• Conduct regional exchanges with network organizations on priority themes</li> <li>• Provide small grants to network organizations to support technical assistance and capacity building at sites in priority geographies</li> <li>• Support network mechanisms that advise policy forums and sustain local skills and knowledge</li> </ul>					
<b>Milestones</b>	Public and private sector constituencies identified	Public-private sector strategy developed and public campaign launched	Public-Private partnerships initiated on priority themes; public campaign conducted	Public-Private partnerships increase in number and support, Public awareness increased	Public-Private partnerships institutionalized in CTI bodies and public support for CTI actions and policy reforms demonstrated	<b>IRI.4 Public and private sector constituencies engaged</b>
<b>Strategies</b>	<ul style="list-style-type: none"> <li>• Work with CTI bodies and partners to identify private sector potential partners and key themes for public sector engagement</li> <li>• Develop public-private sector strategy and public campaign with CTI bodies and partners</li> <li>• Support engagement of public and private sector in implementation of CTI Action Plans</li> <li>• Support strategic development of CTI mechanism that sustains private-public engagement</li> </ul>					
<b>Milestones</b>	Financing needs identified (PoAs) and options researched	Financing teams mobilized and strategy development supported	Initial co-financing mechanisms identified and demonstrated, lessons shared	Sustainable financing sources identified and establishment facilitated	Institutionalization of sustainable financing mechanism(s) supported	<b>IRI.5 Sustainable financing mobilized</b>
<b>Strategies</b>	<ul style="list-style-type: none"> <li>• Support completion of RPOA and NPOAs to identify financing needs and options</li> <li>• Build capacity and network of CTI bodies and help strategy development for sustainable financing through exchanges and workshops</li> <li>• Provide small grants to test and demonstrate initial co-financing and leverage mechanisms in priority geographies</li> <li>• Assist NCCs and local organizations to attract, distribute and manage funding for local activities</li> <li>• Support institutionalization of regional, national and local funding mechanism</li> </ul>					

## IRI.1 POLICIES DEVELOPED AND ADVANCED

Failed or conflicting policies within a country or between countries are a common source of unsustainable management of natural resources and inequitable distribution of benefits from the resources. As information about the status of the marine and coastal resources becomes better known and the consequences for food security, fisheries and biodiversity become understood, all CT6 countries recognize the need for policy reform to meet the CTI goals. The US CTI Support Program will work with the CT6 as a technical advisor, honest broker, and facilitator, to identify (FY09) policy issues of regional concern, prepare policy reviews and analysis for regional discussions (FY10), conduct and facilitate policy forums and exchanges for the CT6 (FY11), and help develop position papers for review and consideration by the CTI Senior Officials for applications in national and regional policy reforms (FY12, FY13). In 2010, PI will focus on supporting RPOA policy priorities such as:

- Support toward development of regional Climate Change Adaptation Action Plan,
- Support to toward development of CT6 National Climate Change Adaptation Action Plans; and
- Establishment of a Regional MPA management effectiveness framework.

## **IRI.2 Institutional capacity and collaboration strengthened**

Collaborative sustainable management of natural resources requires capacity and consensus among the organizations and institutions that apply adaptive management practices over the resources. For the CTI, this will require strong national or regional institutional platforms and collaboration among both political and technical sectors to generate sound policy and management. The US CTI Support Program is supporting the regional and national CTI bodies to complete their work on Regional and National Action plans that in part identify their priority targets and needs (FY09). Working with partners, the Program will track, compile and analyze existing capacity assessments and, design and conduct additional assessments as needed that lead to organizational design and capacity building strategies for CTI institutions (FY10).

Following establishment of the CTI organizational structures, the US CTI Support Program will provide limited strategic support to the CTI bodies and possibly relevant additional institutions to strengthen their capacity to operate the CTI for its members and partners (FY11, 12, 13). An organizational and training needs assessment will be conducted to identify and prioritize opportunities to strengthen the operations of the CTI Regional Secretariat. A plan to sustain the coordination efforts among the CT6 countries will need careful consideration of the mode in which regional collaboration can be most effective and relevant over the long term.

## **IRI.3 Learning and information networks strengthened**

Political and management institutions require sources of sustained sound and trusted technical knowledge. The CT6 acknowledge the need to strengthen existing national and regional institutions to build a network among the CT6 that can share resources and facilitate regional consensus on technical issues. The US CTI Support Program is supporting the identification of priority themes and relevant institutions to:

- grow into a network that can support the CTI Action Plans (FY09-FY10);
- develop and implement Program components to strengthen the institutions and the regional network through regional exchange-type activities and small grants (FY09-FY13);
- capture and share lessons learned on priority issues throughout the network (FY12-13); and
- support mechanisms to apply lessons learned to policies and promote retention of local skills and knowledge (FY 13).

Regional exchange activities may take a number of forms such as study tours, fellowships, workshops, and internships.

CTI assessments conducted by and with stakeholders in the Coral Triangle will generate an extensive base of information on biophysical and socioeconomic conditions, the policy and legal environment, and institutional capacity. In addition, stakeholder consultations are being undertaken to identify priority actions and needs at regional, national, and local levels. As an integral part of each assessment or consultation, the PI is ensuring equitable inclusion and participation of women, men, and traditionally marginalized groups. These assessments and consultations will be compiled in the Portal and made available on the website as a searchable database to help in the preparation of studies and syntheses for CTI regional events.

Both US and non-US CTI Programs assessment and consultation activities will be tracked and engaged to support program implementation. The US CTI Support Program is identifying and mapping these efforts to avoid duplication and promote their awareness throughout the region. The PI is developing a standardized data entry template for distribution to all USG and non-USG CTI Programs requesting

information on recently completed, ongoing, and planned assessments and consultations. Information received will be formally documented with additional information gathered through field visits, etc. captured in a database.

The PI will continue to develop tools and products to facilitate the work of the US CTI Support Program and the CTI and CTI Partners more broadly, including through the CTI Partner Portal and the Project and Activity Matrix. In particular, the PI will work to identify data collection, storage and organization formats so that the CTI Partner Portal systems and resources and can support and eventually be absorbed by the CTI Regional Secretariat. In addition, the PI will work with thematic and Working Group partners to encourage the use of CTI Partner Portal Work Spaces as tools to facilitate online collaboration. By identifying champions and increasing usage of Work Spaces, the PI hopes to provide CTI bodies and platforms with an additional means to promote joint problem solving and action. The PI will work on refining the format of and increasing the user-friendliness of the Project and Activity Matrix. Once the most appropriate data entry format and software tool has been identified, the PI will work with the permanent Secretariat or other appropriate body to develop a transition and handover plan for the Matrix. The PI will also explore with Program team members the development and mainstreaming of Results capture and measurement tools such as Monitoring and Evaluation frameworks and GPS tracking systems.

#### **IRI.4 Public and private sector constituencies engaged**

Due to its geography, profile, and regional significance, the CTI will provide numerous opportunities for private sector engagement—possibly as part of locally determined philanthropic contributions to support a highly visible regional effort, and certainly as part of the strategic business value of the marine life and biodiversity of the Coral Triangle. Public-private sector alliances will be critical in long-range sustainability planning for the CTI Secretariat and on the ground implementation throughout the region. Integrated management of natural resources requires the understanding, support and engagement of the public and private sector. The CT6 recognize the importance of these constituencies in the short and long term success of the CTI and coastal and marine management in the Coral Triangle.

The US CTI Support Program is helping to identify specific organizations and entities that are stakeholders in the CTI issues (FY09). It will provide technical assistance to the CT6 to develop a strategy and launch a public campaign with private sector support (FY10), facilitate partnerships between the CT6 government and non-government stakeholders in priority geographies on priority themes (FY11-12), and promote institutionalization of mechanisms to maintain the engagement of the public and private sector constituencies in the CTI (FY13).

*Identification of Private Sector Partners.* Private sector partners will be selected based on their geographic presence in the CT region, their impact on marine resources, and the potential for catalytic results. While partners can be selected from many different venues, it is anticipated that an “anchor” set of partners will first be recruited upon which other members will be added. It is envisioned that the anchor partners will be drawn from three primary sectors:

- *Tourism:* hotel chains (Hyatt), cruise ships, restaurants, and airlines (Garuda, Silk Air)
- *Industry:* oil and gas companies (Chevron), large-scale fisheries (Bumblebee)
- *Consumer:* beverages (Aqua, Cocoa Cola).

An analysis will be conducted to identify the macro trends across the region, and to identify a proposed set of core private sector entities that present both a high anticipated leverage of resources and a high expected development impact resulting from their participation.

*Engagement Opportunities.* The Private Sector Engagement Program will use various tools to engage the private sector in the CTI. Under this program the private sector will become active partners with members of the CT6 countries and participate through many different mechanisms. Some of the suggested mechanisms include the following:

Regional Exchanges. Under the US CTI Exchange Program, the PI conducts regional activities that focus on one of the CTI Goals and leverage expertise existing within the region specific to that goal, thereby maximizing existing regional capacities and opportunities for cross-learning of practices and lessons as well as enhancing regional coordination generally. The first regional exchange focusing on developing public-private partnerships will be held in Manila, Philippines from January 18-21, 2009. The exchange will be organized and conducted in partnership with WWF and the Philippine Government around the CTI Business Summit. Action Plans developed during the exchange will provide a basis for further support to CTI public-private sector constituency engagement.

Roundtable Discussions. Under the US CTI Support Program several policy forums will be held to address specific issues such as the Live Reef Fish Trade, trans-boundary enforcement, and climate change adaptation strategies. Representatives from the private sector will be invited to these discussions to participate in developing solutions.

Small Grants Program. Under the small grants program the private sector is eligible to be a grant recipient. Private sector grant recipients could provide assistance for training activities, development of agreements, purchase of materials, and development of improved processes that reduce impacts to the Coral Triangle.

Agreements. Under the Private Sector Engagement Program agreements will be developed to strengthen the linkages between the public and private sector.

Private Sector Contributions. Once the anchor private sector partners have been selected, the US CTI Support Program will meet with them to determine how they best want to support the program. In addition to engaging with CT6 partners in the above activities, the private sector partners have the unique ability to possibly contribute in the following ways:

Public Awareness campaigns. The private sector provides an established market audience in which to promote sustainable management of marine and coastal resources. This can be accomplished in the tourism sector through the placement of outreach materials in hotel and cruise ship guest rooms, advertisements in airports, and placemats in restaurants. The consumer industry can help to increase public awareness in communities with recycling of beverage bottles, and promoting conservation practices at the beach and reefs. The oil and gas industry can help fund large-scale campaigns.

Building the Capacity of Institutions within the Coral Triangle. The private sector can help build capacity of regional and national institutions through direct financial support as well as providing technical assistance and sponsoring internship programs.

### 4.3 Result 2 - Ecosystem Approach to Fisheries Management

Most of the protein that supports the communities of the CT6 countries comes from their local fisheries, and the pelagic fisheries and additional coastal catch are a large component of the region's economy. The increase in population within the CT6 countries and the increase in national and foreign fishing using destructive practices are threatening the food security of the region. The US CTI Support Program will focus its efforts on building capacity in the ecosystem-based approach to fisheries which is still a new concept in fisheries management in the region.

At the regional level, approaches will include facilitating regional policy dialogues and exchange activities to build capacity and regional collaboration in ecosystem approaches to fisheries management in CT countries and in key regional supporting institutions. National level activities will focus on capacity development in priority geographies through strategic local Action Plans emerging from Regional Exchange activities and strengthening of national and regional institutions to support those Action Plans, as needed with small grants and mentoring.

**Table 3. Milestones and Strategies to Achieve Result 2**

<b>Result 2: Ecosystem approach to fisheries management improved in CT countries</b>						
	<b>FY09</b>	<b>FY10</b>	<b>FY11</b>	<b>FY12</b>	<b>FY13</b>	<b>Intermediate Results</b>
<b>Milestones</b>	EAFM Regional Exchange conducted and EAFM learning partner identified	EAFM learning applied and experiences among Regional Exchange participants shared	EAFM framework for national and regional level discussed	EAFM national frameworks shared and discussed in regional policy forum	EAFM frameworks endorsed	<b>IR2.1 EAFM framework developed and endorsed</b>
<b>Strategies</b>	<ul style="list-style-type: none"> <li>Identify resource partners and conduct Regional Exchange on EAFM</li> <li>Provide small grants and mentoring to CT6 to implement EAFM action plans from Regional Exchange in priority geographies</li> <li>Facilitate lessons-learned forum for CT6 EAFM national frameworks</li> <li>Support EAFM Policy dialog and report to define and endorse EAFM frameworks</li> </ul>					
<b>Milestones</b>	EAFM Regional Exchange conducted and EAFM learning partner identified	EBFM Action Plans launched with Learning Partner and Small Grants	EBFM Network meetings and activities supported	EBFM Training conducted by Learning Partner; National policies implemented	EBFM results monitored and reported to CTI bodies	<b>IR2.2 Fisheries management capacity increased</b>
<b>Strategies</b>	<ul style="list-style-type: none"> <li>Identify resource partners on and conduct Regional Exchange on EAFM</li> <li>Provide small grants and mentoring to CT6 to implement EAFM action plans from Regional Exchange in priority geographies</li> <li>Support EAFM Network and lessons learned activities as input to policy dialogues</li> <li>Support EBFM monitoring and reporting through Partner institution</li> </ul>					
<b>Milestones</b>	NONE	Enforcement activities and partners (NOAA, local institutions) identified, Regional Exchange conducted	EAFM network launched, Enforcement Action Plans launched with Learning Partner and Small Grants	Enforcement Lessons Learned shared with next steps in Policy Dialogue	Enforcement good practices institutionalized in key regional organizations or regional policy developed	<b>IR2.3 Enforcement capacity increased</b>

**Table 3. Milestones and Strategies to Achieve Result 2**

<b>Result 2: Ecosystem approach to fisheries management improved in CT countries</b>						
	<b>FY09</b>	<b>FY10</b>	<b>FY11</b>	<b>FY12</b>	<b>FY13</b>	<b>Intermediate Results</b>
<b>Strategies</b>	<ul style="list-style-type: none"> <li>Identify enforcement approaches for capacity building with US and regional partners</li> <li>Conduct Enforcement Regional Exchange with Learning partners</li> <li>Provide small grants and mentors for Action Plans in priority geographies</li> <li>Support Lessons learned forum with policy dialogue for regional joint actions</li> </ul>					
<b>Milestones</b>	EAFM Priority geographies identified	EAFM Action Plans launched with Learning Partner(s) and Small Grants	EAFM lessons learned from priority geographies shared	EAFM good practices replicated in other priority geographies	EAFM good practices integrated into other thematic goals with improved monitoring in priority geographies	<b>IR2.4 EAFM applied in priority geographies</b>
<b>Strategies</b>	<ul style="list-style-type: none"> <li>Identify priority geographies and EAFM Action Plans with CT6</li> <li>Provide small grants and learning partner(s) to CT6 for actions in priority geographies</li> <li>Support lessons learned from EAFM, facilitate replication to other priority geographies and integrate into site management with other tools</li> <li>Support site managers to monitor fisheries status with learning partner</li> </ul>					

### **IR2.1 EAFM framework developed and endorsed**

Ecosystem approach to fisheries management still requires a great deal of outreach for resource users and managers to understand the approach and to learn good practices. This will require both demonstration and support from users as well as a change in the management and policy paradigm of national governments. The Program Integrator plans to use the Regional Exchange (FY09) to bring country teams together to learn the paradigm, the Small Grants program to support country teams to apply the new model in priority geographies, supported by a regional institution that could continue to serve the CTI as a learning and information center (FY10). Once the CTI has set up technical working groups on the CTI themes (FY10), the Program will support the graduates of the Regional Exchanges and others in sharing experiences and lessons learned for replication and inclusion in national level EAFM frameworks (FY11), and support Policy Dialog for regional aspects of the EAFM Framework (FY12). In the final year, the Program will support the publication of the reports and endorsement of the CT EAFM framework and results of the working group to date.

### **IR2.2 Fisheries management capacity increased**

Along with a shift in the paradigm of fisheries management, the capacity of all stakeholders must be developed using the new approach and tools. Using a Regional Exchange on EAFM and the Small Grants Program, the Program will focus on building and strengthening a regional network of EAFM managers through shared applied learning (FY09-FY11) and strengthening of an institution that can continue to train and support the managers through generations of adaptive management (FY09, FY11, FY12), including providing input to policy forums and monitoring the progress of the management.

### IR2.3 Enforcement capacity increased

Enforcement has been shown to be one of the most effective tools in fisheries management. However it is often considered the most challenging and expensive. The Program Integrator, working with NOAA and with local enforcement institutions, will focus on sharing and aligning best practices to increase capacity in the Coral Triangle. After identifying what are the appropriate approaches and players (FY10), the PI will conduct a Regional Exchange with founding members of the CT6 enforcement network to share best practices (FY10 -11) and using the Small Grants Program will support their demonstration of those practices in the priority geographies (FY12). In the final year, the PI will support the EAFM Working Group to conduct a special event on enforcement lessons learned at national levels that will lead into a policy dialogue on regional compatible enforcement approaches.

### IR2.4 EAFM applied in priority geographies

One strategy of the US CTI Support Program is to work in priority geographies and integrate resource management in these locations. The PI will focus on these priority sites in providing support to the implementation of Regional Exchange Action Plans and other key activities. Once priority geographies are identified by the CT6 (FY09), the learning from the Regional Exchange will be applied using the Action Plans developed by exchange participants, funded by small grants in the priority geographies (FY10) and shared during EAFM Working Group events (FY11). These results will be replicated and integrated in priority geographies with the other themes (FY12) and the results will be monitored with the support of the learning partner for a site “report card” (FY13).

## 4.4 Result 3 - Marine protected area management improved in CT countries

With the use of marine protected areas now an accepted tool in sustainable management of coastal and fisheries resources, there is widespread movement to build MPA policy and management frameworks, capacity and experience in all regions, including the Coral Triangle. The CT Initiative allows an economy of scale of sorts to facilitate development of sound, regionally-appropriate knowledge and policy tools that can be compatible from the start and allow easier cross-boundary coordination. The Program will focus on facilitating that coordination of design and practice through supporting development of a regionally appropriate framework for coordinated MPA management; institutionalizing capacity to host good practices, training and advisory services for small, medium and cross boundary MPAs in the region; and developing relevant case studies and consensual knowledge that will ease debates and discussions to improve marine conditions.

**Table 4. Milestones and Strategies to Achieve Result 3**

Result 3: Marine protected area management improved in CT countries						
	FY09	FY10	FY11	FY12	FY13	Intermediate Results

**Table 4. Milestones and Strategies to Achieve Result 3**

<b>Result 3: Marine protected area management improved in CT countries</b>						
	<b>FY09</b>	<b>FY10</b>	<b>FY11</b>	<b>FY12</b>	<b>FY13</b>	<b>Intermediate Results</b>
<b>Milestones</b>	MPA national regional stakeholders identified	MPA System Framework concept defined, Regional Exchange conducted and Action Plans defined	MPA System Framework defined, discussed, and MPA network Action Plans from Exchange implemented	MPA System Framework developed and regional integrated network defined; Lessons learned from Action plans shared	MPA System Framework Policy Dialog conducted and Initial Framework endorsed	<b>IR3.1 MPA System framework developed and endorsed</b>
<b>Strategies</b>	<ul style="list-style-type: none"> <li>Regional thematic teams for MPAs will be identified and consulted for stakeholder analysis and baselines of MPA national systems</li> <li>Regional exchange will align definitions and framework gaps</li> <li>Country teams will work internally to align MPA systems to a regional-centric</li> <li>Policy dialog will highlight concurrences and identify remaining policy gaps in regional framework for endorsement and action</li> </ul>					
<b>Milestones</b>	MPA practitioners and programs defined and aligned, Baselines of MPA management status in CT6 defined	MPA management good practices shared and common training curriculums developed through Regional Exchange	MPA management training conducted in priority geographies, institutionalized in CT6 countries and training network launched	MPA management network developed/ strengthened through practitioners and national institutions joint activities	MPA management training and financing continues to develop local and national skills and tools of MPA managers	<b>IR3.2 MPA management capacity increased</b>
<b>Strategies</b>	<ul style="list-style-type: none"> <li>MPA training programs and management status are identified through consultations and assessments with the CT6 countries and partners</li> <li>A Regional Exchange will compile common good practices and training curriculum with national strategies for developing management capacity</li> <li>Countries will implement strategies in priority geographies with small grants</li> <li>A Network launch will bring together practitioners and institutions for lessons learned and tested training tools for further collaboration and growth</li> </ul>					
<b>Milestones</b>	MPA effectiveness network familiarized in CT6	MPA effectiveness strategy developed for priority geographies in Indonesia	MPA effectiveness knowledge developed through case studies, monitoring and sharing	MPA effectiveness strategy developed in other CT6 countries based on lessons learned	MPA effectiveness is improved in priority geographies in most CT6 priority geography integrated sites	<b>IR3.3 MPA effectiveness improved in priority geographies</b>
<b>Strategies</b>	<ul style="list-style-type: none"> <li>Through presentations and consultations in MPA thematic events, MPA effectiveness experts build awareness of the approach and strategies</li> <li>A national MPA effectiveness strategy is developed and implemented with team and partners, with CT6 MPA team observing</li> <li>Indonesia and other case studies and monitoring results are shared at a side regional MPA meeting and housed in regional host institutions</li> <li>Regional institutions use early MPA incomes to finance or support MPA effectiveness activities such as monitoring, outreach, etc.</li> </ul>					

### **IR3.1 MPA System framework developed and endorsed**

Although Marine Protected Area (MPA) networks have been modeled and defined conceptually, there are few network systems in practice, and these have begun as local or national systems. In order to improve marine conservation regionally to attain the CTI goals, countries will benefit by aligning their systems regionally, while maintaining national jurisdiction over their management. As the CT6 countries are in different stages and scales of MPA networking, a first step will be to identify the various communities, NGOs, governments and other stakeholders who are applying MPA concepts at various scales in the CT6 countries (FY09). This will be followed by facilitating the alignment of the concepts and key common elements of a regional framework (FY10) and designing the next actions each country would need to take towards implementing the common framework (FY11). After achieving progress, the countries could be supported in reviewing shared lessons (FY 12), highlighting the concurrences and benefits of common frameworks, and identifying further obstacles or needs to improve benefits from regional coordination (FY12) , and endorse the Framework and discuss regional management actions in policy dialogs (FY13).

### **IR3.2 MPA management capacity increased**

As the number and scope of MPAs increase, the need to build management capacity for those responsible for delivering results will also increase. A collective effort among the CT6 to develop commonly accepted good practices, management tools and trained professionals could facilitate a tipping point in resource management. The Program is identifying and compiling the existing directory of practitioners and training institutions (FY 09), and will conduct a Regional Exchange activity that can bring experts together with NOAA and others to agree on common good practices and learning tools to include in a regional strategy to develop the institutions needed that could host these good practices, a knowledge base, as well as training and consultation capacities (FY 10). Continued efforts will support CT6 countries to develop their internal capacities under this regional strategy through grants strengthening the national and regional institutions to conduct training or knowledge development in priority geographies (FY 11). The PI anticipates supporting a reunion of resource institutions to share lessons learned and launch a regional network of practitioners and institutions (FY 12) that will continue to cooperate in training and knowledge sharing to further strengthen the MPA management capacity in the region (FY 13).

### **IR3.3 MPA effectiveness improved in priority geographies**

There is a growing body of knowledge of good practices for effective MPA management, but these are not yet well developed or accessible to many local governments or conservation organizations in the Coral Triangle, and are further constrained by lack of resources to implement them. The Program will facilitate the learning and sharing of effective techniques together with partners by including the topic in thematic presentations and consultations with the CTI bodies (FY 09). It will help develop regionally-appropriate case studies through support of regional observation and institutional grants for Indonesian pilots and applications in priority geographies (FY 10-11). Further efforts will support regional institutions to apply these best practices (monitoring, environmental education, local enforcement, etc.) in the integrated priority geography sites in other CT6 countries (FY 12), ending with a regional collection of case studies or lessons learned (FY 13).

#### 4.5 Result 4 - Capacity to adapt to climate change improved in CT countries

Climate change is the now more readily accepted as a reality and global threat, the impacts of which will be faced by existing and future generations. In the archipelagic nations and small island states that make up the CTI, these impacts will be among the most extreme, from greater losses in fisheries and greater loss of coastal areas and safety than most other regions. The CTI has prioritized action to adapt to the impacts of climate change, such as fisheries shifts, sea level rise and coastal hazards. The PI proposes to address this critical and overwhelming need with two approaches, 1) building capacity in the CT6 countries and at the regional level to adapt to the impacts of climate change, and 2) applying that capacity to immediately support coastal communities and the CT6 to become more resilient and able to resist or reduce the impacts of the changes ahead.

**Table 5. Milestones and Strategies to Achieve Result 4**

<b>Result 4. Capacity to adapt to climate change improved in CT countries</b>						
	<b>FY09</b>	<b>FY10</b>	<b>FY11</b>	<b>FY12</b>	<b>FY13</b>	<b>Intermediate Results</b>
<b>Milestones</b>	Regional and National capacity to adapt to climate change identified	Appropriate adaption tools identified and transferred to host institutions with TWG	Institutions empowered and assisted to deliver adaptation training, knowledge, advice	Institutions networked with shared knowledge bases and training / mentoring conducted	Institutions funded and capable of delivering long term capacity development to region	<b>IR4.1 Capacity to apply climate change adaptation strategies increased</b>
<b>Strategies</b>	<ul style="list-style-type: none"> <li>Regional thematic consultations and assessment identify institutions capable of hosting and transferring knowledge and tools for CC adaptation to region</li> <li>Support to a CTI Technical Working Group (TWG) facilitates development of strategy, selection of tools oversight of CCA activities</li> <li>Small grants and partnering provide bridging resources for host institutions to implement activities until sustainable CTI funds are identified</li> <li>Strengthened institutions continue to deliver sustained set of trainings, knowledge management and advice using CTI sustainable funds</li> </ul>					
<b>Milestones</b>	CT6 identify CCA as joint priority issue that requires partners support and guidance	Regional and national adaption strategies developed and action plans prepared in Regional Exchange	CT 6 countries apply adaption tools in priority geographies with support from host institutions and partners	CT6 Reg Exchange graduates share lessons learned and identify needed joint actions, launch CCA network	Policy dialog identifies successful coordination and removes obstacles, allowing accelerated application of CCA strategies	<b>IR4.2 Climate adaptation strategies applied in priority geographies</b>

**Table 5. Milestones and Strategies to Achieve Result 4**

<b>Result 4. Capacity to adapt to climate change improved in CT countries</b>						
	<b>FY09</b>	<b>FY10</b>	<b>FY11</b>	<b>FY12</b>	<b>FY13</b>	<b>Intermediate Results</b>
<b>Strategies</b>	<ul style="list-style-type: none"> <li>• Support CTI discussions with UNFCCC delegations from CT6 prior to COP 15</li> <li>• Conduct a Regional Exchange to develop national and regional CCA strategies and action plans, including the use of tools identified by the TWG,</li> <li>• Facilitate host institutions to support Action Plans of CT6 in priority geographies with small grants, leveraging and mentoring</li> <li>• Bring CT6 CCA teams together with TWG to share and document lessons learned, and to identify needed joint action, remaining obstacles, best uses of collaboration for presentation and basis of Policy Dialog to define next steps</li> </ul>					

#### **IR4.1 Capacity to apply climate change adaptation strategies increased**

Adaption to climate change is a new field; as a result, there is little or no organized capacity in most countries or communities, whether it is the knowledge, advisors or trainers or the funds, to implement solutions. The CTI Regional Plan of Action identified the target of developing Centers of Excellence on Climate Change Adaptation in each of the six CT countries; such is the need for institutional resources to guide the massive amount of adaption action needed in the next few decades. The Program’s integrated approach for rapidly increasing capacity to apply climate change adaptation is to assess capacity in the region for CCA (FY 09), and support a CCA Group of experts and responsible officials to guide the CT6 as they identify host organizations, and define appropriate tools and strategies for their countries and the region (FY 10). Further Program support with grants, leveraging and mentoring can facilitate the development of national and regional institutions (Centers of Excellence or others, as defined by the CT6) to become hosts for best practices, knowledge, training and advisors (FY 11); promoting the launch of a CCA regional network (FY 12) that the local, national and regional CTI community can draw on immediately, thereby speeding up the delivery of adaption actions on the ground to vulnerable communities and stakeholders (FY 13).

#### **IR4.2 Climate adaptation strategies applied in priority geographies**

The urgency of adapting to climate change is such that CTI bodies cannot wait to begin applying CCA strategies until the host institutions are fully capable and funded. The Program approach is to create demand for a regional approach to CCA (FY 09) for economy of scale, and connect the CCA Technical Working Group (TWG) of experts with a Regional Exchange of the CT6 officials responsible for implementing (not designing) adaptation strategies to transfer quickly, in real time, the defined appropriate good practices and to mentor the CT6 officials in developing their national and a regional strategy for CCA implementation (FY 10). The implementation of action plans of the CT6 would be mentored both by the TWG and the emerging host institutions (FY 11), with a joint event that brings all CCA practitioners and the TWG together to share lessons learned, launch a network of institutions and identify advantages of coordinated actions and any remaining obstacles to effective action (FY 12). This

would establish the basis for a reexamination of CCA priorities and a policy dialog to clear obstacles and define next steps for the region (FY 13).

## V. ORGANIZATION AND STAFFING

To effectively manage and achieve the tasks outlined in the Program Integrator Task Order, the PI is realigning the levels of effort of its current Program Team, and also increasing the PI team to include at least two additional full-time staff—a Deputy Chief of Party, and a Grants Management Assistant (see Figure 5 below for Management/Staffing Structure).

**The Chief of Party** provides overall management, coordination and leadership for the work of the Program Integrator and PI Team. The COP is responsible for ensuring completion of PI activities and deliverables and success of the project. The COP signs all grant agreements; serves on the grant development, evaluation, and review committees; and ensure effective collaboration and coordination of activities among the US CTI Support Program Team, including USAID, NOAA, CTSP, and others; CTI development partners and donors; and CTI regional and national coordinating bodies, specifically including the Regional Secretariat and National CTI Coordinating Committees.

**The Deputy Chief of Party** will be employed and dedicate 60 percent of his/her time developing and managing the small grants and learning exchange programs within the broader context and strategy of a CTI Learning Network. Responsibilities will include managing the grants award, monitoring, evaluation, and reporting systems. The DCOP will support the Chief of Party (COP) and Team in developing and strengthening agreements with Learning Network partners to implement grants supporting regional learning and exchange and local application. The DCOP will manage the monitoring, evaluation, and reporting systems, and will ensure that requirements are met for all grants and exchange program activities, including the development and application of sustainability plans. The DCOP coordinate updates to the US CTI Support Program consolidated work plan, performance management plan (PMP) and facilitate reporting requirements, and support overall program management.

**The Senior Marine Advisor** provides ongoing assistance to the design and development of the overall Learning Network, including developing strategies and approaches for both regional exchange and grants program components. These approaches will contribute to the development of a network of partners throughout the Coral Triangle region that can sustain the continued development of capacities and resources needed to achieve the goals of the Coral Triangle Initiative. The Senior Marine Advisor helps lead work plan and performance management planning development and consolidation, and leads the PI efforts on developing and advancing policy.

**The Regional Coordinator** works in collaboration with Learning Network partners and grantees across the region in developing, conducting, and following up regional exchange activities; ensuring exchanges achieve effective action planning consistent with Regional and National Plans of Action and are focused on target priority geographies; and assisting network partners and grantees in supporting implementation of these action plans through small grants assistance. She supports efforts to provide grantees and exchange participants with further opportunities to systematically share and exchange information, develop communities of practice, and explore opportunities for collaboration. The Coordinator leads CTI activity mapping, assessment and analysis, including lessons and practices, and serves as Program Integrator liaison to the CTI Secretariat.

**The Outreach and Communications Coordinator** provides strategic support to development and implementation of an effective regional outreach and communications program both within the US CTI

Support Program and to outside partners throughout the Coral Triangle. She also leads development and implementation of the PI Private Sector Alliance strategy, and facilitates program coordination activities, including coordination meetings and conference calls.

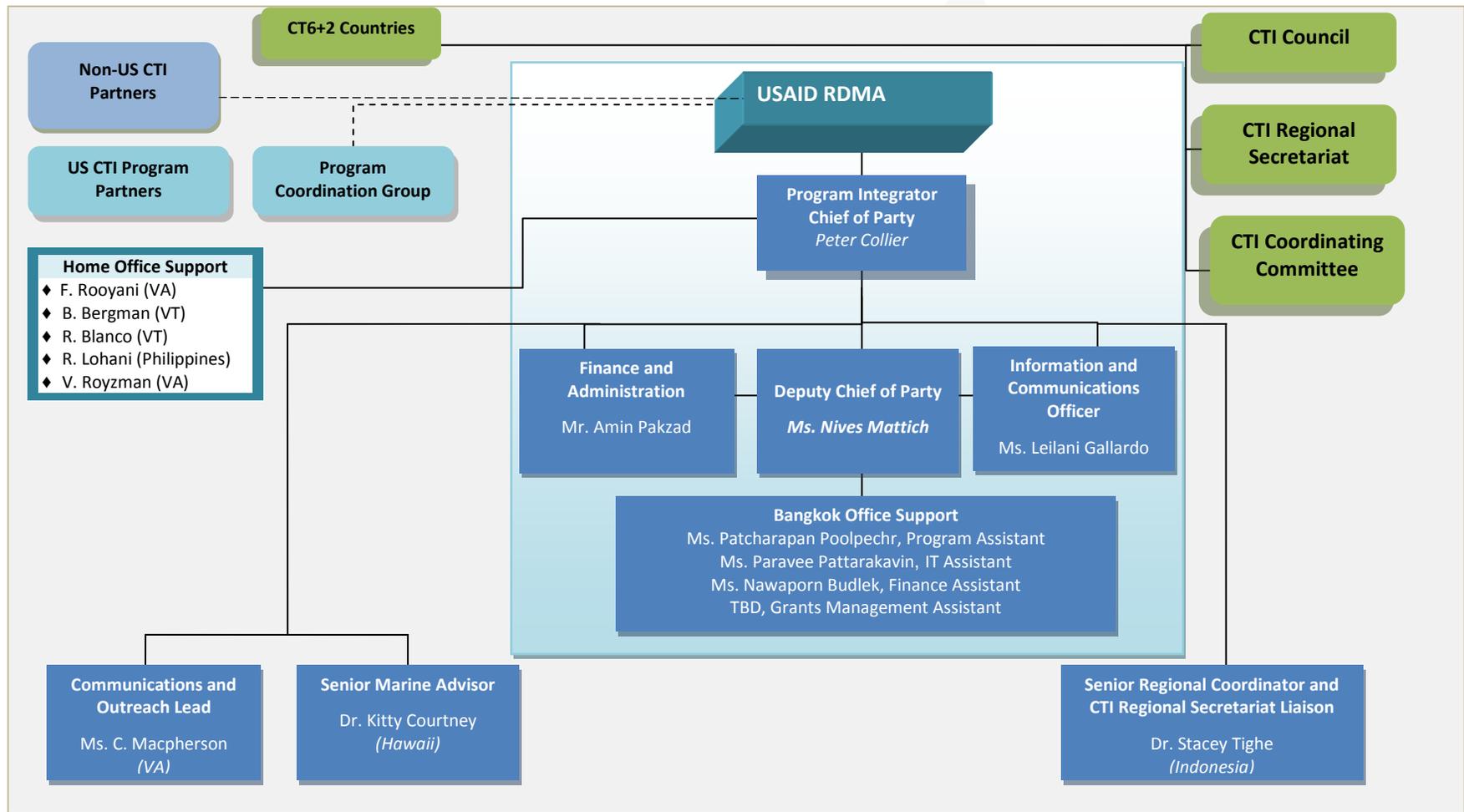
**The Information and Communications Officer** supports the development and distribution of outreach and communication products highlighting the impacts and achievements of regional exchange and grants program activities as well as providing program partners, grantees, exchange participants, beneficiaries, and other stakeholders with systematic access to information about upcoming and achieved activities. This includes resources and practices developed, and lessons learned that can be applied across the region to support achievement of the CTI goals.

**The Financial Administration Manager** manages the budget, provides program financial reporting and supports day-to-day field project operations, subcontracts management, regional exchanges and small grants program of the US CTI Support Program.

**Table 6. US CTI Support Program Integrator Staffing Plan**

Name	Position	Level of Effort	Company	Location
Mr. Peter Collier	Chief of Party	Full Time	ARD, Inc.	Bangkok, Thailand
Ms. Nives Mattich	Deputy Chief of Party	Full Time	ARD, Inc.	Bangkok, Thailand
Mr. Amin Pakzad	Financial and Administration Manager	Half Time	ARD, Inc.	Bangkok, Thailand
Ms. Stacey Tighe	Senior Regional Coordinator and CTI Regional Secretariat Liaison	Half Time	Tetra Tech EM Inc	Jakarta, Indonesia
Ms. Leilani Gallardo	Information and Communications Officer	Full Time	Tetra Tech EM Inc.	Bangkok, Thailand
Ms. Patcharapan Poolpechr	Program Assistant	Full Time	Tetra Tech EM Inc.	Bangkok, Thailand
Ms. Paravee Pattarakavin	IT Assistant	Full Time	Tetra Tech EM Inc.	Bangkok, Thailand
Ms. Nawaporn Budlek	Finance Assistant	Full Time	Tetra Tech EM Inc.	Bangkok, Thailand
Starting Feb 1, 2010	Grants Assistant	Full Time	Tetra Tech EM Inc.	Bangkok, Thailand
Ms. Kitty Courtney	Senior Marine Resource Advisor	L/STTA*	Tetra Tech EM Inc.	Honolulu, HI
Ms. Charlie Macpherson	Communications and Outreach Coordinator	L/STTA*	Tetra Tech, Inc.	Fairfax, VA
Ms. Rita Lohani	Donor Coordination Support	L/STTA*	Tetra Tech EM Inc.	Manila, Philippines
Mr. John Stoops	Information Management Specialist	L/STTA*	Tetra Tech, Inc.	Fairfax, VA
Ms. Brenda Bergman	Technical Advisor	L/STTA*	ARD, Inc.	Burlington, VT
Ms. Roxana Blanco	Project Manager	L/STTA*	ARD, Inc.	Burlington, VT
Mr. Firouz Rooyani	Senior Corporate Backstop	Corporate Backstop	Tetra Tech EM Inc.	Reston, VA

\*See budget for specific LOE allocations by year.



## VI. YEAR 2 WORK PLAN ACTIVITIES

ACTIVITY	Lead Organization	Individual Lead	Partner	Level	Relevant Indicator	FY10			
						Q1	Q2	Q3	Q4
<b>R1. Regional and national platforms strengthened to catalyze and sustain integrated marine and coastal management in the Coral Triangle</b>									
<b>IR 1.1 Policies developed and advanced</b>									
Support meeting of CT6 country representatives to the UNFCCC to discuss climate change negotiations and impact on CT	PI	P. Collier	N/A	Region	PM5	■			
Provide scientific expert and information on climate change at SOM4 to help prepare CT6 government officials for COP15	PI	P. Collier	NOAA	Region	PM5	■			
Conduct post-COP15 strategic planning exercise with CT6 countries to develop specific regional activities related to RPOA Goal 4	PI	P. Collier	NOAA	Region	PM5				
Develop a strategy to address priority issues of regional concern for conducting policy forums in consultation with CTI bodies	PI	K. Courtney	WWC, NOAA	Region	PM5		■	■	
Develop policy briefs on priority policy issues of regional concern in consultation with regional experts and CTI bodies	PI	K. Courtney	NOAA	Region	PM5			■	■
Conduct regional policy forum at Woodrow Wilson Center on one policy issues of regional concern	PI	K. Courtney	WWC, NOAA	Region	PM5-1				■
<b>IR1.2 Institutional capacity and collaboration strengthened</b>									
Provide technical support and capacity building to permanent CTI Regional Secretariat	PI	S. Tighe	CTSP	Region	PM4				■
Conduct organizational and training needs assessment for permanent CTI Regional Secretariat with CTI bodies and partners	PI	S. Tighe	CTSP	Region	PM4				■
Conduct Development Partners Meeting as requested by USAID	PI	P. Collier	CTSP	Region	PM4	■		■	
Compile and analyze project mapping information from CTI partners	PI	P. Collier	CTSP	Region	PM4	■	■	■	■
<b>IR1.3 Learning and information networks strengthened</b>									
Select priority themes and opportunities Regional Exchanges in consultation with CTI national and regional CTI bodies	PI	P. Collier	CTSP	Region	PM4	■			
Identify and establish agreements with organizations to serve as Learning Network Resource Organizations for Regional Exchanges	PI	P. Collier	CTSP	Region	PM4	■	■		
Conduct the regional exchange activity on live reef fish trade	PI	S. Tighe	NOAA, CTSP	Region	PM4			■	■
Conduct the regional exchange activity on fisheries enforcement	PI	S. Tighe	NOAA, CTSP	Region	PM4			■	■
Conduct the regional exchange activity on marine protected area management	PI	S. Tighe	NOAA, CTSP	Region	PM4			■	■

	ACTIVITY	Lead Organization	Individual Lead	Partner	Level	Relevant Indicator	FY10			
							Q1	Q2	Q3	Q4
	Conduct the regional exchange activity on climate change adaptation	PI	S. Tighe	NOAA, CTSP	Region	PM4			■	■
	Support networking of regional exchange participants to continue sharing lessons learned	PI	S. Tighe	CTSP	Region	PM4			■	■
	Provide small grants to Resource Organizations to support regional exchange activities and support local implementation	PI	P. Collier	CTSP	Region	PM4	■			
	Monitor and evaluate implementation of grants to capture and report results achieved	PI	DCOP	CTSP	Region	PM4-100		■	■	■
	<b>IR1.4 Public and private sector partners engaged</b>									
	Launch efforts to engage public and private sectors through a regional learning and planning exchange at the CTI Business Summit	PI	C. Macpherson	CTSP	Region	PM6		■		
	Identify existing and potential linkages between public and private sectors	PI	C. Macpherson	CTSP	Region	PM6	■	■		
	Form public-private sector strategy development team with CTI bodies and partners	PI	C. Macpherson	CTSP	Region	PM6	■			
	Develop public-private sector strategy including GDA, recognition program, regional, and public awareness campaign	PI	C. Macpherson	CTSP	Region	PM6		■		
	Recruit initial partners to the Public-Private Sector Program	PI	C. Macpherson	CTSP	Region	PM6			■	
	Launch public-private sector program with partners in conjunction with key event	PI	C. Macpherson	CTSP	Region	PM6-3				■
	<b>R2. Ecosystem approach to fisheries management improved in CT countries</b>									
	<b>IR2.4 EAFM applied in priority geographies</b>									
	Support resources organizations and exchange participants in applying lessons from regional exchanges through technical assistance and small grants	PI	S. Tighe	CTSP	CT6 Countries	PM2			■	■
	<b>R3. Marine protected area management improved in CT countries</b>									
	<b>IR3.3 MPA effectiveness improved in priority geographies</b>									
	Support resources organizations and exchange participants in applying lessons from regional exchanges through technical assistance and small grants	PI	S. Tighe	CTSP	CT6 Countries	PM1			■	■
	<b>R4. Capacity to adapt to climate change improved in CT countries</b>									
	<b>IR4.2 Climate adaptation strategies applied in priority geographies</b>									
	Support resources organizations and exchange participants in applying lessons from regional exchanges through technical assistance and small grants	PI	S. Tighe	CTSP	CT6 Countries	PM5			■	■

# VII. PROGRAM INTEGRATOR PERFORMANCE MANAGEMENT PLAN

## Introduction

This Performance Management Plan (PMP) describes the results framework, data collection sources and methods, and performance indicators and targets for the US CTI Support Program Integrator, which will in turn contribute to the overall consolidated PMP for the US CTI Support Program. The October 2009 Version 1.0 reflects the results of a review process which has led to the development of the US CTI Support Program Results Framework, which define the objectives and content of the Work Plan and PMP.

## Results Framework

The US CTI Support Program Results Framework is provided in Table B.1. The overall strategic objective for the US CTI Support Program is Improved Management of Biologically and Economically Important Coastal and Marine Resources and its Associated Ecosystems that Support the Livelihoods of Peoples and Economies in the Coral Triangle. The results framework consists of four results statements that capture the outcomes and impacts of program activities over the life of the program. Respective indicators are detailed in Table B.2 incorporating and refining the expected results for the US CTI Support Program Integrator. For USAID RDMA, the objective is Economic Growth, the Program Area is Environment, and the Program Element is Natural Resources and Biodiversity.

## Data Sources, Compilation, and Reporting

This PMP provides the six program indicators and respective targets for the life of the program that will be used to report progress and achievements of the US CTI Support Program against the Results Framework. A description of each indicator, including unit of measure, targets, and responsibility is provided in Table B.2.

Each program partner, including the Program Integrator, is required to measure progress using the relevant indicators provided in Table B.2 on a semiannual basis. In cases where the Program Integrator works with or supports other Program partners in the achievement of specified indicator targets, the Program Integrator will report and verify its support through specified source documentation; however, the targets will be listed, set and counted in the PMP targets of the Program partner the PI is supporting. The primary exception will be targets set for indicator 4 on USG supported training, where the PI will always count targets achieved in its own performance and reporting.

The PI will contribute directly to and has identified targets for the following program indicators:

- Indicator 3: Number of policies, laws, agreements, or regulations promoting sustainable natural resource management and conservation that are implemented as a result of USG assistance;
- Indicator 4: Number of people receiving training in natural resources management and/or biodiversity conservation as a result of USG assistance; and

- Indicator 6: Number of public-private partnerships formed as a result of USG assistance.

PI's coordination, facilitation and administrative activities in addition to the implementation of the exchange and small grants mechanisms are expected to contribute to results for Indicators I. 4. and 6.

Each Program partner will submit performance management reports to USAID for consolidation by the PI. These results will be incorporated into the Semi-Annual and Annual Reports for the Program that tracks with the semi-annual process for preparing USAID's planning and performance reporting. Completed performance management reports from each partner agency must be submitted on a semiannual basis. As per USAID Performance Management Plan Toolkit April 2003 guidance, PI will undertake an annual review and necessary adjustments of PMP targets to reflect evolving realities. PI will facilitate a broader review and adjustment process with US CTI Support Program partners to feed into the annual reporting and consolidated reporting process.

## **Reporting Responsibility**

USAID RDMA is ultimately responsible for providing input on these reports to USAID/W. At a program level, the PI will be responsible for compiling and reporting PI-specific data to USAID. The PI will also assist USAID and each program partner in consolidating reporting data at the overall US CTI Support Program level. Program partners will be given a brief period to review and comment on draft consolidated PMP report submissions, as well as draft submissions of aforementioned reporting mechanisms, toward which results in this Program Integrator PMP will contribute.

## Table B.1 RESULTS FRAMEWORK FOR THE US CTI SUPPORT PROGRAM

<p>US CTI Support Program Strategic Objective</p> <p>Improved Management of Biologically and Economically Important Coastal and Marine Resources and its Associated Ecosystems that Support the Livelihoods of Peoples and Economies in the Coral Triangle</p> <p>R1. Regional and national platforms strengthened to catalyze and sustain integrated marine and coastal management in the Coral Triangle</p> <p>IR 1.1 Policies developed and advanced  IR1.2 Institutional capacity and collaboration strengthened  IR1.3 Learning and information networks strengthened  IR1.4 Public and private sector partners engaged  IR1.5 Sustainable financing mobilized</p> <p>R2. Ecosystem approach to fisheries management improved in CT countries</p> <p>IR2.1 EAFM framework developed and endorsed  IR2.2 Fisheries management capacity increased  IR2.3 Enforcement capacity increased  IR2.4 EAFM applied in priority geographies</p> <p>R3. Marine protected area management improved in CT countries</p> <p>IR3.1 MPA System framework developed and endorsed  IR3.2 MPA management capacity increased  IR3.3 MPA effectiveness improved in priority geographies</p> <p>R4. Capacity to adapt to climate change improved in CT countries</p> <p>IR4.1 Capacity to apply climate change adaptation strategies increased  IR4.2 Climate adaptation strategies applied in priority geographies</p>
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## TABLE B.2 INDICATORS FOR THE US CTI SUPPORT PROGRAM

<p><b>Indicator 1.</b> Number of hectares in areas of biological significance under improved resource management as a result of USG assistance.</p> <p><i>Unit of measure:</i> Hectares</p>	<b>FY</b>	<b>Planned</b>	<b>Actual</b>
	09	0	0
	10	0	
	11	0	
	12	0	
	13	0	
	<b>TOTAL</b>	0	

**Definition:** “Improved Management” includes activities that promote enhanced management of natural resources for the objective of conserving biodiversity in areas that are identified as biologically significant through national, regional, or global priority-setting processes. Management should be guided by a stakeholder-endorsed process following principles of sustainable natural resources management (NRM) and conservation, improved human and institutional capacity for sustainable NRM and conservation, access to better information for decision-making, and/or adoption of sustainable NRM and conservation practices.

For US CTI, “Improved Management” within marine protected areas (MPAs) refers to meeting established MPA management effectiveness measures. Meeting established effectiveness measures means established national standards or protocols are met which may include: monitoring and evaluation system in place, management body established and functional, boundaries demarcated and enforcement in place, or other appropriate measures used within a country.

For US CTI, “Areas of biological significance” refers to area of MPAs inside priority geographies within the CT which were identified through participatory eco-regional and national assessments and prioritization processes with expert guidance.

**Rationale:** Regional and coordinated institution building supports sustainable management of resources across the Coral Triangle. The indicator tracks the areal extent over which that is occurring within MPAs.

**Data Collection and Analysis Methodology:** The area of marine waters and habitat within MPAs (using national definitions of MPA) of the six CT countries is all considered to be of “biological significance”. The baseline of area within MPAs is based on spatial mapping using a standard protocol and nationally recognized boundaries. “Improved management” within MPAs will be reported for activities where the USAID supported program is plausibly linked to the improvements observed. Project managers and/or NGO country teams will collate data on the baseline of MPA areas (ha) and those areas under “improved management”. “Improved management” will be determined through the application locally or nationally adopted protocols or standards that define an effective MPA. Documentation will consist of an Excel spreadsheet that lists the MPAs, their total area, area under improved management and an associated narrative. The data will also include area (ha) of priority geographies and municipal/district waters as appropriate to provide context and scale for the MPAs where interventions are occurring.

**Disaggregated by:**

1. Country
2. Zones within MPAs (for example: multiple use zones, strictly protected “no-take zones, etc.)

**Data source:** Designated national agencies or MPA management boards within Coral Triangle countries with authority over MPAs in coordination with field management teams and non-government organizations.

**Data Verification:** Boundaries plotted on a map and area verifiable through credible data sources.

**Baseline Information:** The baseline is October 2009.

<p><b>Indicator 2.</b> Number of hectares under improved natural resource management as a result of USG assistance.</p> <p><i>Unit of measure:</i> Hectares</p>	<b>FY</b>	<b>Planned</b>	<b>Actual</b>
	<b>09</b>	<b>0</b>	<b>0</b>
	<b>10</b>	0	
	<b>11</b>	0	
	<b>12</b>	0	
	<b>13</b>	0	
	<b>TOTAL</b>	0	

**Definition:** “Improved Management” includes activities that promote enhanced management of coastal resources and fisheries resources for one or more objectives, such as sustaining fisheries and other resource uses, mitigating pollution and/or climate change or other appropriate outcomes. Management should be guided by a stakeholder-endorsed process following principles of sustainable natural resources management (NRM), improved human and institutional capacity for sustainable NRM and conservation, access to better information for decision-making, and/or adoption of sustainable NRM and conservation practices.

For US CTI, area (hectares) of “improved management” may fall within fishery management jurisdictions and/or seascapes but not include area of MPAs that are counted in Indicator 1. Accepted criteria to qualify an area for “improved coastal resource and fisheries management” include meeting some aspect of coastal resource and fisheries management benchmarks or measures as established within the country of concern. Such benchmarks may include two or more of the following: management regulations decided and plans adopted, management body established and functional, boundaries demarcated, some level of enforcement in place, or other appropriate measures. Indicator 2 can be satisfied only if sufficient criteria (benchmarks) are met for an area to qualify under “improved management”. Otherwise, the area of concern may be measured through a local ordinance, law or policy change that satisfies Indicator 3 on policies adopted. Replication sites that do not show measured changes through the above criteria can also not qualify under Indicator 2 and should also be measured under Indicator 3, 4 or 6 as appropriate.

**Rationale:** Regional and coordinated institution building supports sustainable management of resources across the Coral Triangle. The indicator tracks the areal extent over which that is occurring within coastal and marine resource areas outside of marine protected areas.

**Data Collection and Analysis Methodology:** The baseline of area within priority geographies, coastal resource and fishery management areas is based on spatial mapping using a standard protocol and nationally recognized boundaries. “Improved management” will be reported for activities where the USAID supported program is plausibly linked to the improvements observed. Project managers and/or NGO country teams will collate data on the baseline of priority geography areas (ha) and those areas under “improved management”. “Improved management” will be determined through the application locally adopted protocols or standards as noted above. Documentation will consist of an Excel spreadsheet that lists the area under improved management with an associated narrative. The data will also include area (ha) of priority geographies as appropriate to provide context and scale for the areas where interventions are occurring.

**Disaggregated by:**

1. Country
2. Management jurisdictions or zones (for example: municipal or district waters, etc.)

**Data source:** Designated national agencies or local government units within Coral Triangle countries with authority over marine areas in coordination with field management teams and non-government organizations.

**Data Verification:** Boundaries plotted on a map and area verifiable through credible data sources.

**Baseline Information:** The baseline is October 2009.

	FY	Planned	Actual
<b>Indicator 3.</b> Number of policies, laws, agreements, or regulations promoting sustainable natural resource management and conservation that are implemented as a result of USG assistance	09	0	1
	10	2	
	11	3	
	12	2	
<i>Unit of measure:</i> Number of regional, national, or local policies, laws, agreements and regulations	13	2	
	TOTAL	10	
<p><b>Definition:</b> Policies, laws, agreements and regulations include those formed and formally endorsed by government, non-government, civil society, and/or private sector stakeholders with the intent to strengthen sustainable natural resource management. Under CTI, these may support the following:</p> <p><b>Regional:</b> Multilateral dialogue and agreements, coordinated action and/or policy endorsements  <b>National:</b> Laws, ordinances, policies and/or agreements among local jurisdictions for marine and coastal resource management  <b>Local:</b> Laws, ordinances, policies and/or agreements among jurisdictions for marine and coastal resource management</p> <p><b>Rationale:</b> Regional and coordinated institution building supports sustainable management of resources across the Coral Triangle. Policies, laws, agreements and regulations underpin institution building and strengthened regional governance.</p> <p><b>Data Collection and Analysis Methodology:</b> Project managers from each US CTI partners will submit information semi-annually to the Coral Triangle Support Partnership (CTSP) and the PI. The PI will consolidate this information into an Excel spreadsheet with an accompanying narrative.</p> <p><b>Disaggregate:</b> By country and by theme (e.g. MPA, integrated coastal management, fisheries etc.)</p> <p><b>Data source:</b> Designated national agencies within Coral Triangle countries with authority over marine areas in coordination with field management teams and non-government organizations.</p> <p><b>Data Verification:</b> Copies of policies and laws or other indicator accomplishments will be available for verification.</p> <p><b>Baseline Information:</b> Existing policies, laws, agreements or regulations that already conform to the criteria for this indicator as of October 2009.</p>			

<b>Indicator 4:</b> Number of people receiving training in natural resources management and/or biodiversity conservation as a result of USG assistance  <i>Unit of measure:</i> Number of persons receiving training in ecosystem approach to fisheries management (EAFM), MPA management, integrated coastal management, climate change adaptation, and other training activities conducted under the US CTI Program	<b>FY</b>	<b>Planned</b>	<b>Actual</b>
	<b>09</b>	<b>40</b>	<b>25</b>
	<b>10</b>	<b>100</b>	
	<b>11</b>	<b>125</b>	
	<b>12</b>	<b>100</b>	
	<b>13</b>	<b>50</b>	
	<b>TOTAL</b>	<b>400</b>	

**Definition:** The number of individuals participating in learning activities intended for teaching or imparting knowledge and information on natural resources management and biodiversity conservation with designated instructors, mentors or lead persons, learning objectives, and outcomes, conducted fulltime or intermittently.

This includes formal and non-formal training activities, and consists of transfer of knowledge, skills, or attitudes through structured learning and follow-up activities, or through less structured means to solve problems or fill identified performance gaps. Training can consist of long-term academic degree programs, short- or long-term non-degree technical courses in academic or other settings, non-academic seminars, workshops, on-the-job learning experiences, observational study tours, or distance learning exercises or interventions. Subject areas include: EAFM, MPAs and MPA networks, integrated coastal management, climate change adaptation, sustainable financing, and other training activities relevant for coastal and marine management and conservation in the Coral Triangle.

**Rationale:** Capacity building for legislation, policy, environmental management and enforcement will be critical to the creation and effective management of fisheries, MPAs and Networks and adaptation to climate change across the region.

**Data Collection and Analysis Methodology:** Data will be recorded at each training activity, and combined using an Excel spreadsheet. A short narrative (paragraph) on the types, methodologies and subjects of trainings will be provided. All training data will be submitted through Trainet of the US Government.

**Disaggregate by:** Country, Gender and by Subject Area

**Data source:** Designated national agencies within Coral Triangle countries with authority over marine areas in coordination with field management teams and non-government organizations.

**Data Verification:** Sign-up sheets that show lists of participants in trainings by day, gender and subject area verifiable through credible data sources. Information on follow-up contact with trainees available.

**Baseline Information:** Baseline October 2009 assumed to be zero.

<b>Indicator 5.</b> Number of laws, policies, agreements, or regulations addressing climate change proposed, adopted, or implemented as a result of USG assistance  <i>Unit of measure:</i> Number of laws, policies, agreements, or regulations	<b>FY</b>	<b>Planned</b>	<b>Actual</b>
	<b>09</b>	<b>0</b>	<b>0</b>
	<b>10</b>	<b>0</b>	
	<b>11</b>	<b>0</b>	
	<b>12</b>	<b>0</b>	
	<b>13</b>	<b>0</b>	
	<b>TOTAL</b>	<b>0</b>	

**Definition:** Policies, laws, agreements and regulations include those formed and formally endorsed by government, non-government, civil society, and/or private sector stakeholders with the intent to explicitly address climate change. Policies may also contribute to addressing climate change by addressing related sectors like forests, land use and agriculture, and urban development. Because many policies may affect climate indirectly, it is essential that the indicator narrative explains how the policies contribute to addressing climate change.

**Rationale:** The formal and informal institutional structures in the form of laws, policies, agreements, and regulations are essential aspects of many USAID programs because they provide the enabling environment on which actions are built and maintained.

**Data Collection and Analysis Methodology:** Data will be collected using an Excel spreadsheet, with accompanying short narratives (paragraphs) on the details of the benefits from each law, policy, agreement or regulation related to climate change adaptation.

**Disaggregate by:** Country and level of implementation (e.g., regional, national and site)

**Data source:** Designated national agencies within Coral Triangle countries with authority over marine areas in coordination with field management teams and non-government organizations.

**Data Verification:** Copies of policies and laws or other indicator accomplishments will be available for verification.

**Baseline Information:** Existing policies, laws, agreements or regulations that already conform to the criteria for this indicator as of October 2009.

<b>Indicator 6.</b> Number of public-private partnerships formed as a result of USG assistance  <i>Unit of measure:</i> Number of public-private partnerships formed supporting regional, national institution building and governance, including strengthened local or site management and seascape management	FY	Planned	Actual
	09	0	0
	10	3	
	11	3	
	12	2	
	13	2	
	<b>TOTAL</b>	10	

**Definition:** A partnership is considered formed when there is a clear agreement, usually written, to work together to achieve a common objective. There must be either a cash or in-kind significant contribution to the effort by both the public and the private entity. An operating unit or an implementing mechanism may form more than one partnership with the same entity, but this likely to be rare. Public entities include: the USG, developed country governments, multilateral development institutions, national governments of developing countries, and universities or other arms of national governments. For-profit enterprises and non-governments organizations (NGOs) are considered private. In counting partnerships we are not counting transactions.

**Rationale:** This indicator measures USG leveraging of public and private resources to regional institution building and governance, including strengthened target area management and seascapes, which is critical to improved and sustained management.

**Data Collection and Analysis Methodology:** Public-private partnerships that have been established with CTI support will be analyzed. To the extent that the partnerships support better regional management and coordination, they will be incorporated into an Excel spreadsheet with brief accompanying narrative that explains the public-private partnership.

**Disaggregate by:** Country.

**Data source:** Designated national agencies within Coral Triangle countries with authority over marine areas in coordination with field management teams and non-government organizations.

**Data Verification:** Lists of partnerships verifiable through credible data sources and explanations.

**Baseline Information:** Baseline is October 2009, assumed to be zero. All new partnerships will contribute to this indicator.