



International Coastal Resources Management Project

The University of Rhode Island

The four major goals of the AID/URI Coastal Resources Management Project (CRMP) are: 1) to apply, as appropriate, existing experience in coastal resources management to developing countries; 2) to assist three developing nations in the design and implementation of integrated coastal resources management programs; 3) to advance the state-of-the-art of coastal resources management in developing countries; and 4) to build URI's capability to assist developing nations with coastal resources management.

The CRMP will work with the cooperating pilot countries to:

- develop procedures for the assessment of the impacts of coastal development proposals
- develop institutional and technical solutions for resource use conflicts
- support research to better understand the issues that affect the condition and use of coastal ecosystems
- improve the capabilities of in-country professional staff to plan for and manage coastal development

The countries selected for pilot projects are Ecuador, Sri Lanka and, tentatively, Thailand.

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**EVALUATION OF THE FIRST YEAR
OF THE ECUADOR PILOT PROJECT
January 1-September 30, 1986**

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JANUARY 1 - SEPTEMBER 30, 1986**

The University of Rhode Island/U.S. Agency for International Development
Coastal Resources Management Project

I. INTRODUCTION

The Joint Project Agreement (Article V) governing the Ecuador pilot project calls for annual evaluations to be conducted in association with the development of annual work plans. According to the Joint Project Agreement these evaluations shall determine progress made towards:

- Attaining the objectives specified in the previous year's work plan;
- Attaining the general and specific Project objectives;
- Identification and evaluation of problem areas or constraints which may inhibit such attainment;
- Determining how such problems might be overcome; and making recommendations directed at their resolution within the constraints of the project.

The first such evaluation was conducted at the CRMP Project Offices in Guayaquil on October 20 and 21. This was followed by selection of tasks for Year Two on October 22 and 24, 1986. The following people participated in this four-day process:

Eduardo Figueroa	Director General of DIGEMA
Louis Arriaga	Director of the DIGEMA CRM Office in Guayaquil
Fausto Maldonado	AID/Quito CRM Project Liaison Officer
Stephen Olsen	Director of the URI/S&T CRM Project
Kris Merschrod	URI In-Country Project Manager
Donald Robadue	Asst. Director, URI Coastal Resources Center
Pepe Vascones	DIGEMA staff engineer in Guayaquil.

Review of Project Objectives

The evaluation process began with a half day session to review the project's objectives. The Joint Project Agreement sets forth general project objectives in Article II and Specific Objectives in Article III. These discussions reconfirmed that the specifics in Article III are both on-target and achievable. They were regrouped into the following set of eight priorities:

1. To evaluate options for the institutional/legal design of a nationwide CRM program for Ecuador and select the preferred option. Legislative needs will be defined.
2. To analyze the major coastal management issues and select those that should be the focus for an ongoing CRM Program.

3. To broadly disseminate information on the selected CRM issues; the primary target for such education/outreach shall be decision makers and opinion leaders important in establishing an ongoing CRM Program in Ecuador.
4. To create an information network that makes key CRM documents accessible to all and provides for an information sharing and retrieval system on the CRM issues selected as the focus of the Program.
5. To establish a cadre of people trained in CRM skills. It is desirable to have such people in governmental agencies (e.g. DIGEMA), academic institutions (e.g. ESPOL) and non-governmental organizations (e.g. Fundacion Natura).
6. To develop and test elements of a regulatory program on such topics as: a shoreline and water use classification scheme, streamlined permitting procedures for shrimp ponds and mangrove management.
7. To have documented cases where an integrated CRM approach has made a tangible difference to how coastal resources are utilized. An example is the analysis of the shrimp mariculture industry and subsequent PL mortality research and extension initiatives.
8. To assist the AID/Quito Mission in the design of a follow-up CRM project that will build upon the experience and progress made by this project.

These eight priorities served as a reference point in selecting the work tasks for Year Two of the pilot.

It was also agreed that the following cycle should be completed for at least some elements of the CRM program during the life of the project:

1. Issue estimation.
2. Evaluation and selection of management options.
3. Testing (implementation) of selected management options.
4. Evaluation.

Year One was designed to emphasize Step 1. Year Two should include progress to Step 3 on some topics.

II. REVIEW OF PROGRESS IN YEAR ONE

The first "year" of the project covers a nine-month period that began with the arrival of the In-Country Manager in Guayaquil in January 1986 and ended on September 30. The pilot did not formally get underway, however, until March 3 when the Joint Project Agreement was signed. Although the First Year Work Plan was not approved until April 24, it was possible to initiate work tasks beforehand. Dr. Arriaga, the DIGEMA counterpart to the URI In-Country Manager, began work in June.

The discussions were lead by Kris Merschrod who reviewed each work task as described in the First Annual Work Plan.

3.1 Project Start-Up

Objectives

- i. To ensure the timely and efficient start-up of the Ecuador CRM Program.
- ii. To orient core US CRM staff to Ecuador's coastal resources and issues.
- iii. To orient core Ecuadorian staff to selected, relevant CRM issues and management techniques in the US.
- iv. To hire an in-country project manager.

Review of Progress

All tasks in support of this element were addressed. The URI In-Country Manager was hired in November, 1985 and moved to Ecuador in January, 1986. As stated above, it took considerably longer than expected to finalize the project's joint project agreement and first year work plan. This extended process yielded some useful results including a more established relationship between URI and DIGEMA, an increased role for the URI In-Country Manager in shaping both documents, and both documents being based on a clearer understanding of coastal issues in Ecuador.

A ten-day study tour of CZM Programs in the US was organized by URI staff for the Director of DIGEMA, a DIGEMA staff person, the AID/Quito Project Officer, and the URI In-Country Manager from November 14 to November 24, 1985. The tour included reviews of the Rhode Island, Louisiana, and Puerto Rico programs as well as meetings with key agencies in Washington, DC and an in-depth look at OCS oil and gas issues. The tour was evaluated to be extremely useful and satisfactory by all participants.

Tasks to address objective iii included an information collection task by Jim Adriance and ICMRD Information Services at URI and supporting efforts by Eduardo Barrigan at DIGEMA. Significant numbers of documents have been collected and put on a computerized database available both at URI and the CRMP Office in Guayaquil. The information has not yet been integrated into the program. Except for a three-day tour by the URI Project Director and AID/Quito Project Officer, there has not been a core group orientation to Ecuador's coast.

3.2 Establish the CRM Office In Guayaquil

Objectives

- i. To provide the In-country Manager with adequate office space that includes storage space for project documents and equipment, and meeting and small discussion area.**
- ii. To support the CRM with adequate secretarial, communications and copying services.**

Review of Progress

The establishment of a URI project Office has taken place, although the facilities of the counterpart, DIGEMA, are incomplete and not well integrated with those of URI.

DIGEMA has retained offices in the MAG Building on the floor beneath the one occupied by the Project Manager. In August, following the shrimp workshop, there were lengthy discussions between the participants in this evaluation and Molly Kux, the S&T Project Officer, concerning the desirability of placing Dr. Merschrod and Dr. Arriaga in the same suite of offices. It was felt that this would help overcome the impression that the American and Ecuadorian offices are not those of an integrated single project. All the equipment, word processors, project files, xerox, etc. are in the AID offices occupied by the Project Manager. The option of relocating the project offices to a single space in a different building has been explored and rejected because it would be more expensive and the many amenities provided by the present offices would be lost. These include the presence of other agencies important to the CRM Project in the same building and the many services that the Project enjoys by sharing resources with other AID projects (drivers, secretaries, xerox, telephones, etc.).

It was concluded that the CRM Project will provide the funds for the additional furniture needed for the DIGEMA offices and that once these are in place the URI In-Country Manager should relocate. This decision was subject to AID/Quito approval that the In-Country Manager may occupy a non-secured office and that DIGEMA staff occupy AID space formerly occupied by him. Such approval was not forthcoming and no action is therefore contemplated. The Project funds will be used to purchase additional furnishings for the DIGEMA office and to install telephone lines connecting the two offices.

Both Kris Merschrod and Lucho Arriaga contend that there are no problems in coordination and that they are indeed working as a team. However, other members of the project expressed concern about the functioning of the offices. The first year work plan provides no specific guidance regarding the exercise of joint responsibility of administrative matters. Clearer guidelines are needed in the Year Two plan on the identity and function of the office.

On another but related topic there was some discussion of the quarterly reports that the In-Country Manager is required to provide to URI. Stephen Olsen requested in August that these contain more analysis of the priority CRM issues as these relate to the tasks set forth in the Work Plan. Louis Arriaga requested that he be included in the process of developing subsequent quarterly reports.

3.3 Convene Policy Board and Steering Committee

Objectives

- i. To convene the Policy Board committee that will speak to matters of CRM policy. The composition of the Board is set forth in Section 4.1 of the JPA.
- ii. To form a technical level steering committee composed of the USAID/E, URI, and DIGEMA project management personnel plus other Ecuadorian institutions with direct relevant technical or production interests in Ecuador's coastal resources. The composition and responsibilities of the Technical Committee are set forth in Section 4.2 of the JPA.

Review of Progress

There has been only a single joint meeting at which members of both the Board and Steering Committee were briefed on the project as a whole. No subsequent meetings have been held. Tasks ii and iii, which call for solicitation, have therefore not been accomplished. Members of the Board and Steering Committee have not received any communications from the project since the orientation meeting. However, although the Steering Committee has not functioned as a committee, some of its members have participated in the mangrove working group and attended the shrimp workshop. An orientation session and discussion scheduled for the Steering Committee and Project Director for August 1 only drew two of the committee members. Two key agencies, CONADE (the National Planning Agency) and the Mercante Marina (Navy) are proving to be particularly difficult to engage. This is a major concern since these are the agencies with the most direct influence over how planning and management for coastal resources is carried out in Ecuador.

The role of the Board and Steering Committee was discussed at some length. It was agreed that the Board should be involved only when there are substantive policy issues that should be discussed. The Steering Committee, however, should be engaged and its members should play a real role in shaping the emerging CRM Program. It was agreed that incentives must be created that will solicit their interest and participation. It was recognized that the Board and Steering Committee will have little opportunity to shape the Second Annual Work Plan. The Project Manager considers that the Steering Committee should oversee and approve annual work plans. This could lead to numerous problems. The Steering Committee should be viewed as a means for engaging technical level personnel in relevant agencies on the subject matter of the project.

3.4 Analysis of Legal and Institutional Arrangements for CRM in Ecuador

Objectives

- i. To develop a collection of the key legal documents relevant to coastal resources management in Ecuador; this collection will form one element of the CRM document collection in Guayaquil.
- ii. To prepare a digest and cross referencing system for legal and administrative structures pertaining to the management of coastal resources in Ecuador.
- iii. To analyze the opportunities and impediments to an integrated coastal resources development program and identify alternatives for institutional arrangements that will facilitate the effective management of those areas and activities selected as the primary focus for the CRM program.
- iv. To recommend an institutional structure for the future planning and the implementation of the coastal management program.

Review of Progress

During the first day of the evaluation this Project was viewed as a top priority for the Ecuador pilot project.

This work element has been designed as a project that will extend through December 1986. The work on the first two objectives is nearing completion and has been well done. Objectives iii and iv address institutional analysis and the development of recommendations for the institutional structure for a CRM program. Efrain Perez, an Ecuadorian legal scholar, was identified as a desirable contractor for this work during visits to Ecuador in 1985. A contact with him was negotiated and signed in 1986. Since a problem oriented approach to institutional analysis was judged most likely to be productive it was decided that institutional analysis would focus first on topics related directly to the shrimp culture industry analysis. The contractor was brought to Rhode Island to work with the Institutional Analysis Team that is developing analytical techniques that should be applicable to all pilots. This has resulted in a close working relationship between Efrain Perez and Don Robadue of the URI Coastal Resources Center. Since water quality emerged early on another major CRM issue, this will be the second topic of emphasis for the institutional analysis segment of this project.

The task of recommending an institutional structure for CRM will be addressed in only a preliminary manner by December. A more in-depth treatment must await a better sense for CRM issues nationwide that should emerge from the provincial profiling process (Task 3.5), and the review by Fundacion Natura of natural resources management policy and management at the national level (February '87).

The issue characterization, or profiling element (3.5) has not begun, while the work of Perez has moved forward nearly on schedule. As a result, the Project has been provided with insufficient opportunity to best work on specific identified problems. The project team agreed that

stronger involvement by DIGEMA counterparts in coordinating this work was desirable.

During the first year two other major efforts in legal/ institutional analysis emerged as important initiatives that must be closely coordinated with this project's activities. These are (1) the Fundacion Natura EDUNAT II Project that includes a review of national level laws and development of recommendations for changes in policy, and (2) a review being conducted by the Marina Mercante of their regulations governing coastal activities. The CRM project is facilitating cooperation and exchange among these efforts.

Those participating in the evaluation were pleased with the work of Efrain Perez and satisfied that this project has made good progress.

3.5 Synthesis of Available Information on Ecuador's Coastal Resources and Selection of Priority Issues for the Management Program

Objectives

The overall objective is to synthesize the available information on Ecuador's coastal regions and identify the resource management issues that will form the initial focus of the coastal resources management program. This task has the following specific objectives:

- i. To synthesize the available socio-economic and environmental information for each coastal region and comment upon its quality and completeness as it relates to the key coastal management issues in each region.
- ii. To identify the development plans for each coastal region and analyze those that are likely to impinge upon the coastal resources management program.
- iii. To identify Ecuadorians with expertise on relevant topics and the potential participants for the working groups that will address selected issues.
- iv. To establish contacts with the key governmental and private sector players in each region and involve them in the initial scoping for the project.
- v. To widely disseminate information on Ecuador's coastal resources and the concepts of integrated resources management to the public.
- vi. To produce a document or documents for broad dissemination within Ecuador that will profile the condition of coastal resources and their capability to sustain activities at both present and projected levels of intensity.

Review of Progress

This project was designed as the counterbalance to 3.6, the shrimp mariculture management strategy and was to be by far the largest in-country effort during the first year of the project. Unfortunately, suitable in-country contractors for this work were not identified by the URI Project Manager until June and a contract was not signed until late

September.

The failure to implement this task has had several repercussions on the project as a whole. It has fueled the perception that the program is in reality a shrimp management rather than a coastal resource management project. It has also curtailed progress on other tasks (3.3, 3.4, 3.7 and 3.8) that rely on this work to identify and examine coastal management issues nationwide.

3.6 Development of an Integrated Management Strategy for Shrimp Mariculture in Ecuador

Objectives

- i. To assemble and synthesize the available information and work in progress on Ecuador's shrimp mariculture industry and related issues in order to assess the management and regulatory initiatives now in place and/or being contemplated, evaluate alternatives for management the shrimp and mariculture industries; and recommend steps for developing and implementing an integrated management strategy.
- ii. To recommend a research agenda that will help refine such an integrated management strategy.
- iii. To initiate the research, planning and policy development steps appropriate to the Ecuador CRM Program that are identified through the synthesis and workshop process.

Review of Progress

Responsibility for the implementation of this project lay primarily with the project staff at URI. A team leader to coordinate the logistics and work with the experts retained to synthesize information in the various topics, Dr. Paul Maugle, was selected and approved by February 4, 1986. A total of 14 contractors were retained to produce the synthesis papers. Draft papers were made available before the workshop began on August 4. The workshop was conducted using facilitated meeting techniques that proved highly successful in a workshop held in Sri Lanka in May. Summary findings and recommendations were developed during the four-day workshop and reviewed with all participants. The workshop report, a book containing the final versions of the synthesis papers, and a set of recommendations for achieving an integrated strategy for sustainable shrimp mariculture, are all in preparation. In addition, proposals for further research and planning were submitted to AID/Quito for their consideration as a possible buy-in to the CRM Project.

Year-end funds for AID/Quito were secured for the Instituto Nacional de Pesca that will provide for more detailed data on the distribution and abundance of larval shrimp along the Ecuadorian coast. These funds were secured through a special effort by Kris Merschrod, Lucho Arriaga and Fausto Maldonado.

A review of the workshop revealed inadequate in-country support to this project element. The workshop invitee list and social arrangements were

not reviewed with the DIGEMA Director General and the formal invitations were mailed the week before the conference in poor Spanish. As a result of these problems only a small fraction of the carefully selected invitees participated in the workshop and the goal of consensus building among representatives of the industry, government and academic institutions was compromised.

3.7 Training

Objectives

- i. To develop a long-term training strategy that addresses both short-term and long-term needs.
- ii. To incorporate training activities in the meetings of the CRM Policy and Technical Committees.
- iii. To provide key CRM personnel with an orientation to CRM activities and issues in the US.
- iv. To facilitate exchanges between organizations and agencies in Ecuador on CRM issues.

Review of Progress

An orientation program in the United States for key participants in the pilot, was carried out in November '85 as an element of the start-up phase. However, training for the Policy Board and Steering Committee has not been carried out and the design of a long term training program, has not been initiated.

A workshop on a Marine Reserve for the Galapagos was slated as an activity to be carried out with AID/Quito funds. This activity has been postponed by the Government of Ecuador.

Lack of progress on this Project Element was felt to be a serious omission since training should be a priority activity in Year Two and cannot be effectively carried out in the absence of an assessment of training needs and a strategy to meet them.

3.8 Public Education Program

Objectives

- i. Define the information the CRM Program wants to transmit.
- ii. Develop a strategy to increase public awareness on CRM resources and issues.

Review of Progress

Neither of the objectives for this project have been met.

The URI Project Manager has invested considerable time in familiarizing himself with the public education programs of Fundacion Natura and the Navy Marine Interest Division (DIGEIM). The CRM Project helped fund a DIGEIM workshop for teachers in El Oro province in (month?). He has solicited proposals from both organizations. The CRM Project also

sponsored a short consultancy for Hilda Diaz to recommend how the project should develop its public education strategy.

As with the Training Project the pilot finds itself at a disadvantage having made no progress on developing a public education strategy--most importantly defining its message and audience. It is inappropriate to proceed with other tasks until these basics are in place. This places the Project in a difficult position since both F. Natura and DIGEIM are expecting substantial funding from this Project in Year Two.

III. SUMMARY OF ACHIEVEMENT OF FIRST YEAR OBJECTIVES

Project startup was successfully completed, along with the establishment of a well-functioning project office in Guayaquil. The policy board and steering committee were established but have not been functioning as envisioned in the work plan. The institutional and legal analysis work has been performed satisfactorily and on schedule. However, the objective of exploring concepts for an institutional framework for CRM in Ecuador needs to be carried out with much greater involvement of project staff and Ecuadorian counterparts. Lack of progress in the synthesis of information on Ecuador's coastal resources is a major problem for the project, and has interfered with success in the institutional analysis and public education tasks.

The shrimp mariculture strategy element has largely been completed, with the exception of publishing papers and workshop results. Followup activities are already underway. The design of a training program was not accomplished, nor was much progress made to meet the objectives of the public education program.

The URI In-Country Manager initiated a number of activities not described in the Annual Work Plan. These need to be documented and will be included in an annual report on the project to be prepared by the In-Country Manager and his counterpart as soon as possible.

IV. EVALUATION

A. Attaining Objectives of First Year Work Plan

The First Year Work Plan is ambitious and was designed for execution within a full twelve-month period. Progress can be evaluated for only a nine-month implementation period.

The URI Project Manager has made little progress during this initial period to initiate those elements of the Work Plan that must be implemented in Ecuador, specifically the provincial profiles, training and public education elements. Tasks which URI had to initiate, including the shrimp industry assessment and legal/institutional analysis, have been accomplished.

B. Identification and Evaluation of Problem Areas and Constraints

- (1) **In-Country Administrative Structure:** The administrative structure in Ecuador is different from the one developed for the other two CRM pilot countries in that an expatriate resident In-Country Manager is responsible for implementing the pilot's activities in Ecuador. By the end of his tenure the In-Country Manager must be able to hand over the project's activities to Ecuadorians trained and supportive of the initiatives carried out. This evaluation suggests, however, that the presence of an expatriate running the program is a major impediment to Ecuadorians assuming responsibility and leadership for the program and generating the ideas and policies that will shape CRM in Ecuador. During the first year the Project Manager has assumed the dominant role in all major substantive negotiations with subcontractors and agencies. The resources and power of the project therefore appear to be tied to him personally rather than shared with his Ecuadorian counterparts.

The In-Country Manager has developed his own agenda independent of the adopted workplan and without adequate consultation with the URI Project Director and DIGEMA Director General. The In-Country Project Manager views his priority as networking among Ecuadorian agencies. While this is a centrally important technique, it must be accompanied by development of the substance of the CRM Program with the counterpart agency. Such substance must not be developed by the In-Country Manager operating as a "free agent."

Another problem is the lack of integration among activities in direct support of project work elements. The first year evaluation was the first time the in-country principals for the Project had met as a group to discuss substantive CRM issues. The recent work of Pepe Vascones and Efrain Perez on water pollution control has not been coordinated and there has been considerable overlap in their activities. Logistical support in-country to the shrimp workshop was inadequate. After nine months the interactions among staff and Ecuadorian counterparts suggests that there is still no sense of an

emerging CRM project team that is working together towards common goals and is creating new opportunities to discuss their work and develop ideas.

(2) Interrelationships of In-Country Staff With URI

- a. The accounting system for the Project at URI failed to produce timely records of expenditures. This resulted in funding shrimp workshop followup activities when funds were processes available, but instead the budget had been fully committed. The accounting services for the project have been transferred to the Graduate School of Oceanography and it is expected that this will improve the fiscal services available to the Project.
- b. A number of problems have arisen caused by the lack of clear procedural guidelines and administrative procedures. The Terms of Reference and Contract for the Fundacion Maldonado subcontract is an excellent example of much time wasted because the procedural ground rules were unclear. This should be improved by the Guidelines developed by the URI Project Director on August 26 and now amended (attached).
- c. Tasks that should have been accomplished quickly have taken much time. For example, the project's conclusions on a strategy for sustainable shrimp mariculture has taken three months to produce. This is attributable to the different views of the project's leadership.

(3) There have been numerous procedural difficulties during Year One.

- a. Although coordination between the In-Country Manager and the AID/Quito Liaison Officer has been good, there have been a number of failures in communication with the DIGEMA Director General. Several specific instances were discussed. Some of this is attributable to the delay in retaining a DIGEMA counterpart for the In-Country Manager in Guayaquil and the DIGEMA DG's heavy work schedule. Nonetheless, good communication is the responsibility of the In-Country Manager and must be viewed as a priority.
- b. Procedural guidelines must be set and adhered to regarding preparation of Terms of Reference for In-Country contractors, solicitation of proposals, creation of formal working groups, etc. Draft guidelines were prepared by the URI Project Director on August 26 and a revised final version is attached.

D. Recommendations for Resolution of Problems

- (1) It was agreed that beginning immediately, there will be monthly meetings of the project principals (In-Country Manager, his counterpart, AID/Quito Liaison Officer) chaired by the DIGEMA DG to review progress, set priorities for the subsequent month and discuss policy and procedural issues. The URI Project Director will be

briefed on these meetings.

- (2) It was agreed that subsequent annual workplans will include An Implementation Plan that will specify products schedules and core staff responsibilities for each work task. This will facilitate project monitoring and evaluation.
- (3) Future annual evaluations will be based upon a report prepared by the In-Country Manager and his counterpart that will be distributed ahead of time. In-country contractors should present their work.
- (4) All documents of significance produced through this pilot shall in the future be sent with an appropriate cover letter to all members of the Board and Steering Committee.

These measures will undoubtedly mitigate the procedural problems identified. They do not address the central problem of the role of the In-Country Manager. The Sri Lanka CRM pilot project is administered by a local hire Project Administrator who is supervised by the Director of the Coast Conservation Department (CCD). The CCD Director is the URI Project Director's counterpart and he is the direct and prime contact on all matters of substance. This is the model being used for the design of the third pilot for Thailand. It is clear that the administrative structure of the Ecuador pilot must be revised.