

Sustainable Coastal Communities and Ecosystems Program (SUCCESS)

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

Year 2 Work Plan

October 1, 2005 – September 30, 2006



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

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

Year 2 Work Plan

October 1, 2005 – September 30, 2006

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

A partnership between:

**Coastal Resources Center
University of Rhode Island
and**

**United States Agency for International Development
Bureau for Economic Growth, Agriculture and Trade
Office of Natural Resource Management**

In association with:

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

EcoCostas

**Universidad Centro America
and**

**Conservation International
The Nature Conservancy
World Wildlife Fund
The Sea Grant Network**

Table of Contents

	<u>Page</u>
I. Introduction	1
Program Strategic Context	3
The Development Challenge	3
USAID Strategic Interests	3
Development Hypotheses	3
Program Description	5
Summary of Overall Expected Results	5
Key Principles and Approaches Employed	6
Technical Program Elements and Life-Of-Program Results	7
On-The-Ground Results	7
Training	7
Regional Networks	8
Science for Management	9
Global Leadership	10
Cross-Cutting Program Elements	10
Volunteers for Prosperity	11
II. Program Results Framework	12
III. Year 2 Activities.....	14
A. On-The-Ground Results	14
B. Training	34
C. Regional Networks	38
D. Science for Management	43
E. Global Leadership	46
F. Cross-Cutting Program Elements	47
G. Volunteers for Prosperity	50
H. Key Products and Reports	52
IV. Associate Awards.....	53
V. Program Management	57
VI. Monitoring, Evaluation and Reporting	60
VII. Issues and Challenges.....	62
VIII. Budget.....	64
Annex A: Performance Monitoring and Reporting Plan.....	68

I. Introduction

On September 30, 2004, the University of Rhode Island (URI) was awarded a United States Agency for International Development (USAID) Leader with Associates (LWA) Cooperative Agreement in Coastal Management, Fisheries and Aquaculture for a five-year program with core annual funding of \$750,000. This is *the Sustainable Coastal Communities and Ecosystems* (SUCCESS) Program.

The Coastal Resources Center (CRC) at the URI is the Leader of this Agreement. The Pacific Aquaculture and Coastal Resources Center at the University of Hawaii (PACRC/UHH) is the sub-recipient. The Program's strategic partners are the Sea Grant Association of Universities, through the Rhode Island Sea Grant College Program; the Nature Conservancy (TNC); World Wildlife Fund (WWF); and Conservation International (CI). Regionally, the partners include the Western Indian Ocean Marine Science Association (WIOMSA) based in Zanzibar, Tanzania; the University of Central America (UCA) based in Nicaragua; and EcoCostas, a non-governmental organization (NGO) based in Ecuador.

The Program's overarching goal is to help the people of a place improve both their quality of life (health, income, education) and their physical environment through good governance. The Program has four major components.

1. Achieving Tangible On-the-Ground Results
2. Increasing Capacity through Training Linked to On-the-Ground Activities
3. Establishing Regional Learning Networks Supported by Effective Knowledge Management
4. Applying Science to Management and Good Governance

In each region where the LWA Program operates, these components come together to make a coherent, mutually re-enforcing set of strategies. These strategies ensure that community-based demonstrations of successful natural resources governance are connected to supporting actions and policies at the provincial, national and regional scales. This integrating, cross-sectoral and multi-scaled approach has proven to be adaptable to a very wide range of settings.

In addition to these four primary Program elements, we are working to promote US global leadership in ICM by advocating internationally for sound coastal governance and a stewardship ethic within coastal ecosystems. Further, the SUCCESS Program integrates across a number of cross-cutting themes including:

- Partnerships and alliances
- Gender mainstreaming
- Nested governance structures
- Health and HIV/AIDS
- Volunteers for Prosperity

These topics are highlighted in various USAID policies, and are topics in which CRC and its partners have developed skills and experience.

This Year 2 workplan covers work activities that will be implemented between October 1, 2005 and September 30, 2006. It lists by Program element the accomplishments achieved relative to the goals and objectives programmed in the first year and maps out the key objectives and tasks

for this second year. It describes the management structure for implementation of the work, key management issues, challenges and constraints that were faced while implementing the Program in the first year and adjustments made in our strategy. It also includes a brief description of the SUCCESS Associate Award focusing on tsunami rehabilitation in one district of Thailand, and the rebuilding of sustainable livelihoods for those affected from the disaster. The Performance Monitoring Plan (PMP) is included as Annex A of the workplan. It lays out the Program's logical framework, monitoring and reporting procedures, and describes indicators and targets (annual and Life-of-Project) for each category of result.

Program Strategic Context

The Development Challenge

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

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

These are the necessary features of aid highlighted in the recent USAID White Paper on its development challenges¹.

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

- Poverty
- Efficient use and equitable allocation of fresh water
- Optimizing the sustained contributions of estuarine and marine ecosystems to food security
- Promoting justice, transparency and accountability in public and private institutions
- Achieving greater equity, including gender equity

¹ US Foreign Aid: Meeting the Challenges of the Twenty-first Century. Bureau for Policy and Program Coordination, U.S. Agency for International Development. January 2004.

- Improving quality of life of coastal people including health improvements by combating HIV/AIDS

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

USAID Strategic Interests

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

Development Hypotheses

Nearly three decades of experience in a wide diversity of settings has convinced CRC and its partners that the design, administration and evaluation of coastal governance initiatives in all settings is made more efficient and transparent when structured within the Orders of Outcomes framework².

As illustrated by Figure 1, the ultimate goals of coastal management are (1) healthy, productive ecosystems, (2) an acceptable quality of life for their associated human populations, and (3) a governance system that is equitable, transparent and just. These are defined as Third Order outcomes and must be defined in specific terms for a specific locale. Sustained progress towards Third Order goals requires first creating the necessary enabling conditions (the First Order) and then implementing a plan of action (the Second Order). The Second Order is signaled by specified changes in the behavior of user groups, relevant institutions and – often – making the necessary investments in infrastructure. Attainment of Third Order goals in human-dominated, typically stressed coastal ecosystems at the large scale (thousands of square kilometers) typically requires decades of sustained effort³. Third Order goals have been documented at the community scale (ten to hundreds of square kilometers) within the span of three to ten years. Verifying and refining the Orders of Outcome framework requires probing a set of hypotheses that include:

- The practice of *adaptive* governance requires documenting change on topics of central importance to the initiative as this relates to a governance baseline. Our premise is that preparing such *governance baselines* is an efficient strategy for assessing the existing capacity and for framing goals in terms that reflect the heritage of a place. Such baselines

² See: Olsen, S.B. 2004. The orders of outcome in integrated coastal management: A framework of progress markers to more sustainable forms of coastal development. *Sea Technology*. pp. 41- 46. and; Olsen, S.B. Editor. 2003. *Crafting Coastal Governance in a Changing World*. University of Rhode Island, Coastal Resources Center, Narragansett, RI. USA.

³ Olsen, S.B. and D. Nickerson. 2003. *The Governance of Coastal Ecosystems at the Regional Scale: An Analysis of the Strategies and Outcomes of Long-Term Programs*. Coastal Management Report #2243. University of Rhode Island Coastal Resources Center. Narragansett, RI.

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

- A third hypothesis is that sustained progress can be achieved only if a governance system is constructed from the outset as a *nested system* in which the approach and actions are reflected across a range of spatial scales that link a coastal community to supportive policies and procedures at the national scale. The importance of institutional frameworks was recently identified as an important factor promoting sustainability of coastal management programs⁴.
- Finally, the SUCCESS Program is predicated on the assumption that sufficient experience now exists in the practice of effective and equitable coastal governance that makes it necessary to invest in the codification of good practices and their dissemination through networks of well trained extensionists grounded in the culture of a region.

Program Description

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

Summary of Overall Expected Results

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

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

2. The second “layer” is the regional networks of coastal management practitioners that draw together the many ongoing, but typically isolated, projects and programs in the two regions. Projects and programs will be invited to participate in the networks if they have attained sufficient maturity to offer insights on “what works, what doesn’t and why” within their setting. Participating programs will be requested to generate governance baselines that organize their past experience and future aspirations in a common format using standardized terms. This will be the basis of a knowledge management system available to all members of the network.
3. A series of linked training courses will be offered in each priority region and countries that brings together practitioners at the incubator sites with participants in the regional network. Completing a sequence of courses and demonstrations of professional competence will be the basis for certification. Courses will have a strong learning-by-doing theme and will be conducted at one of the field sites that are conducting pertinent activities.
4. The research undertaken through SUCCESS will be directed primarily at better understanding the linkages and interdependencies between the actions associated with the different Orders of Outcomes and probing how sustained progress is influenced by the conditions that are present in a given locale.

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

Key Principles and Approaches Employed

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

III. Year 2 Activities

A. On-The-Ground Results:

Year 2 Budget: \$480,952

In Tanzania

Task No. A.1. Equitable livelihood development through mariculture and community-based resource management

Scale of intervention: District level
Lead Implementing Organization: TCMP/WIOMSA
Other Partnering Organizations: Institute of Marine Science, University of Dar es Salaam
Activity Coordinator: Aviti Mmochi
US Liaison: Brian Crawford

Accomplishments to Date

Background: The need to better manage Tanzania's coastal ecosystems and conserve marine biodiversity is urgent. The nation's 1,424 kilometers of coastline include important bio-diverse assets such as estuaries, watersheds, mangrove forests, beaches, coral reefs and seagrass beds and rare species of wildlife – all of which are threatened. Pressures include increasing populations, widespread poverty, poorly planned economic development, under-resourced government institutions, and weak implementation of existing policies and laws. Within this already-challenging context, it becomes increasingly difficult to improve coastal resources management and to improve the quality of life for coastal people when growing numbers of Tanzania's coastal population are HIV positive and when a lack of gender equity permeates coastal resource-based enterprises. Yet against this backdrop, Tanzania has made substantial progress in developing the enabling conditions for sustainable management and conservation of its coastal resources.

One of the more significant milestones in Tanzania was approval of the National Integrated Coastal Environment Management Strategy (ICEMS), adopted in 2002 by the Tanzania cabinet. There have been a number of supporting policies and strategies developed in the last several years as well. This includes best practice guidelines for mariculture, tourism, environmental monitoring and district action planning, and the seaweed development strategic plan. These policies help set the stage for sustainable economic development that can contribute to the government's objectives on poverty alleviation while ensuring environmentally sustainable development.

The national ICEMS and related policies and guidelines provide an overarching framework for implementation on the ground, and this process has begun. District action plans are being implemented – with support of the National Environmental Management Council (NEMC) and related national agencies – in Pangani, Bagamoyo and Mkuranga. District ICM committees have been formed to coordinate action plan implementation. In these districts, most of the enabling conditions necessary to achieve rapid progress on second and third order outcomes (changes in behaviors, social, economic and environmental improvements) are present. Implementation emphasizes activities such as collaborative fisheries management in addition to enterprise development opportunities linked to the coast's rich cultural heritage and natural resources. This includes development of small-scale enterprises in tourism and mariculture, among others.

- Document results from pilot demonstration farms for milkfish and seaweed farming and pilot half-pearl farming in Fumba, with an emphasis on the economics of production.
- Deliver extension support services to Tilapia farmers in Mkuranga including expansion of services from one to eight ponds, and training in unisexual stocking of tilapia and installation of windmills to assist with water pumping in the original pond.
- Expand the number of seaweed and milkfish farmers and establish additional farm sites, including a new milkfish farm in Bagamoyo.
- Develop a milkfish extension manual, which will be used in training during Year 3.

Tasks, Milestones and Schedule

Tasks and Milestones	Date
Monitor and analyze harvest results from tilapia, milkfish, bivalves, and seaweed in all sites	Continuous
Complete governance baselines	December, 2005
TDY of E Requentina for the regional training course (milkfish fry gathering and pond construction), follow-up on site selection, pond and gate design, and production management in Mkuranga, provide assistance to PEACE project for site selection in Biynui, and SUCCESS in Changwahela village)	December 2005
Conduct economic feasibility analysis of seaweed, milkfish and bivalve farming (TDY of Dr. Q. Fong, Univ. of Alaska Sea Grant)	December 2005
Develop and print an extension manual for milkfish	June 2006
Deliver national training on milkfish	August 2006
<i>Fumba</i>	
Expand number of villages involved in bivalve culture in Fumba from one to four.	September 2006
Open kiosk at Fumba in Menai Bay to business	November 2005
Redesign bivalve farms in Fumba including pilot half-pearl farming (TDY of M. Haws)	December 2005
Develop zoning plan for bivalve harvesting area in one village (Fumba) within Menai Bay	August 2006
<i>Bagamoyo</i>	
Initiate seaweed farming in Changwahela village, Bagamoyo	January 2006
Develop zoning plan for seaweed and fisheries in Mlingotini	July 2006
<i>Mkuranga</i>	
Provide extension support for tilapia farmers in Mkuranga on sexing methods	December 2005
Install windmills at tilapia farm	February 2006
Expand milkfish pond pilots to one additional site in Mkuranga	March 2006

Tasks, Milestones and Schedule

Tasks and Milestones	Dates
Engage in collaborative agreements with institutions and groups – institutional matrix	September 2005
Deliver extension support services to for development of alternative livelihoods and natural resources management	Continuous
Develop and distribute extension materials (includes collaboration with EcoCostas manuals)	September 2005-May 2006
Publish governance profile	October 2005
Coordinate with Peace Corps and volunteers	Continuous (integration into activities)
Strategies for cockle co-management and improvement of revenues	
Complete identification of cockle marketing channels, strategies and value-added methods	November 30, 2005
Implement activities related to cockles to increase revenues	Initiated December 2005, continuing through September 2006
Implement initial co-management strategies for cockles	January 15, 2006-September 2006
Publish and distribute to Mexico, Ecuador and USAID the findings from cockles efforts	February 2006-June 2006
Develop alternatives related to cockles and other bivalves	
Build capacity for bivalve culture	September 2005-January 2006
Continue technical assistance from SUCCESS to cockle/bivalve research efforts and linkages with other international efforts	Continuous through January 2006
Continue to conduct applied research and work with communities to select bivalve species and culture systems	Continuous through January 2006
Continue monthly water quality monitoring with Bayona community members to select bivalve culture sites	Continuous through January 2006
Distribute findings	Continuous through January 2006
Establish and operate bivalve culture pilot	February 2006-June 2006
Select and implement alternative livelihoods	
Conduct capacity building workshops to support implementation	December 2005-January 2006
Conduct feasibility studies	January 2006
Conduct workshops to assist communities to select alternatives and develop business plans	January 2006
Establish pilot projects	March 2006
Document experiences and distribute to partners/USAID	March -August 2006
Evaluate feasibility of culturing tilapia in shrimp ponds	
Conduct feasibility study and resource assessment	August 2005

Tasks and Milestones	Dates
Design and implement pilot	September 2005
Conduct training in tilapia culture (9 courses)	September 2005 - October 2006
Establish other tilapia culture projects	January 2006-September 2006
Support FINCAMAR efforts for sustainable aquaculture and other coastal crops	
Continue extension to support Best Management Practice efforts by FINCAMAR	Continuous
Collect information relevant to institutional arrangements and economics of FINCAMAR	July 2006
Train and assist FINCAMAR members in feasibility analysis for eco-tourism and other proposed activities	January 2006
Select specific themes for SUCCESS support to FINCAMAR efforts	March 2006
Provide technical support for implementation	October 2005-August 2006
Distribute findings and post to website	August 2006
Conduct carrying capacity study for Estero Real	Continuous through 2006

Governance baselines were completed for the communities. Emilio Ochoa, Director of EcoCostas, was one of the originators of the baselining methods and has been training his staff as well as community members in the methods. The baseline report for the site is expected to be completed in the first quarter of Year 2. A Project Monitoring Plan was developed which includes the Cojimies site. Lastly, annual and Life-of-Program targets were set for each Program indicator for the site.

Year 2 Task Description

An 18-month operational plan was prepared and approved in June of 2005 that will guide Year 2 activities. Already, on-the-ground experience is resulting in an evolution of strategy and modifications to initial plans. The following description provides a summary of the key lessons and the primary activities for Year 2.

The main goal in the Ecuador program field site is livelihood development through introduction and expansion of alternative livelihoods in coastal communities. A secondary goal is natural resources management initiatives designed to preserve key habitats and biodiversity, but also to put traditional livelihoods such as fishing on a more sustainable basis. The strategy to achieve this is to deliver an integrated package of extension services. This includes the provision of technical and business support services to community groups engaged in developing small businesses or productive activities and includes production technology, post harvest handling, business development and operations, micro-financing, and training on entrepreneurship and marketing assistance. Individual, local and municipal-level capacity building in natural resources management will also be carried out through the extension delivery system.

The program will coordinate closely with the USAID Mission in Quito and will link to specific Strategic Objectives, as previously mentioned. The Program Director will keep the Mission apprised of Program activities through regular communications. The USAID mission is regularly briefed and consulted concerning SUCCESS site based activities and is supportive. The USAID mission is informed of all of international travel conducted by program staff and consultants, and staff has briefed the mission on program activities. The Mission will also be furnished with copies of semiannual and annual program reports and workplans.

Year 2 Task Objectives

The following are objectives planned for Year 2. Most represent a continuation of Year 1 work, with the exception of the development of eco-tourism options for the islands of the estuary. Among them is Jupiter Island, an attractive barrier island near the estuary coast and has been identified as a likely site for small-scale eco-tourism. A highway project has opened up the area, removing one of the last obstacles to developing this form of tourism. Work with shrimp farmers to begin developing Best Management Practices has taken on new emphasis during the Year 1 assessment given the impacts purported to be caused by the industry, conflicts with the community, and production difficulties which affect the laborers hired from the community. Additionally, more emphasis is being put on developing stronger linkages with Peace Corps. Conducting basic monitoring of water quality has also emerged as an important need due to the total lack of information for Cojimies that affects decision-making for mariculture and natural resources management.

- Complete a governance profile including both a hindcast and a definition of future goals and strategies for the district.
- Digitize information and create maps for management use with the community.
- Finalize collaborative agreements with PMRC, ESPOL, CENAIM, community women's associations and other organizations.
- Deliver extension services to support alternative livelihoods and natural resources management.
- Continue work with the Peace Corps to place volunteers in the Cojimies communities and integrate them into Program initiatives.
- Complete cost-benefit analysis and feasibility studies for alternative livelihoods (fish culture, honey production and family gardens); publish and distribute.
- Prepare business plans with stakeholders for the various livelihood alternatives.
- Conduct alternative livelihood workshops (fish, honey, and gardens).
- Identify options for eco-tourism for the Cojimies estuary.
- Print three extension manuals for alternative livelihoods (for fish culture, honey, family gardens).
- Conduct a workshop for the local extension group members.
- Conduct basic water quality monitoring to establish a baseline for mariculture and management purposes.
- Conduct assessment of bivalve stocks and document trends (e.g. recovery or continued decline).
- Conduct a visit to the zone for a multidisciplinary group of experts.
- Conduct end of year planning and evaluation meeting.
- Begin development of an integrated coastal management network for the coast of Ecuador.

Tasks, Milestones and Schedule

Tasks and Milestones	Date
Complete governance profile	November 2005
Print three extension manuals (fish culture, honey, family gardens).	December 2005
Identify options for eco-tourism for the estuary	Nov.- June 2006
Complete cost-benefit analysis and feasibility studies for alternative livelihoods (fish culture, honey production and family gardens); publish and distribute.	March 2006
Conduct three local training workshops (fish, honey, gardens)	December 2005 - March 2006
Conduct assessment of bivalve stocks and document trends (e.g. recuperation or continued decline)	April 2006
Livelihood diversification pilot projects	Beginning in December 2005 (continuous)
Prepare business plans with stakeholders for the various livelihood alternatives	December 2005 (for initial set of projects, continuous assistance to new participants)
Group of experts visit the zone	January 2006
Place Peace Corps Volunteers in the Cojimies communities	April 2006 (placed)

	Continuous (integration into activities)
Conduct a training workshop for the group of promoters	April 2006
Conduct end of year planning and evaluation meeting	July 2006
Deliver extension support services to support alternative livelihoods and natural resources management	Continuous
Conduct basic water quality monitoring to establish a baseline	Continuous
Secure collaborative agreements with institutions and groups	Continuous
Create GIS maps	Continuous
Begin development of an ICM network for the coast of Ecuador	July 2006

A minimum of four extension manuals/guides will be published in Year 2. Three of these (noted above) were drafted but not completed in Year 1. These will be produced in Spanish with a focus on but not limited to the SUCCESS Ecuador sites. The topics of these are honey production, the culture of Chame (a local fish), and family gardens. In Tanzania an extension manual will be produced on milkfish culture and possibly one on half pearl oysters as well. Discussion is also underway on the potential of contributing to the finalization and publication of a “toolbox” of training materials on product marketing – materials suitable for both the SUCCESS Latin America and East Africa sites. All manuals/guides and other training materials will adhere to USAID branding requirements effective January 2006. In addition to the more concise, technically specific “how to” extension manuals/guides, the SUCCESS Program will *contribute to* the production of a more lengthy and in-depth series that couches technical issues within the broader context of the principles and values that underlie coastal ecosystem governance. Again, these may complement but will not substitute for the “how to” practitioners manuals. For example, in Year 2, one of the SUCCESS-funded bulletins will be on governance baselining and/or an abbreviated version of the Fresh Water to Estuaries guide which is being funded under another USAID project.

These bulletins, as well as key training materials, will be incorporated into the SUCCESS knowledge management system as appropriate. Selected Spanish language materials will be translated into English and vice versa.

Based on research and an interest and feasibility study conducted in Year 1, SUCCESS will move forward with developing an ICM certification program. The first step will be to assemble a working group. The group’s charge will be to collect additional stakeholder input; design a model/framework for the overall program (adapted from the certified financial planner model); draft the program’s curriculum; identify interested in-country partners to sponsor/support the program and deliver selected courses; recruit potential candidates for the program; solicit additional “planning grant” funds; and develop an implementation strategy and action plan. The goal is to have a class “enrolled” by the end of Year 3.

Year 2 Task Objectives

By the end of Year 2, in-country extension capabilities will be in place and operative on key ICM topics – with a focus on livelihoods, mariculture, and governance baselining within the larger ICM context – particularly at the SUCCESS field sites, as evidenced by:

- Delivery of at least two courses in each region targeted at participants from Program sites (although in some cases open to others from the region)
- Drafting of the framework for an ICM certification program including a strategy and plan of action developed to ensure the first “class” of individuals can begin the program in Year 3
- Identification of additional training partners from within the SUCCESS regions and within the cadre of SUCCESS Program strategic partners (TNC, CI, WWF, and Sea Grant Network)
- Production of at least four extension bulletins/manuals with uploading to the KM system
- Uploading of key, relevant training materials to the KM system

Tasks, Milestones and Schedule

Tasks and Milestones	Date
Identify Latin America (LA) co-trainers and with CRC/UHH/Strategic Partners design curriculum for first Year 2 LA course	December 2005
Identify East Africa (EA) co-trainers and with CRC/UHH/Strategic Partners design curriculum for first Year 2 EA course	December 2005
Present to full SUCCESS team research findings and recommendations for and feasibility of ICM certification program	October 2005
Agree to advance with or dismiss pursuit of ICM certification program	October 2005
Deliver three short courses in Nicaragua	October – December 2005
Deliver three Ecuador courses on livelihoods	December 2005 - March 2006
Deliver first EA course	March 2006
Incorporate training materials from LA and EA courses into knowledge management (KM) system	March 2006
Produce and disseminate three extension bulletins/manuals	March 2006
Develop marketing, recruitment strategy and design and implementation plan for ICM certification program	March 2006
Begin implementing the above strategy/plan	March 2006
Identify LA co-trainers and with CRC/UHH/Strategic Partners design curriculum for second Year 2 LA course	March 2006
Identify East Africa EA co-trainers and with CRC/UHH/Strategic Partners design curriculum for second Year 2 EA course	March 2006
Deliver training workshop for local promoters	April 2006
Deliver three additional short courses in Nicaragua	April – June 2006
Produce and disseminate two additional manuals/bulletins	June 2006
Deliver the second Ecuador course	June 2006
Deliver three additional short courses in Nicaragua	July–September 2006
Design and produce one to two extension bulletins/manuals	September 2006
Incorporate training materials from LA and EA second courses and from extension bulletins into KM system	September 2006

Year 2 Task Description

The Avina Foundation, as mentioned above, is funding most of the CRC-EcoCostas network activities. The SUCCESS Program, however, is providing a small contribution to the development of the web-based knowledge management system. The goal for the pilot system developed for Latin America, is that it will then serve as the foundation of a web-based regional knowledge management system for East Africa as well.

The SUCCESS contribution to the development of the Latin America KMS will focus on collecting data and information from the SUCCESS field sites in Ecuador, Nicaragua and Tanzania, and entering this information into the KMS. Data flow models employed in the ECCNet pilot sites will be used and staff from EcoCostas will be involved again in the entry of information to the KMS. Some training of program staff at the Nicaraguan site may take place so as to familiarize them with the operation and goals of the KMS. These staff are also members of the larger EcoCostas-CRC Network.

Year 2 Task Objectives

- Engineer remote access security protocols so ECCNet members can access and manipulate data and information within the KMS. (AVINA).
- Expand data and information collection to include not only a few pilot sites but on a large number of mature coastal management projects in the region. This will expand participation in the regional network beyond the core team at CRC and EcoCostas. (AVINA).
- Test, refine, and expand the system to incorporate the project-based and adaptive management elements of the system. (AVINA).
- Develop the web architecture that can make available to the network materials on one of the thematic topics that the network will emphasize and that are the topics of the SUCCESS training modules (likely candidates are mariculture and/or freshwater to estuaries). (SUCCESS).

Tasks, Milestones and Schedule

Tasks and Milestones	Date
Web architecture for thematic topics completed	March 2006
One thematic topic inputted into the website	June 2006

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

Scale of the Intervention: The Western Indian Ocean region

Lead Implementing Organization: WIOMSA

Other Partner Organizations: Potentially, the UNEP Nairobi office through the WIO-LaB program.

Activity Coordinators: Julius Francis and Bob Bowen

Accomplishments to Date

Background: CRC's history of involvement in this region, and its partnership with WIOMSA, provide a strong foundation for the development of a regional KMS. On-the-ground activities at

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

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

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

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

The Program Director and at least one of the Deputy Directors attend semi-annual IMCAFS meetings and the annual IMCAFS partner meeting. The Program Director keeps missions where the Program is active apprised of Program activities through regular communications. This includes informing the USAID Missions of international travel conducted by Program staff and consultants, and making staff available to brief Missions on Program status and opportunities. Missions are also furnished copies of semiannual and annual Program reports.

Table 4: Roles and Responsibilities of Key Positions

<p>Program Director</p> <ul style="list-style-type: none"> ● Responsible for program execution and management ● Principal liaison to USAID/EGAT CTO and missions; responsible for reporting to USAID ● With the USAID CTO, convenes the advisory committee meetings ● Reports to the CRC Director on program activities ● Supervises deputy directors, M&E specialist, selected in-country technical staff ● Represents the Program with missions and leads negotiations for Associate Awards ● Provides technical oversight for on-the-ground program results ● Supervises activity coordinators
<p>Deputy Director (ICM, Mariculture and Extension)</p> <ul style="list-style-type: none"> ● Assists the director in program execution with emphasis on mariculture/fisheries elements ● Collaborates in the creation of USAID reports, field program designs and workplans ● Provides technical oversight for Program Results Categories– On-the-ground results in fisheries and aquaculture, and science for management ● Principle liaison with Partners in Nicaragua and Ecuador ● Supervises selected technical staff and consultants ● Oversees performance on selected sub-agreements ● Serves as key technical trainer and member of cross-portfolio learning initiatives
<p>Deputy Director (Capacity Building, Communications & Administration)</p> <ul style="list-style-type: none"> ● Technical oversight for Program results on increased capacity ● Serves as key designer for all capacity-building efforts ● Supervises the administration & finance manager, & training specialists ● Collaborates in preparing USAID reports ● Provides technical guidance on publications and other print communications ● Oversees performance on sub-agreements/contracts for training or communications ● Serves as team member of the cross-portfolio learning initiatives ● Assists director in program administration
<p>Monitoring and Evaluation Specialist</p> <ul style="list-style-type: none"> ● Responsible for the design and execution of performance monitoring plan ● Assists field and Program leadership in the design of results frameworks for each Associate Award and the overall program ● Conducts training/mentoring on adaptive management & learning in and across projects ● Technical oversight for Program Results concerning learning networks ● Leads the design of a learning agenda for the program
<p>Note: Stephen Olsen, as CRC Director, oversees this leadership team.</p>

Workplans are developed in close consultation with all Program-implementing partners as well as with the USAID CTO. Draft workplans are shared by the Program CTO with the relevant missions for comment on the respective on-the-ground results program elements with the aim of seeking their concurrence with these activities. The workplan development process starts in the July – August period with the aim of a final workplan submitted to the USAID CTO by September 30th each year. Semi-annual reports are submitted in July and the Annual reports in January.

Figure 7 provides a summary of the travel budget for all international travel and US based travel. Travel is broken down by program element and by which respective implementing partner initiates the travel under their sub-agreement. Figure 8 identifies the traveler, tentative travel dates, destination and purpose of travel by program element.

Figure 7: International and US Based Travel Budget

Program Element	CRC	UHH	UCA	ECC	WIOMSA
On-the-Ground Results	27,193	14,084			
Regional Training	10,845	10,764	1,200		
Regional Networking and KM	4,237				
Global Leadership	6,850				
Volunteers	11,355				
Monitoring and Evaluation	9,356	7,626	5,670	4,592	6,180
Total	69,836	32,474	6,870	4,592	6,180

Figure 8: Tentative International and US Travel Schedule¹

Month	On-the-Ground Results	Regional Training	Regional Networks/KM	Global Leadership	Volunteers	M&E, Reporting
Oct 05						Mmochi, Soborio, Ochoa-Reg partners/ Haws-UHH (Rhode Island)
Nov 05						
Dec 05		Requintina, Fong-CRC/ Haws-UHH (Tanzania)			Torres-CRC (Ecuador)	Crawford, Torell-CRC (IMCAFS DC)
Jan 06				Olsen, Crawford-CRC (Ocean & Coasts, France)		
Feb 06	Crawford-CRC/ Haws-UHH (Ecuador/ Nicaragua)		Bowen-CRC (Tanzania)			
March 06	Crawford-CRC/ Haws-UHH (Tanzania)					Crawford-CRC/ Haws-UHH (USAID Brownbag DC)
April 06	Requintina-CRC (Tanzania)	Fong and Corderio-UHH (Nicaragua)				Luga or Derek-UCA (Nicaragua)
May 06	Torell-CRC (Tanzania)	Squillante-CRC (Tanzania)/ 2 travelers-UCA (Ecuador)				
June 06	Olsen-CRC (Tanzania)				Volunteer-CRC (Nicaragua)	Torell-CRC/ 2 Travelers-UCA (Ecuador); Tobey-CRC (Nicaragua)
July 06	Haws-UHH (Ecuador/Nicaragua)				Volunteer-CRC (Tanzania)	Crawford-CRC/ Haws-UHH (IMCAFS Miami)
August 06						Mmochi, Soborio, Ochoa-Reg partners/ Haws-UHH (Rhode Island)
Sept 06						

¹ Dates, traveler and purpose are estimates based on the work plan activities. All travel assumes a multi-purpose agenda with an emphasis of each trip on one of the program elements. Traveler name and primary trip purpose may change based on work plan schedule and progress.

Figure 9 lists leveraged funds that have contributed to the overall program objectives in Year 1 and additional leveraged funds we expect to obtain in Year 2. No targets are set for leveraged funds but the estimated amounts are tracked and reported.

Figure 9: Leveraged Funds

Year One			
Funding source	Recipient	Description	Estimated Contribution
USAID/Ecuador	EcoCostas	Galapagos workshop and assessments/mapping for Cojimies, Ecuador	30,000
CosTech, Tanzania	Tilapia farmers, Mkuranga	Windmill for water pumping from CosTech for Tilapia ponds in Tanzania	500
Private citizens from South Africa	Fumba Village	For work on bivalve farm and kiosk construction	100
WWF	SUCCESS Leader -Regional Training	Travel for 3 participants/staff from WWF Mafia Marine Park project	540
USAID SEEGAAD Project ADCI/VOCA	SUCCESS Leader -Regional Training	2 training resource persons for 2 person days and local travel of 1 participant	260
Aquaculture CRSP Project (USAID), Oregon State University	SUCCESS Leader	Travel costs for Tanzanian training participant from Univ. of Arkansas (Post Doctoral)	2,000
Kwetu Training Centre, Kenya	SUCCESS Leader	Regional training participant from Kenya	500
University of Rhode Island	SUCCESS Leader -Regional Training and on-the-ground results	Expertise for training on bivalve culture and on-the-ground results -URI Associate Professor Michael Rice	6,318
Private citizen	SUCCESS Leader -Regional Training and On-the-ground results	Expertise on milkfish farming for training and on-the-ground results- Edwin Requentina	6,318
Year One total			\$ 46,536

Figure 9: Leveraged Funds (continued)

Year Two (projected)			
Funding source	Recipient	Description	Estimated Contribution
AVINA	EcoCostas-CRC Learning network	Latin America SUCCESS countries Regional Networking	180,000
AVINA	EcoCostas Director	Regional Networking and On-the-ground Results	24,500
AVINA	SUCCESS Regional Training	Ecuador Regional training course in Cojimies bringing participants from Ecuador and Nicaragua together	25,000
NOAA	Coastal Resources Center	International Sea Grant Latin American Network Development	30,000
Peace Corp Volunteers	EcoCostas	3 Peace Corp Volunteers assigned to Cojimies, Ecuador	20,000
Government of Sweden	Regional Networking	Deliver short course highlighting Tanzania livelihoods and gender -- cross cutting themes	1,940
Year Two total			\$ 279,500

Annex A: Performance Monitoring Plan

Forwarded to the USAID SUCCESS Program CTO under separate cover.



Sustainable Coastal Communities and Ecosystems Program (SUCCESS)
A component of the Integrated Management of the Coastal and Freshwater Systems Program (IMCAFS)