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# Measuring Success of Marine Conservation in the Asia Pacific Region:

## *Coral Triangle and Micronesia Challenge*

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**Cover Photo:** Local fisherman in Wakatobi National Park, Indonesia, where community managed marine areas provide effective protection for the primary sources of food and livelihoods for local people. © Bridget Besaw.

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# Foreword

For a good part of the many years I spent in the investment world I railed against what I saw as the hugely distorting influence of quarterly earnings. The impact of stock analyst's short term expectations, it seemed to me, made it very difficult to manage for the long term.

And so it was with no small measure of irony that, after joining The Nature Conservancy, I was desperate to find a conservation proxy for quarterly earnings. The reason is simple. Conservation impact happens over years, often decades. So conservationists are always focused on the long term. The challenge for us is to know whether or not we are hitting critical short term milestones on the way to our long term goals. Only then can strategies be adaptively managed.

The Strategy Effectiveness Measures tool, provided by the Conservation Methods & Learning Team of the Conservancy's Central Science Division, to which I was introduced in April of this year, gave me the management tool I have long been searching for.

It is a disciplined and logical process to create a "results chain" for each strategy that requires that you identify and articulate precisely what critical strategic action has to be completed successfully for the next step in the chain to be possible. When monitoring implementation progress you are forced at every critical milestone to make a go/no go decision; or to make a convincing case for why that milestone will be hit in a reasonable timeframe. Or you have to adapt your strategy. And, as every conservation outcome requires multiple strategies, this tool allows you to combine all your strategies into a time bound matrix that allows a review of the entire process at regular short term intervals.

The Asia Pacific Conservation Region's Marine Team has done a phenomenal job using this tool to pull together all of the critical elements of the 5-year marine strategies across the region; setting monitoring actions, responsibilities and decision makers at every critical juncture; and combining them into a consolidated calendar that allows management to know exactly where progress is on track and where it needs attention. And they did this all in just a few months. It took a magnificent effort by many experts in many fields throughout the program to achieve this stunning result. There is no question in my mind that, applied with rigor and discipline, this tool will dramatically enhance the conservation impact we achieve in the Asia Pacific Marine Program and will vastly increase our return on philanthropic investment. It is an effort of which I am extremely proud.

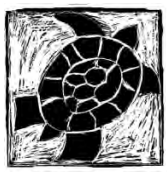
Russell Leiman, Managing Director, Asia Pacific Conservation Region.

# ACKNOWLEDGEMENTS

Defining our strategy and measures of success for the entire Asia Pacific Conservation Region Marine Program was a large and complex task. Over fifty people contributed to this process, either as members of the planning/facilitation team, measures coaches, strategy leads or as team members (see *Appendix 1. Key Contributors & Their Role*).

We are particularly grateful to the following people who made major contributions to the process:

1) The rest of the planning team (facilitators and measures coaches) who played a critical role in developing and leading the team through the process, particularly Mauricio Castro Schmitz and Kirsten Evans from the Conservancy's Conservation Methods & Learning Team; and Audrey Newman, Steven Victor, Nina Hadley, Matt Durnin and Natalie Holland from our region.
2) The strategy leads who played a key role in developing their strategy and measures of success: Rod Salm for Ecosystem-Based Adaptation; Alan White for Marine Protected Areas; Andrew Smith for Fisheries Management; Egide Cantin, Gerald Miles and James Hardcastle for External Affairs; Jeanine Almany and Tri Soekirman for Communications; and Olivia Millard for Capacity Building.
3) Our colleagues in the Conservancy's Central Science Division for providing excellent tools, training and technical support for this process, particularly Mauricio Castro Schmitz, Dan Salzer, Kirsten Evans and Craig Groves.
4) Our colleagues from the Global Marine Team (Imem Meliane and Susan Ruffo) and the Operational Units who played a key role as members of the strategy teams.
5) Jerry Martin and Melinda Potter for assistance in formatting *Miradi* and this document.
6) Russell Leiman for his leadership and strong commitment to this process.



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# EXECUTIVE SUMMARY

## Marine Conservation in the Asia Pacific Region

Over the last 20 years, The Nature Conservancy's Asia Pacific Conservation Region's (APCR) Marine Program has grown and evolved significantly. This year, we've embarked on a new direction and approach, which will decrease our focus on sites and increase our focus on building the enabling environment for conservation. This new direction and approach will enable us to take advantage of two exceptional government-led opportunities to leverage conservation at a regional scale: the Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security and the Micronesia Challenge.

## Measuring Success

Over the last six months, we've completed a detailed process to develop Strategy Effectiveness Measures for our program. The first step required us to clearly define our goals and strategy for the next five years.

With our strategy clearly defined, we developed methods to track our progress (a Calendar of Key Events), and to measure our success (including 45 objectives and 90 indicators for 29 critical steps in our strategy). We also developed a monitoring plan for each indicator that describes the methods we will use (and when), who will do the monitoring, how they will analyze and report results, and how the results will be used (and by whom) for adaptive management.

This represents a "first" for our organization in a number of ways. It is the first time that Strategy Effectiveness Measures have been developed in such a comprehensive manner at a regional scale, and the first time they've been developed for an External Affairs and a Communications Strategy. We've also completed the first comprehensive *Miradi* record for a regional program, which is available on *ConPro*.

This was a serious undertaking, requiring a major time commitment from more than 50 staff over a period of six months. However, we now have a strong foundation for managing our program over the next five years. We also have, for the first time, an integrated regional marine team that share a clarity of purpose, a means for achieving it, and a means to measure success.

This process also allowed us to represent, for the first time, a major change in our Program. From our previous focus on biodiversity as the primary conservation target, we've taken the first steps in evolving towards a more holistic approach that will ensure benefits to biodiversity, ecosystem services and people.

## Program Goals and Strategy

Our goals are specifically designed to ensure the success of the two government-led initiatives:

- *By 2015, we will mobilize political, policy and public funding commitments to support a significant increase in financial and institutional capacity for conservation priorities in the six countries of the Coral Triangle. These actions will, in turn, support transformative, science-based conservation actions that are relevant to development needs, combat the causes of biodiversity loss, and catalyze conservation at scale for the benefit of people and nature.*
- *By 2015,Micronesian partners will have the full suite of tools and capacity to effectively conserve 15% of their near-shore marine and 10% of their terrestrial resources to enhance their resilience to a changing world.*

Our strategy is designed to achieve our goals so it is integrated across two regional priority projects (the Coral Triangle and Micronesia Challenge), which span 11 countries/jurisdictions and four Operational Units (Micronesia, Indonesia, Papua New Guinea and the Solomon Islands). It also includes six sub-strategies:

- Three to implement conservation action on the ground: Marine Protected Areas, Fisheries Management, and Ecosystem-Based Adaptation; and
- Three to provide an enabling environment for conservation: External Affairs (Policy, Sustainable Finance and Public Funding), Communications, and Capacity Building.

All six sub-strategies will contribute towards an end result where Marine Protected Areas, Fisheries Management and Ecosystem Based Adaptation are implemented by people and governments throughout the Coral Triangle and Micronesia.

Our three conservation sub-strategies will ensure that:

- Resilient networks of Marine Protected Areas are implemented at regional, national and sub-national levels;
- An Ecosystem Approach to Fisheries is successfully applied to the management of at least six coastal fisheries; and
- Ecosystem-Based Adaptation is integrated into development and adaptation funding strategies for climate change; and communities and governments will have a better understanding of climate change impacts and how EBA can help them adapt.

Our three enabling sub-strategies will ensure that:

- Conservation activity is integrated into, and funded through, national development plans;
- There are changes in knowledge, attitudes and behaviors in key audiences, compelling them to act; and
- Conservation implementation capacity is increased.

This will lead to the abatement of threats related to coastal development, fisheries and climate change, and ensure benefits to biodiversity, ecosystem services, and the people who rely on them.

## Next Steps

This document, and the accompanying *Miradi* file, provides an excellent framework for managing the APCR Marine Program over the next five years. In the next few months, these products will be integrated into annual work plans for all our staff, aligning annual performance objectives with our strategy.

With these pieces in place, we can now significantly enhance our effectiveness and impact across the region. As we embark upon our third decade of marine conservation in the APCR, we are on course to achieve tangible, quantifiable and lasting results at a regional scale.

In this document, we describe our methods and results. We also share lessons learned for those who may be interested in taking a similar approach.

# 1 INTRODUCTION

## 1.1 MARINE CONSERVATION IN THE ASIA PACIFIC REGION

Twenty years ago in the Republic of Palau, The Nature Conservancy engaged at our first site in the Asia Pacific Conservation Region (APCR). Since then, our marine program and approach has grown and evolved significantly. Throughout our first decade of operations, we focused on demonstrating conservation success at sites, believing that we had a lot to learn about doing biodiversity conservation in this part of the world. Over our second decade, we learned from our site-based work and began to leverage those lessons through building capacity and partnerships. With partners, we have achieved local success at a number of sites throughout the region – places like Palau's Rock Islands, Komodo, Kimbe Bay, and the Arnavon Islands – sites that now stand as models for marine conservation in the region and around the world.

Today the APCR sits at a crossroads of rapidly expanding populations, economic growth and international trade. Fish and other marine resources are a principal source of income, food, livelihoods and export revenues, generating increased pressures on marine and coastal resources. Threats to these resources include destructive and unsustainable fishing, coastal habitat conversion, and land-based pollution. In addition, the effects of climate change—warming waters, rising sea levels, and ocean acidification—further compromise the ability of these ecosystems to provide critical ecosystem services to the region's human population. Consequently, it has become increasingly apparent that we need to modify our program to address the scale of ecosystem degradation and overexploitation in the region.

Over the last year, the Conservancy has embarked on a process of rethinking how to keep pace with these changes, and take advantage of the positive enabling conditions existing in the region. Just as our first site based work spawned a growing conservation movement in the countries where we work, we recognized the need to develop new ideas and approaches to add value and succeed in a region where threats are growing rapidly and competition for human and financial resources is high.

Fortuitously, growing regional concerns about coral reef mortality, fisheries sustainability, food security and climate change, have spurred political processes that for the first time offer the opportunity to fundamentally change the way in which the region's coastal and marine environment is managed and sustained.

In 2006, five Micronesian governments launched the Micronesia Challenge, which represented the world's first regional political commitment to strike a critical balance between the need to use natural resources today and the need to sustain those resources for future generations (http://micronesiachallenge.org/).

Inspired by the Micronesia Challenge, the Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security was launched in 2009 (http://www.cti-secretariat.net/). Each of the six governments in the Coral Triangle have now made unprecedented conservation commitments, including the creation by Indonesia of an 8.5 million acre Marine Protected Area in the Savu Sea — the largest in the Coral Triangle!

To take advantage of these two exceptional opportunities to leverage conservation at a scale commensurate with threats in the region, the APCR's Marine Program has reorganized around two regional priority projects: the Coral Triangle and Micronesia Challenge (CT and MC: Figure 1). At the same time, we've committed to a new direction and approach that will, over the next five years, decrease our focus on sites and increase our focus on building the enabling environment for conservation, connecting policy and practice on the ground, and leveraging conservation action beyond our sites.

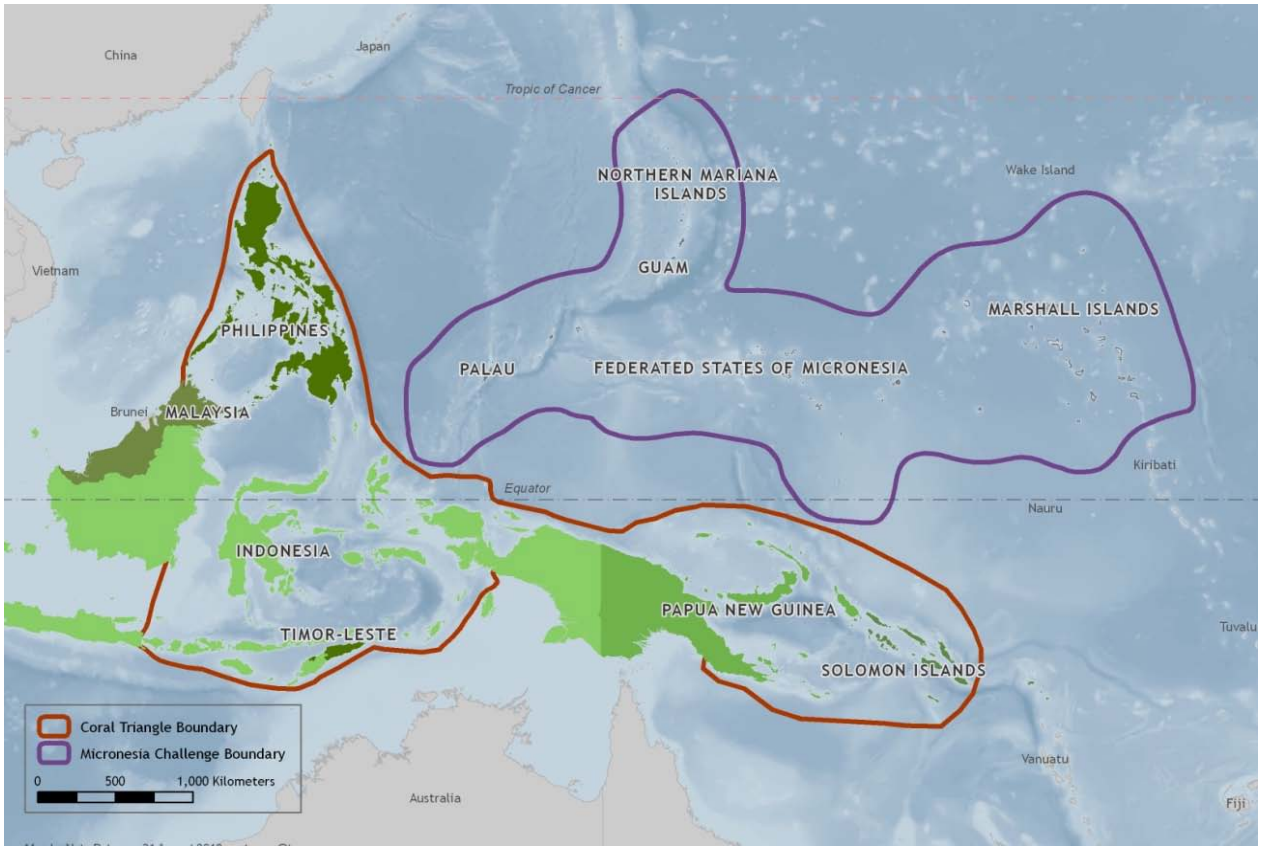


**Figure 1**. Geographic location of our two regional marine priority projects: Coral Triangle and Micronesia Challenge.

## 1.2 MEASURING SUCCESS

The Nature Conservancy's approach to conservation, commonly called Conservation by Design, provides a strategic and systematic process that incorporates four basic components: setting goals and priorities, developing strategies, taking action, and measuring results (TNC 2006). Previously, we've focused primarily on the first three parts: setting conservation priorities through ecoregional assessments, developing strategies through Conservation Action Planning (CAP: TNC 2007), and taking conservation action (TNC 2008).

Recently, our focus has shifted to measuring the results of our conservation efforts, particularly regarding the effectiveness of our strategies and actions (TNC 2008). If properly designed, these measures can help us improve our conservation practices, and inform decision-making at all levels of management (TNC 2008).

Over the past six months, we've gone through a detailed process to define Strategy Effectiveness Measures (SEMs) [1] for the APCR Marine Program. Since this process required that we clearly define our goals and objectives, it also provided a mechanism for implementing our new direction and approach.

In this report, we describe our methods and results, and share lessons learned for others who may be interested in taking a similar approach.

[1] SEMs focus on questions related to how well our strategies and actions are achieving their desired impacts (TNC 2008).

# 2 METHODS & RESULTS

Our methods were based on those provided by The Nature Conservancy's Conservation Methods and Learning Team for developing Strategy Effectiveness Measures (http://conserveonline.org/workspaces/cbdgateway/documents/strategy-effectiveness-measures).

However, since this had not been attempted at a regional scale in such a comprehensive manner before, we modified the process to suit our needs. One important modification was to develop our strategy from the bottom up, by defining six sub-strategies and then combining them into one overarching strategy.

Once our team had been trained in SEM methods, the process took approximately six months to complete. This included a period of approximately two months (April to May 2010) where we carefully planned our approach with advice from senior managers, measures coaches, and the Conservation Methods and Learning Team. Implementing the process took four months (June to September 2010) to complete.

Most of the preliminary work defining our sub-strategies (see *2.2 Strategy* below) was completed remotely, by teams working together over email or on Webex[2] from June to July 2010. Once that had been completed, we held a workshop in Port Douglas, Australia (August 14 to 20th, 2010) where we:

- Refined our goals;
- Refined our sub-strategies to achieve our goals, and identified linkages among them;
- Combined the sub-strategies to produce an overarching strategy for the APCR Marine Program; and
- Developed SEMs for our strategy, a monitoring plan for the SEMs, and a Calendar of Key Events to track our progress.

Once the workshop had been completed, it took another month (September 2010) for the team to complete these tasks, and compile this report. A more detailed description of each step in the process, and our results, is provided below.

## 2.1 GOALS

Our goals were developed by clearly defining the goals of our two regional priority projects: the Coral Triangle and Micronesia Challenge. For each project, we used the goals of the government-led initiatives (the Coral Triangle Initiative and the Micronesia Challenge: see *Introduction*), and refined our goals to better support those initiatives.

### *2.1.1 Coral Triangle*

The goals of the Coral Triangle Initiative, based on their Regional Plan of Action (http://www.cti-secretariat.net/about-cti/plan-of-actions), are that the six countries in the Coral Triangle (CT6[3]: Figure 1) will promote agreed upon approaches to managing marine and coastal ecosystems and resources to ensure:

- Large-scale geographies are prioritized for investments and action, where best practices are demonstrated and expanded;
- An ecosystem approach to management of fisheries and other marine resources is fully applied;
- Marine protected areas are established and effectively implemented;
- Climate change adaptation measures are achieved; and
- The status of threatened species is improving.

[2]Online meeting facilities.
[3]Indonesia, Papua New Guinea, Solomon Islands, Philippines, Timor Leste and Malaysia.

In support of the Coral Triangle Initiative, The Nature Conservancy's Coral Triangle Program goal is:

- *By 2015, we will mobilize political, policy and public funding commitments to support a significant increase in financial and institutional capacity for conservation priorities in the six countries of the Coral Triangle. These actions will, in turn, support transformative, science-based conservation actions that are relevant to development needs, combat the causes of biodiversity loss, and catalyze conservation at scale for the benefit of people and nature.*

### *2.1.2 Micronesia Challenge*

The goal of the Micronesia Challenge is: To effectively conserve at least 30% of the near-shore marine resources and 20% of the terrestrial resources across Micronesia by 2020 (http://micronesiachallenge.org/).

In support of this effort, The Nature Conservancy's Micronesia Challenge Program goal is:

- *By 2015, Micronesian partners have the full suite of tools and capacity to effectively conserve 15% of their near-shore marine and 10% of their terrestrial resources to enhance their resilience to a changing world.*

## *2.2* STRATEGY

Our strategy was developed via a four step process:

Step 1: Six sub-strategies were defined:

- Three to implement conservation action on the ground: Marine Protected Areas (MPAs), Fisheries Management, and Ecosystem-Based Adaptation (EBA); and.
- Three to provide an enabling environment for conservation: External Affairs (Policy & Public Funding), Sustainable Finance, and Communications.

We did not require the Capacity Building team to define their sub-strategy at this time, since they needed to formulate their strategy based on the requirements of the other sub-strategies.

Each sub-strategy was defined by a team that comprised a team leader and representatives from the APCR, the four Operational Units[4] and in some cases the Global Marine Team (see *Appendix 1*). A measures coach[5] was also assigned to each team to help guide them through the process.

Each sub-strategy team was asked to define their strategy for supporting the two regional priority projects based on:

- A 5 year timeline (to 2015); and
- A flat-line budget through FY12, followed by growth based on income only in the following years.

They were also provided with a standard report format that required them to briefly describe (in 10 pages or less):

- Their conceptual model[6] (CMP 2007);
- The most important steps in their strategy, presented in a results chain[7] (FOS 2007) and a narrative;
- Key outputs/outcomes and timelines, and
- A summary of key linkages to other sub-strategies and Operational Units.

[4]Micronesia, Indonesia, Papua New Guinea and the Solomon Islands.
[5]Someone with training and experience in developing SEMs.
[6]A diagram of a set of relationships between certain factors that are believed to impact or lead to a conservation target.
[7]A sequence of linked factors in a diagram, which shows the expected outcomes from the implementation of a strategy.

Step 2: All of the senior managers, sub-strategy leads and team members were required to read and understand all of the six sub-strategies before attending the workshop (Step 3).

Step 3: Each of the six sub-strategies were reviewed and refined during the first part of the workshop. A total of 35 people participated in this process, including the regional program leads (Regional Director, Director of the APCR Marine Program, and Regional Scientist), the planning team, measures coaches, sub-strategy and Operational Unit leads. Many of the sub-strategy team members also attended.

The review focused on identifying the most important steps in each sub-strategy, and the links between them. The sub-strategy leads then refined their results chains and narratives, with assistance from the measures coaches.

One major change implemented during the workshop was to combine two of the sub-strategies (Policy and Public Funding, and Sustainable Finance) into one sub-strategy for External Affairs. Another important development was that the Capacity Building team started to develop their sub-strategy, and to identify links with the others.

Step 4: During the second part of the workshop, the measures coaches assembled the six sub-strategies into an overarching APCR Marine Program Strategy, showing key linkages among the:

- Three conservation sub-strategies: Marine Protected Areas, Fisheries Management, and Ecosystem-Based Adaptation; and the
- Three enabling sub-strategies: External Affairs (Policy, Sustainable Finance & Public Funding), Communications and Capacity Building.

This was a detailed process requiring many iterations and multiple cross checks with and among sub-strategy leads over several days. Once the overarching strategy was developed, it was presented to the APCR team for final review and completion.

The result is an overarching APCR Marine Program Strategy integrated across two regional priority projects, which span 11 countries/jurisdictions and four Operational Units. Since it comprises six sub-strategies, the entire strategy is too detailed to present in a single results chain. Therefore, we've presented our results in two formats: a simplified version of the overarching strategy is presented in one results chain (for illustrative purposes only: see *2.2.1 Simplified Version*) and a detailed version of the entire strategy is presented in four results chains (see *2.2.2 Detailed Version*).

All of the results chains were developed using *Miradi*[8], and are presented in a standard format (e.g. Figure 2) where: yellow hexagons = strategies; blue boxes = intermediate results; pink boxes = reduced threats; and green and brown boxes = targets. Each intermediate result has a unique number with those in the Marine Protected Area Sub-strategy starting with [1], those in the Fisheries Management Sub-strategy starting with [2], those in the Ecosystem-Based Adaptation Sub-strategy starting with [3], those in the External Affairs Sub-strategy starting with [4], those in the Communications Sub-strategy starting with [5], and those in the Capacity Building Sub-strategy starting with [6]. The numbers of the intermediate results in the simplified version of the strategy (Figure 2) show that they are taken from the detailed version presented in Figures 3-6.

### *2.2.1 Simplified Version*

The simplified version of our strategy (Figure 2) demonstrates how the three enabling sub-strategies link closely with each other and the three conservation sub-strategies (for more detail: see Figures 3-6) to create a strong enabling environment for conservation:

- The External Affairs Sub-strategy, which comprises three components (Policy, Sustainable Finance & Public Funding), will ensure that conservation activity is mainstreamed and funded throughout MC and CT national development plans [4.06];

[8] A CAP-compatible tool that facilitates the process of developing and tracking Strategy Effectiveness Measures using results chains (www.miradi.org).

- The Communications Sub-strategy will ensure changes in knowledge, attitudes and behaviors in key audiences, compelling people to act [5.08]; and
- The Capacity Building Sub-strategy will ensure that conservation implementation capacity is increased [6.19].

The three conservation sub-strategies (Marine Protected Areas, Fisheries Management and Ecosystem-Based Adaptation) are closely linked by many common intermediate results (see *2.2.2 Detailed Version* for details). Each of these sub-strategies is represented by one or two intermediate results in the simplified version of the strategy (Figure 2) demonstrating that:

- The Marine Protected Area Sub-strategy will ensure that resilient MPA networks are implemented at the regional, national and sub-national levels [1.10 & 1.12];
- The Fisheries Management Sub-strategy will ensure that an Ecosystem Approach to Fisheries (EAF) is successfully applied to the management of at least six coastal fisheries in the CT and MC [2.05]; and
- The Ecosystem-Based Adaptation Sub-strategy will ensure that EBA is integrated into development and adaptation funding strategies for climate change [3.04], and that communities and governments will have a better understanding of climate change impacts and how EBA can help them adapt [3.05].

All six sub-strategies will contribute towards a common intermediate result where EBA, MPAs and Fisheries Management are implemented by people and governments throughout the CT and MC [3.06]. This will lead to the abatement of threats related to coastal development, fisheries and climate change, and ensure the viability[9] of our targets (biodiversity, fisheries and ecosystem services) and the benefits they provide to the people of the Coral Triangle and Micronesia (Figure 2).

### *2.2.2 Detailed Version*

The detailed version of our entire strategy comprises four results chains:

- One that combines the three conservation sub-strategies (Figure 3): Marine Protected Areas, Fisheries Management and Ecosystem-Based Adaptation; and
- One for each of the three enabling sub-strategies: External Affairs (Policy, Sustainable Finance & Public Funding: Figure 4), Communications (Figure 5) and Capacity Building (Figure 6).

A narrative description of each sub-strategy is provided in Appendix 2.

These results chains show clear linkages among the sub-strategies (Figures 3-6), where the numbers in colored boxes attached to the intermediate results show linkages to intermediate results in other results chains. The colors of these boxes denote common linkages among results chains.

[9] The status or "health" of a population of a specific plant or animal species (TNC 2007).

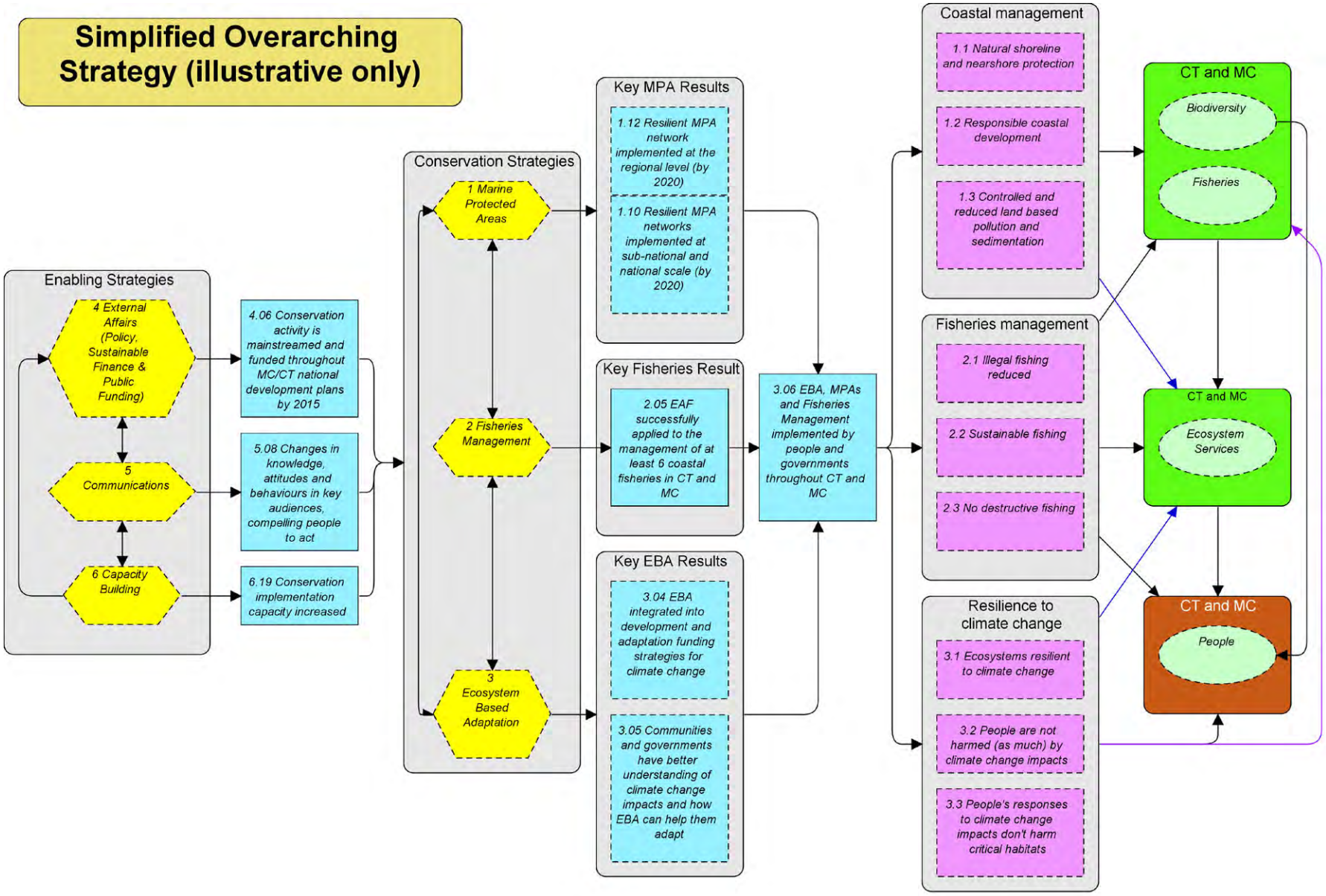


**Figure 2.** Overaching strategy for the Asia Pacific Conservation Region's Marine Program (simplified version for illustrative purpose only).

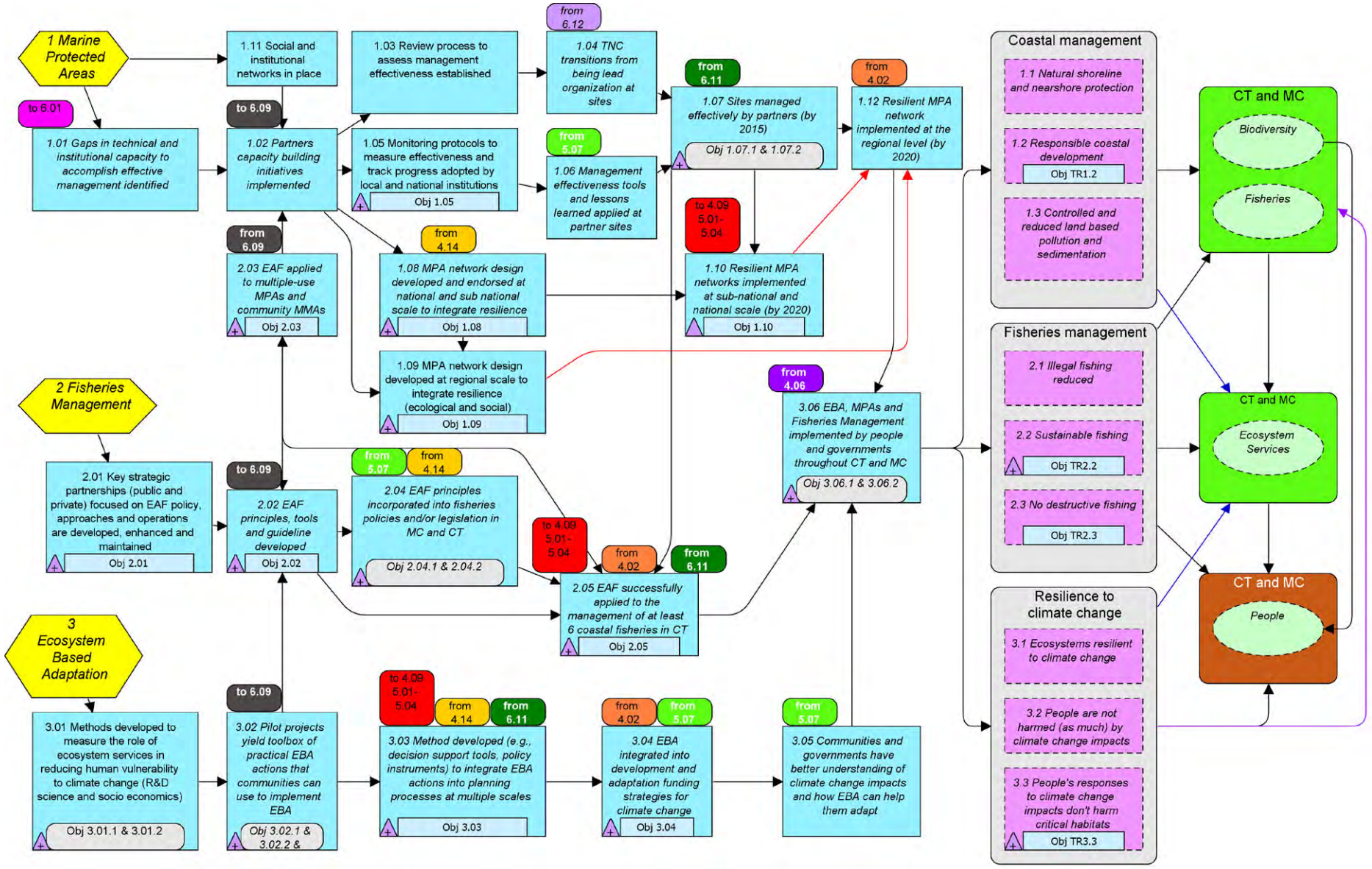


**Figure 3**. Detailed results chains for three conservation sub-strategies: Marine Protected Areas, Fisheries Management and Ecosystem-Based Adaptation.

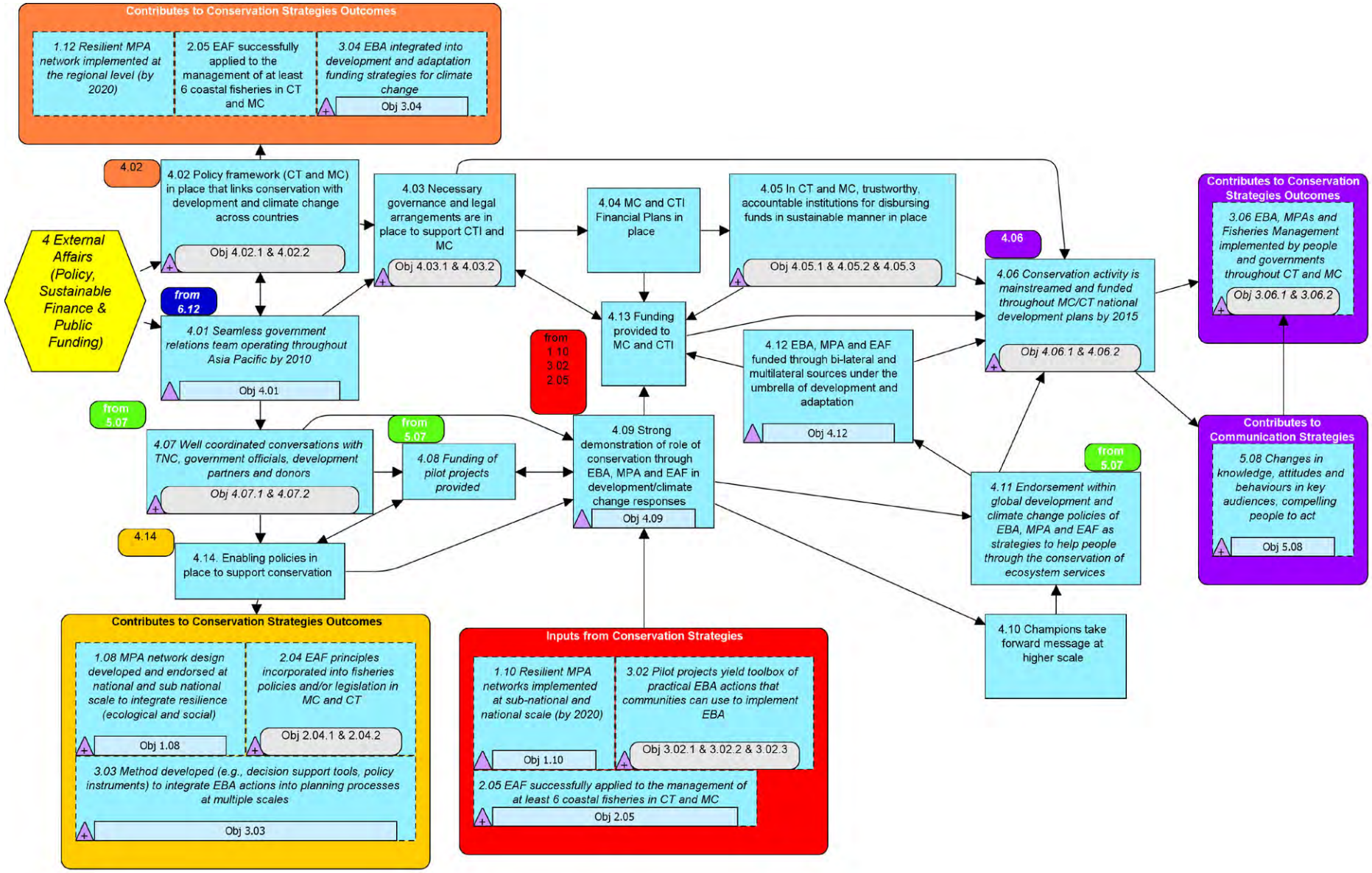


**Figure 4.** Detailed results chain for the External Affairs Sub-strategy (Policy, Sustainable Finance and Public Funding).

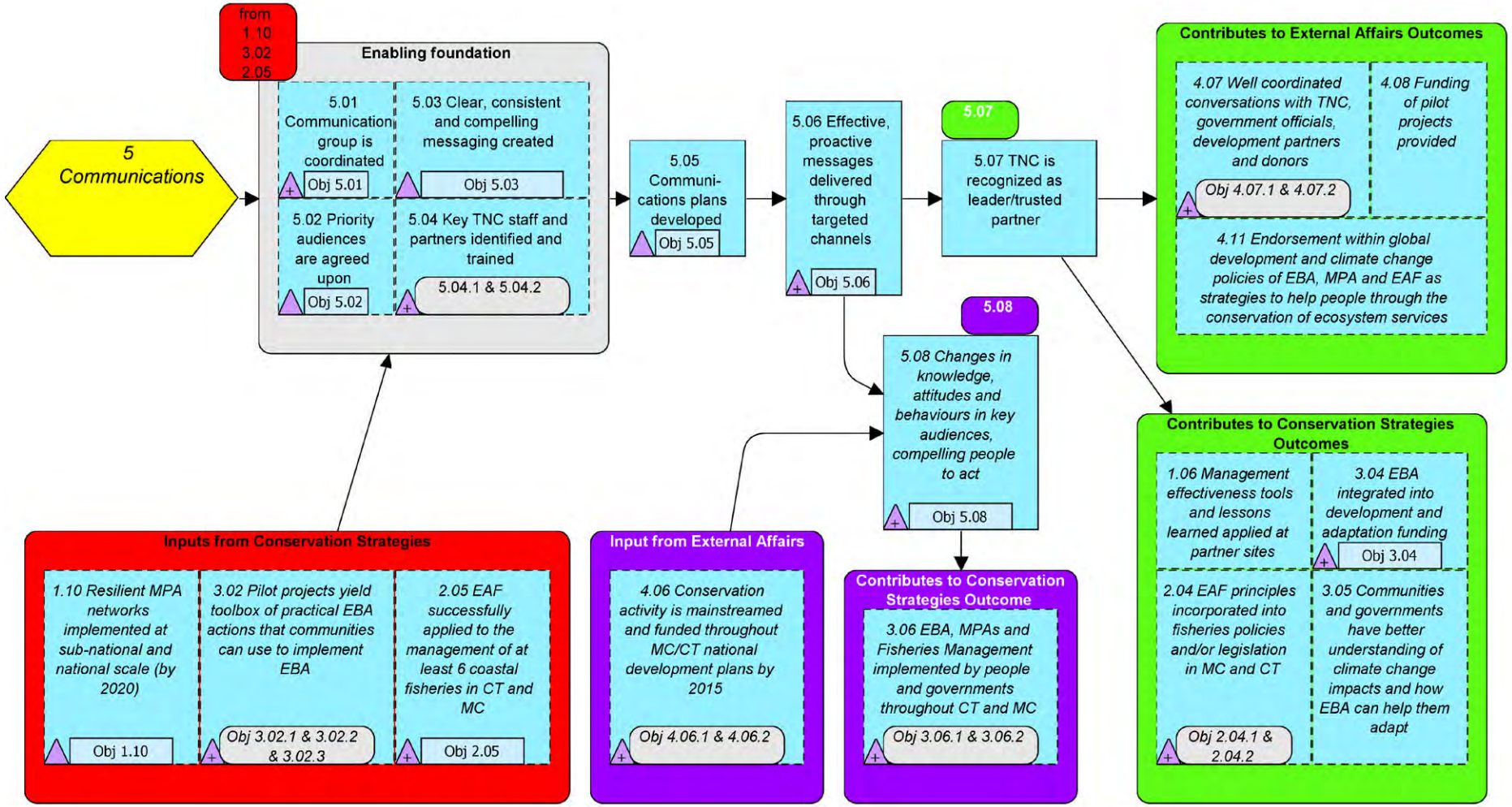


**Figure 5.** Detailed results chain for the Communications Sub-strategy.

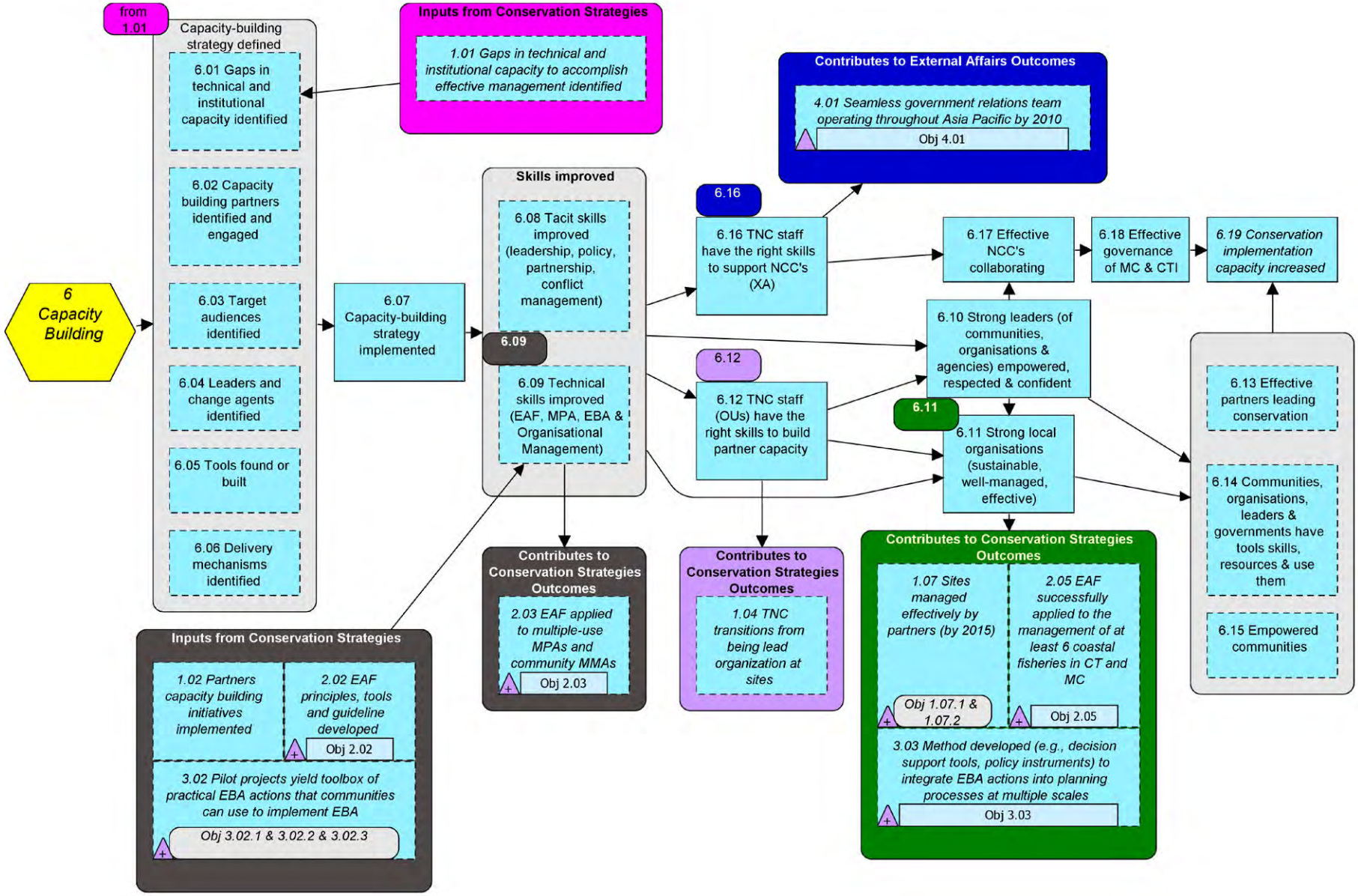


**Figure 6.** Detailed results chain for the Capacity Building Sub-strategy.

## *2.3* STRATEGY EFFECTIVENESS MEASURES

SEMs were developed for the APCR Marine Program goals and strategies during the last part of the workshop, and refined in the weeks following the workshop:

### *2.3.1 Goals*

SEMs (indicators) were developed for the two regional priority project goals (see *2.1. Goals*) by the APCR Marine Program Director, with input from OU Directors and the sub-strategy teams. He will use these indicators to track progress towards our goals.

The indicators for the Coral Triangle goal are that by 2015:

1. Resilient MPA networks are designed for at least four CT areas/seascapes and are endorsed by government and/or community, and are being implemented at three high priority demonstration areas within the CT.
2. A regional resilient MPA system is designed and endorsed by the CT countries in collaboration with partners.
3. Capable partners are leading conservation at all TNC-supported sites.
4. Core EAF principles have been incorporated into fisheries polices or legislation by three CT governments: at least three coastal fisheries are being managed under EAF principles, including at least one community-based fishery; there is engagement with at least one private sector fisheries partner; and at least two coastal fisheries are managed within the framework of multiple-use MPA/MPA networks.
5. EBA is incorporated into development policies and programs in at least five community-based conservation management plans, two provincial sustainable development plans, and one national plan (conservation, fisheries, or development) in Papua New Guinea, Solomon Islands and Indonesia, and contributes to a regional EBA plan for the CTI.
6. Robust and effective governance arrangements are in place for the Coral Triangle Initiative at the regional and national levels, including a Regional Secretariat effectively coordinating the efforts of the CT6, providing regular and transparent reporting, and facilitating partner and donor engagement.
7. CT governments and international donors have contributed at least $150 million to conservation in the CTI, with at least $15 million of this being channeled through TNC over a five year period (2011-2015).
8. Sustainable financial plans are completed and adopted for the three CTI countries where TNC work, and at least one accountable institution for disbursing funds is in place in each of these countries.

The indicators for the Micronesia Challenge goal are that by 2015:

1. Resilient protected area networks are designed for at least three MC areas/seascapes and are endorsed by government and/or community, and are being implemented at one demonstration area/priority within the MC.
2. Core EAF principles have been incorporated into fisheries policies or legislation by two MC governments: at least three coastal fisheries managed under EAF principles, including at least two community-based fisheries; and at least two coastal fisheries managed within the framework of multiple-use MPA/MPA networks.
3. EBA is incorporated into development policies and programs in at least five community-based conservation management plans, and one national sector plan (conservation, fisheries, or development), in the Federated States of Micronesia, Palau, and the Republic of the Marshall Islands.
4. At least 10 MC sites integrate EBA into protected area management plans/Conservation Action Plans.

5. At least $18 million in start-up capital secured for the MC endowment ($3 million TNC investment; $3 million commitment from Conservation International; assist Palau, Federated States of Micronesia, and the Republic of the Marshall Islands raise $12 million match from public and private sources).
6. Regional MC Business Plan and fundraising strategy completed and implemented.

### *2.3.2 Strategies*

Detailed SEMs were also developed for the APCR Marine Program Strategy (Figures 3-6) by five of the six sub-strategy teams (Marine Protected Areas, Fisheries Management, Ecosystem Based Adaptation, External Affairs, and Communications)[10]. Each team identified SMART[11] objectives and indicators[12] for the critical steps in their sub-strategies (i.e. the intermediate results that are most critical for success) and some threats. The sub-strategy leads will use these indicators to measure the success of their sub-strategy, and for adaptive management.

SEMs (including 45 objectives and 90 indicators) were identified for 29 critical steps in the strategy (43 objectives and 85 indicators) and two threats (two objectives and five indicators). All of this information was entered in *Miradi*, which we used to generate Table 1.

**Table 1.** Strategy effectiveness measures.

Where: symbols used are ▭ = objective, and △ = indicator; and the numbers for the objectives correspond to those in the Results Chains (Figures 3-6).

| **MARINE PROTECTED AREA SUB-STRATEGY** |
|---|
| ▭ **1.05. By 2013 partners in MC and CT are using Marine Protected Area Management Effectiveness (MPAME) tools to assess effectiveness of sites and networks (within 5 jurisdictions in at least 10 priority sites in MC; and within 3 countries and 12 priority sites in CT).** |
| △ 1.05.1. MPAME tool adapted for application to each MPA site |
| △ 1.05.2. Management effectiveness 'report' produced as part of periodic (annual) management planning |
| ▭ **1.07.1. By 2015 management plans and monitoring systems implemented by partners in at least 10 priority sites in the MC and in 12 priority sites across the CT** |
| △ 1.07.1. Sites have reached a mid level (e.g. Stage 3 of 5) based on appropriate MPAME tool that includes governance, enforcement, monitoring and community engagement |
| ▭ **1.07.2. By 2015, at least 10% of critical habitats are effectively managed as "No-Take" zones within 3 MC and 4 CT MPA sites.** |
| △ 1.07.2. Hectares of critical habitats effectively managed through governance, monitoring, community engagement and compliance (using MPAME levels for indicators of effective management) |
| ▭ **1.08. By 2015, resilient protected area networks designed for at least 3 MC and 4 CT areas/seascapes and are endorsed by government and/or community.** |
| △ 1.08.1. MPA networks are designed to include resilience principles based on best available science |
| △ 1.08.2. Government and/or community endorses adoption of resilient MPA networks through signed agreement or incorporation in spatial plans |

[10] SEMs were not developed for the Capacity Building Sub-strategy since it is still being refined. The final Sub-strategy (including SEMs) will be available in December 2010.
[11] Specific, measurable, achievable, realistic and time defined (Govan et al 2008).
[12] Measurable entities related to specific information needs (e.g. the status of a key ecological attribute, change in a threat, or progress towards an objective: TNC 2007).

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| **1.09. By 2015 regional resilient MPA system designed and endorsed by 6 CT countries in collaboration with partners.** |
| 1.09.1. High level participation by senior or ministerial officials at meetings indicates common understanding of need and benefits of a regional MPA system among the CT countries |
| 1.09.2. 6 CT countries endorse MPA system design through a formal agreement on design principles and process |
| **1.10. By 2015, resilient MPA networks being implemented at 3 high priority demonstration areas within CT and 1 demonstration area within MC.** |
| 1.10. Implementation of 4 network management plans as evaluated through MPAME tools that include governance, monitoring, community engagement and compliance |
| **FISHERIES MANAGEMENT SUB-STRATEGY** |
| **2.01. By 2015, key partnerships with clear roles and responsibilities have been established to develop and make operational effective EAF management within CTI and MC.** |
| 2.01.1. Key strategic partners identified |
| 2.01.2. Partnership agreement drafted |
| 2.01.3. Partnership agreements signed |
| 2.01.4. Agreed activities undertaken |
| 2.01.5. AP partnership developed with MOU between partners with clear roles and responsibilities |
| 2.01.6. Partnership network remains active in the operationalization of EAF and development of tools |
| **2.02. By 2015, with key partners, EAF application approaches, guidelines, measures and tools have been developed and disseminated through networks or other learning mechanisms.** |
| 2.02.1. At least two EAF guidelines, measures, tools & other materials have been developed and disseminated. |
| 2.02.2. At least one training module has been developed and implemented by partners |
| 2.02.3. EAF approaches & guidelines are being implemented in at least two CAPs |
| **2.03. By 2015, EAF principles have been incorporated into MPA and MPA network design and implementation, CAP and community engagement approaches in at least five TNC supported MPAs or MPA networks.** |
| 2.03.1. Number of MPA/MPA networks that have incorporated and applied EAF principles and practices |
| 2.03.2. Number of community conservation and CAP plans that have included EAF principles and practices |
| **2.04.1. By 2015, core EAF principles have been incorporated into the fisheries policies and/or legislation in at least three governments in CTI and two MC jurisdictions.** |
| 2.04.1.1. Number of fisheries acts/legislation or policies that have included the core principles of EAF |
| 2.04.1.2. At least one fisheries act/legislation or policy in Melanesia and Indonesia have included the core principles of EAF |
| 2.04.1.3. At least one fisheries act/legislation or policy in Micronesia and Indonesia have included the core principles of EAF |
| **2.04.2. 2015, EAF principles have been incorporated into at least three MC and three CTI management plans that are being implemented.** |
| 2.04.2. Number of sites that are implementing management plans with core EAF principles |

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| **2.05. By 2015, EAF principles have been incorporated into at least three MC and three CTI effectively implemented fisheries management plans.** |
| 2.05.1. At least one site in MC and one in Melanesia are implementing management plans with core EAF principles & EBA strategies |
| 2.05.2. At least one site in Indonesia is implementing management plans with core EAF principles & EBA strategies |
| 2.05.3. At least two sites in Micronesia are implementing management plans with core EAF principles and EBA strategies |
| **ECOSYSTEM BASED ADAPTATION SUB-STRATEGY** |
| **3.01.1. By 2012, methods developed to measure the role of ecosystem services in reducing human vulnerability to climate change and applied at two pilot sites (Choiseul and Manus).** |
| 3.01.1.1. Peer reviewed methods document |
| 3.01.1.2. Ecosystem service values report |
| **3.01.2. Resilience principles and guidelines include sea level rise (by 2011) and ocean acidification (by 2013) at multiple scales.** |
| 3.01.2.1. Best sea level rise models for local, national and regional scales (2011) |
| 3.01.2.2. Ocean acidification assessment methodology (2013) |
| **3.02.1. By 2015, pilot EBA (vulnerability assessment and adaptation) strategies addressing governance, social and environmental issues developed and implementation initiated in at least 4 (2 every 2 years) proof of concept sites (Manus, Choiseul, Marshalls and Savu).** |
| 3.02.1.1. Number of sites with EBA strategies complete (report) |
| 3.02.1.2. Number of sites with EBA strategies implemented (progress report on implementation of actions in strategies) |
| 3.02.1.3. Method to link effectively with government sectors |
| **3.02.2. By 2012, EBA toolbox developed that incorporates lessons learned from completed pilot projects for use by TNC and partners.** |
| 3.02.2.1. EBA toolbox includes responses to address governance issues |
| 3.02.2.2. EBA toolbox includes responses to address social issues |
| 3.02.2.3. EBA toolbox includes responses to address environmental issues |
| 3.02.2.4. EBA toolbox includes tools to link policy with practice |
| 3.02.2.5. EBA toolbox includes case studies and other communications and awareness materials |
| 3.02.2.6. EBA toolbox includes best available guidance for incorporating climate change vulnerability and adaptation |
| **3.02.3. By 2015, EBA toolbox refined for greater range of governance, social and environmental issues.** |
| 3.02.3. Annual toolbox revisions |
| **3.03. By 2013, conservation planning processes integrate EBA (e.g., CAP, MARXAN).** |
| 3.03.1. EBA integrated into CAP process |
| 3.03.2. *Miradi* software modified to include EBA principles |

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| 3.03.3. Coaches in CT/MC trained in integration of EBA into community planning processes |
| **3.04. By 2015, EBA incorporated into development policies and programs in at least 10 community-based conservation management plans, two provincial sustainable development plans and one national sectoral plan in Papua New Guinea, Solomon Islands, Indonesia, Palau, Federated States of Micronesia, and the Republic of the Marshall Islands, and consolidated into regional EBA plan for CTI.** |
| 3.04.1. Number of community-based plans |
| 3.04.2. Number of provincial plans |
| 3.04.3. Written contribution to regional EBA plan for CTI |
| 3.04.4. Number of national plans |
| **3.06.1. By 2015, at least 10 MC and 10 CT sites integrate EBA into protected area management plans (five by 2011, seven by 2012-13, eight by 2014-15);** |
| 3.06.1. Number of management plans incorporating EBA |
| **3.06.2. By 2015, core EAF principles have been incorporated into fisheries policies or legislation by three CT and two MC governments, into at least three CT and three MC effectively implemented coastal fisheries management plans, and into the design and implementation of at least five MMAs, MPAs or MPA networks within the CT and MC.** |
| 3.06.2.1. Number of fisheries acts/legislation or polices that have incorporated the core principles of EAF |
| 3.06.2.2. Number of effectively implemented coastal fisheries management plans that have incorporated the core principles of EAF |
| 3.06.2.3. Number of MMAs/MPAs/MPA networks that have incorporated and applied the core EAF principles and practices |
| **EXTERNAL AFFAIRS (Policy, Sustainable Finance and Public Funding) SUB-STRATEGY** |
| **4.01. By December 2010, capacity building plan for integrating team finalized that includes integrated work plans, structured exchange opportunities, and mentoring support.** |
| 4.01. Capacity building plan is completed that includes integrated work plans, structured exchange opportunities, and mentoring support (based on team self assessment) |
| **4.02.1. At APEC (November 2011): MC leaders formally recommit resources to support MC.** |
| 4.02.1.1. Formal announcement by MC and partners in or in margins of APEC |
| **4.02.2. At APEC (November 2011): CT6 and leaders of US and Australia make formal recommitment (including resources) to support effective CTI.** |
| 4.02.2.1. Formal announcement on progress and new initiatives to implement CTI by CT6 and partners in or in margins of APEC |
| **4.03.1. Business Plan adopted by MC Chief Executives by the start of 2011.** |
| 4.03.1. Formal endorsement at MC Chief Executives Summit |
| **4.03.2. Permanent CTI Secretariat established by the end of 2011.** |
| 4.03.2. Legal signoff by all CT6 |
| **4.05.1. By the end of 2013, sustainable finance plans completed by CTI partners (including ADB, TNC, etc) and adopted by at least 2 of CT6 countries in which TNC works.** |
| 4.05.1. Plan completed, and adopted by CT6 |

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| **4.05.2. By December 2011, funding flowing from MCT in accordance with recommendations in MC Business Plan.** |
| 4.05.2. Amount of money being disbursed from MCT to grants at community level |
| **4.05.3. By December 2011, new internal money committed by each MC jurisdiction to fill their internal agreed gap (at least USD$150,000 per year per country).** |
| 4.05.3. Amount of new money provided from government appropriation in each Jurisdiction |
| **4.06.1. At least a 15% increase in financial flows to support CTI implementation (activities outlined in National Plans of Action) against FY11 baseline by the three CT6 Countries where we work (Indonesia, PNG and the Solomon Islands).** |
| 4.06.1. Incremental increase in allocation to CTI activities in each National Budget each year |
| **4.06.2. By December 2011, domestic allocations to MC increased by all three MC countries to match commitment by TNC/CI, GEF ($6M)** |
| 4.06.2. Percentage of their match for each jurisdiction received by MCT |
| **4.07.1. By mid 2011, at least one development partner identified (through systematic partner scoping process) and engaged in either strategic discussion or project implementation.** |
| 4.07.1. Technical input from partners incorporated into TNC strategy documents; and project proposal in development |
| **4.07.2. By end 2010, Country Program Government Relations strategies finalised with system for annual review agreed upon by GR team.** |
| 4.07.2. Strategy documents completed that incorporate process for engagement with local, regional, national government agencies, as well as with other country GR programs |
| **4.09. Successful completion of AusAID adaptation project in CT and MC by September 2011** |
| 4.09. AusAID adaptation project completed |
| **4.12. International Climate Initiative proposal submitted (by December 2010) and approved (by March 2011).** |
| 4.12.1. Approval received from contact at **International Climate Initiative** |
| **COMMUNICATIONS SUB-STRATEGY** |
| **5.01. By FY11 (December 2010), communications group has protocols and mechanisms for improved coordination in place.** |
| 5.01.1. Protocol is complete and endorsed by AP Marine Director & Senior Managers |
| 5.01.2. Protocol is being implemented by Communications & Marine team members |
| 5.01.3. Roles of communications team/working group defined & reflected in individual objectives and work plans |
| 5.01.4. Mechanisms and roles in place for regular co-ordination between communications team/working group and larger TNC teams (monthly calls, distribution lists) |
| **5.02. By FY11 (February 2011), priority audiences are agreed upon by Communications/OUs/Regional teams** |
| 5.02. A list of identified audiences by segment and market is created and approved |
| **5.03. A suite of messages created with specific instructions for key audiences and endorsed by AP Marine Leadership, Strategy Leads, OUs, and philanthropy** |
| 5.03. A suite of messages created with specific instructions for key audiences and endorsed by AP Marine |

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| Leadership, Strategy Leads, OUs and Philanthropy |
| **5.04.1. By FY12 (August 2011), key TNC staff and partners are identified and trained in messages and message delivery.** |
| 5.04.1.1. Number of trainings conducted and number of staff trained in delivering messages |
| 5.04.1.2. Number of trainings conducted and number of partners trained in delivering messages |
| **5.04.2. By FY12 (December 2011), key communication partners are identified and engaged.** |
| 5.04.2. At least one suitable partner in every OU has been identified |
| **5.05. By 2011 (February 2011), umbrella communications plans for CT and MC have been created and endorsed by AP Marine Leadership, Strategy Leads and OUs** |
| 5.05. CT and MC communications plans created and endorsed by AP Marine Leadership, Strategy Leads and OUs |
| **5.06. By FY11 (starting June 2011), effective messages are proactively delivered through targeted channels** |
| 5.06.1. Percentage of proactive versus reactive communications |
| 5.06.2. Percentage of staff using current materials (as identified) |
| 5.06.3. Number of stories per key audiences (e.g. in key media, TNC channels, etc) that support current messages |
| 5.06.4. Number of events where a number of key trained TNC staff deliver effective messages |
| 5.06.5. Number of events where a number of key trained partners deliver effective messages |
| 5.06.6. Number of times wrong messages are used for specific audiences |
| **5.08. By December 2015, increased support within key audiences for conservation in CT & MC** |
| 5.08.1. Number of supporters and revenue per private donor for AP marine |
| 5.08.2. Number of supporters and revenue per public donor for AP marine |
| **THREATS** |
| **TR2.2. By 2015, the trend in fisheries compliance with management and monitoring plans in the 10 MC sites and 12 CT priority sites is measurably improved.** |
| TR2.2.1. Number of violations (or other measure)/unit area/year |
| TR2.2.2. Number of arrests/ prosecutions per year |
| TR2.2.3. Community awareness/ support increases |
| **TR3.3. By 2015, coastal communities in at least 10 MC and 10 CT sites have increased their resilience to climate change impacts through EBA actions that address food and natural resources, livelihoods/income sources, cultural issues, and governance.** |
| TR3.3.1. 2011 social measures list |
| TR3.3.2. Number of community and local government plans |

## 2.4 MONITORING PLAN

During the last part of the workshop, each sub-strategy team developed a monitoring plan for their indicators (Table 1) that describes: the methods they will use (and when), who will do the monitoring, how they will analyze and report results, and how the results will be used (and by whom) for adaptive management.

This information was entered into *Miradi*, which we used to produce a monitoring plan for the APCR Marine Program. Since this is a long and detailed document, it is provided on *ConPro*[13] (http://conpro.tnc.org/1638/), and an excerpt (with minor edits) is provided in Table 2.

**Table 2.** Excerpt from the monitoring plan (one indicator for each sub-strategy).

Where: symbols used are ▭ = objective, and △ = indicator; and the numbers for the objectives correspond to those in the Results Chains (Figures 3-6).

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| **MARINE PROTECTED AREA SUB-STRATEGY** |
| ▭ **1.05. By 2013 partners in MC and CT are using Marine Protected Area Management Effectiveness (MPAME) tools to assess effectiveness of sites and networks (within 5 jurisdictions in at least 10 priority sites in MC; and within 3 countries and 12 priority sites in CT).** |
| △ 1.05.1. MPAME tool adapted for application at each MPA site. |
| **Method:** Survey or workshop.<br>**Who coordinates & measures:** Project leaders in CT. Led by partners in MC.<br>**Where:** At each site.<br>**When will a baseline be established & monitoring started**: FY2010 (Indonesia) baseline established - monitoring will continue to end of FY2012.<br>**Timing & frequency:** Annual application at each site in CT. In MC, may be biannual or longer for some metrics.<br>**Expected analyses:** Level of adoption, similar to MPAME stages.<br>**Who is responsible for analyzing, interpreting & reporting:** Project leaders at sites (Gondan Renosari, Alan White tracking for AP) & Nate Peterson.<br>**Who does the report go to (decision maker):** Alan White/Bill Raynor & Marine Protected Area Sub-strategy Team.<br>**What triggers decision making:** Limited or inadequate adoption or application.<br>**Cost:** 1-2 days staff time and can be linked to other monitoring activities.<br>**Comments:** CT and MC partners to be trained in MPAME tools to assess ME of their MPAs & networks in 2011, 2012, and 2013. |
| **FISHERIES MANAGEMENT SUB-STRATEGY** |
| ▭ **2.03. By 2015, EAF principles have been incorporated into MPA and MPA network design and implementation, CAP and community engagement approaches, in at least five TNC supported MPAs or MPA networks.** |

[13] A searchable repository of conservation projects of the Conservancy and partners.

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| ▲ 2.03.1. Number of MPA/MPA networks that have incorporated and applied EAF principles and practices. |
| **Method:** Check on number of sites utilizing EAF in management plans.<br>**Who coordinates & measures:** Andrew Smith.<br>**Where:** APCR OUs.<br>**When will a baseline be established & monitoring started**: October 2010.<br>**Timing & frequency:** Six monthly (December and June).<br>**Expected analyses:** 1. Simple status check (applied/not applied/in process); 2. Number of sites / CAPs / management plans incorporating EAF; and 3. Evaluation of application and effectiveness of products.<br>**Who is responsible for analyzing, interpreting & reporting:** Andrew Smith.<br>**Who does the report go to (decision maker):** Bill Raynor.<br>**What triggers decision making:** Low/no adoption of EAF principles and products.<br>**Cost:** ~US$2,500/year. |
| **ECOSYSTEM BASED ADAPTATION SUB-STRATEGY** |
| ▭ **3.02.2. By 2012, EBA toolbox developed that incorporates lessons learned from completed pilot projects for use by TNC and partners.** |
| ▲ 3.02.2.1. EBA toolbox includes responses to address governance issues. |
| **Method:** Monitor toolkit revisions and additions, including knowledge transfer from other regions.<br>**Who coordinates & measures:** Olivia Millard/James Hardcastle/Rod Salm<br>**Where:** Solomon Islands, Papua New Guinea, Indonesia, Micronesia Challenge Jurisdictions and Hawaii.<br>**When will a baseline be established & monitoring started**: 2012.<br>**Timing & frequency:** Annually.<br>**Expected analyses:** Review toolkit for changes.<br>**Who is responsible for analyzing, interpreting & reporting:** Rick Hamilton in Melanesia; Ricky Carl in Micronesia; Joanne Wilson in Indonesia.<br>**Who does the report go to (decision maker):** Rod Salm.<br>**What triggers decision making:** Lack of government interest & EBA options to address governance issues.<br>**Cost:** 0. Cost built into ongoing work covered by project funds. |
| **EXTERNAL AFFAIRS (Policy, Sustainable Finance & Public Funding) SUB-STRATEGY** |
| ▭ **4.06.2. By December 2011, domestic allocations to MC increased by all 3 MC countries to match commitment by TNC/CI & GEF ($6M)** |
| ▲ 4.06.2. Percentage of their match from each jurisdiction received by the Micronesia Conservation Trust (MCT). |
| **Method:** MCT will provide information regarding the allocation received from each jurisdiction to TNC.<br>**Who coordinates & measures:** Egide Cantin.<br>**Where:** Micronesia & Brisbane.<br>**When will a baseline be established & monitoring started**: Beginning of FY11.<br>**Timing & frequency:** Every 6 months.<br>**Expected analyses:** Financial analysis (did they meet their target?).<br>**Who is responsible for analyzing, interpreting & reporting:** Egide Cantin.<br>**Who does the report go to (decision maker):** Gerald Miles and Bill Raynor.<br>**What triggers decision making:** Contributions below target.<br>**Cost:** Staff time: 5%. |

| COMMUNICATIONS SUB-STRATEGY |
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| **5.02. By FY11 (February 2011), priority audiences are agreed upon by the Communications, OUs and Regional teams.** |
| 5.02. A list of identified audiences by segment and market is created and approved. |
| **Method:** Strategy leads will work with the APCR Marketing Resource Center, OUs, XA, APCR Leadership, Sub-strategy leads & Philanthropy to monitor progress.<br>**Who coordinates & measures:** Jeanine Almany/Tri Soekirman.<br>**Where:** Virtual (based in Brisbane, Bali and U.S.A).<br>**When will a baseline be established & monitoring started**: Feb 2011.<br>**Timing & frequency:** Annual review.<br>**Who is responsible for analyzing, interpreting & reporting:** Jeanine Almany/Tri Soekirman/CJ Hudlow.<br>**Who does the report go to (decision maker):** APCR Marine Director, OUs, Sub-strategy Leads, XA, APCR Marketing Resource Center & Philanthropy.<br>**What triggers decision making:** If the priority audience list agreed upon does not include an obvious crucial audience such as the government. Not getting the input from the relevant people.<br>**Cost:** No additional costs. |

## *2.5* CALENDAR OF KEY EVENTS

During the workshop, we also developed a Calendar of Key Events that lists the major outcomes, deliverables and timelines for each of the six sub-strategies over the next five years. This process helped us identify key linkages among sub-strategies, and the required sequence of events.

This calendar (Table 3) will provide the basis for Senior Managers to track the overall progress of the APCR Strategy over the next five years.

**Table 3.** Calendar of key events.

| Strategy | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2020 |
|---|---|---|---|---|---|---|---|
| Marine Protected Areas | CT site review initiated to inform capacity building (BR,AW,OU's) | CT site review completed to inform capacity building (BR,AW, OU's, OM) | MPA ME reviews and site reviews inform capacity building/planning (AW,OU's,OM) | Hurdles solved- 6 CAPS in MC (US) | Sites reviewed in relation to building capacity for sustainability (AW, OU's, OM) | Overall status of all sites reviewed for capacity and ability to be independent (AW,OU's,OM) | Progress tracked- MC goals are actioned & disseminated (SV) |
| | Capacity building initiated- MC Networks (TL) | Hurdles solved through CAPS in MC (US) | Hurdles addressed on no-take area implementation (JW, AW&GR) | Review of progress in no-take area implementation (JW, AW& GR) | Hurdles solved- 6 CAPS in MC (US) | Hurdles solved- 6 CAPS in MC (US) | |
| | Hurdles solved through CAPS in MC (US) | Management effectiveness lessons disseminated through MC Measures WG (SV) | Hurdles solved- 6 CAPS in MC (US) | Effective MPAs at stage #3-3 in Indo, 3 in Mel, total = 6 (AW, GR, RH, NP) | Management effectiveness lessons disseminated through MC Partners (TL) | Effective MPAs at stage #3-3 in Indo, 4 in Mel, total = 11 (AW,GR,RH, NP) | |
| | Management effectiveness (ME) lessons disseminated through MC Measures WG (SV) | ME lessons disseminated in Indonesia and in other CT countries (AW,AD,etc.) | Management effectiveness lessons disseminated through MC Measures WG (SV) | Management effectiveness lessons disseminated through MC Measures WG (SV) | Progress tracked- monitoring in MC (SV) | MPA ME progress tracked (AW et al) | |
| | | Progress tracked- adapt MPAMES for Mel & test (AW&RH) | Progress tracked- baseline established in MC (SV) | Progress tracked- monitoring in MC (SV) | | Progress tracked- monitoring in MC (SV) | |
| | | Progress tracked- baseline established in 2 additional sites in Indo (AW& AD) | Progress tracked- baseline established in 2 additional sites in Indo, total = 6 (AW & AD) | | | | |

| Strategy | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2020 |
|---|---|---|---|---|---|---|---|
| Fisheries Management | EAF partnerships developed/ maintained (AS) | EAF partnerships developed/ maintained (AS) | EAF partnerships developed/ maintained (AS) | EAF partnerships developed/ maintained (AS) | EAF partnerships developed/ maintained (AS) | EAF partnerships developed/ maintained (AS) | |
| | | EAF approaches developed & applied (AS) | EAF approaches developed & applied/integrated with MPAs (AS) | EAF approaches developed & applied/integrated with MPAs (AS) | EAF in policies: MC x 1 (RC,AW); Indo x 1 (EB/PL/AS) | EAF applied to Fisheries Management: MC x 1 (SV) | |
| | | EAF in policies Melanesia (PL/ AS) | EAF in policies : MC x 2 (RC/AS); Indo x 1 ( EB/PL/ AS); Mel x 2 (PL/ AS) | EAF applied to Fisheries Management: MC x 1 (SV), Mel x 1 (PL) | EAF applied to Fisheries Management x 1 (AH/EB) | | |
| | | | EAF applied to Fisheries Management : Mel x 1 (PL): Indo x 1 (AH/EB) | | | | |
| Ecosystem Based Adaption | Resilience principles & guidelines include sea level rise (EM, RS) | Resilience principles & guidelines include sea level rise (EM, RS) | | Resilience principles & guidelines include ocean acidification (EM, RS) | Resilience principles & guidelines include ocean acidification (EM, RS) | Resilience principles & guidelines include ocean acidification (EM, RS) | |
| | EBA pilots: Manus, Choiseul (RH, JH) | EBA pilots: Manus, Choiseul (RH, JH) | EBA pilots: Manus, Choiseul, Savu Sea, MC (RH,JH,JW,RC) | EBA pilots: Savu Sea, MC (JW,RC) | EBA pilots: Savu Sea, MC (JW,RC) | EBA pilots: CT & MC (RH,JH,JW,RC) | |
| | | Ecosystems roles in human vulnerability (RH, JH) | Ecosystem role in human vulnerability (RH, JH) | EBA integrated into policies & public funding (JH/GM) | EBA integrated into policies & public funding (JH/GM) | EBA integrated into policies & public funding (JH/GM) | |
| | | CAP revised for CC, EBA & spatial planning (AC) | CAP revised for CC, EBA & spatial planning (AC) | CAP revised for CC, EBA & spatial planning (AC) | | | |
| | | EBA tools compiled (RS/JH/RH/EM) | EBA toolbox (RS/OM) | EBA toolbox review (RS/JH/OM) | EBA toolbox review (RS/JH/OM) | EBA toolbox revised (RS/JH/OM) | |
| | | EBA linked to planning (RH, RC, JW) | EBA linked to planning (RH, RC, JW) | EBA linked to planning (RH, RC, JW) | EBA linked to planning (RH, RC, JW) | EBA linked to planning (RH, RC, JW) | |

| Strategy | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2020 |
|---|---|---|---|---|---|---|---|
| External Affairs (Policy, Sustainable Finance & Public Funding) | Seamless team (GM/LW) | Well-coordinated conversations with government and development partners (JH/LW) | MC financial mechanisms in place (EC) | | CTI financial mechanisms in place (EC) | Conservation activity mainstreamed & funded in development plans: CTI (EC,GM,JH, LW, AH, PL,etc.) | |
| | Well-coordinated conversations with government and development partners (JH/LW) | Demonstration of integration of EBA/Fisheries/ MPAs (JH) | | | | | |
| | | Governance & legal arrangements are in place to support policy framework/ initiative: CT secretariat/NCC operational (JT) | | | | | |
| | | Governance & legal arrangements are in place to support policy framework/ initiative: MC Business Plan adopted (TL) | | | | | |
| | | EBA, MPAs & Fisheries Management funded through bilateral & multilateral sources under the umbrella of conservation and development (SM) | | | | | |

| Strategy | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2020 |
|---|---|---|---|---|---|---|---|
| External Affairs (Policy, Sustainable Finance & Public Funding) – cont'd | | Policy framework (CT/MC) in place linking conservation & development & climate change across countries (GM, JH, EC, TL JT) | | | | | |
| | | Conservation activity mainstreamed & funded in development plans: MC (GM/RC) | | | | | |
| Communications | Communications team identified and coordinated (JA/TS) | Priority audiences are agreed upon with strategy leads, OUs (JA/TS) | Effective, proactive messages delivered through targeted channels(JA/TS/CJ/ other AP marine comms. staff) | Effective, proactive messages delivered through targeted channels (JA/TS/CJ/ other AP marine comms. staff) | Effective, proactive messages delivered through targeted channels (JA/TS/CJ/ other AP marine comms. staff) | Effective, proactive messages delivered through targeted channels (JA/TS/CJ/ other AP marine comms. staff) | Effective, proactive messages delivered through targeted channels (JA/TS/CJ/ other AP marine comms. staff) |
| | Priority audiences are agreed upon with strategy leads, OUs (JA/TS) | Clear, consistent and compelling messaging created for target audiences (CJ to facilitate) | Changes in/sustained knowledge, attitudes & behaviors, compelling people to take action (JA/TS) | Changes in/sustained knowledge, attitude & behaviors, compelling people to take action (JA/TS) | Changes in/sustained knowledge, attitudes and behaviors, compelling people to take action (JA/TS) | Changes in/sustained knowledge, attitudes and behaviors, compelling people to take action (JA/TS) | Changes in/sustained knowledge, attitudes & behaviors, compelling people to take action (JA/TS) |
| | | Key staff and partners identified & trained (JA/TS) | | | | | |
| | | Umbrella communications plan developed (JA/TS) | | | | | |
| | | Effective, proactive messages delivered through targeted channels (JA/TS/CJ) | | | | | |

| Strategy | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2020 |
|---|---|---|---|---|---|---|---|
| Communications – cont'd | | Changes in/sustained knowledge, attitudes & behaviors, compelling people to take action (JA/TS) | | | | | |
| Capacity Building | Final Capacity Building Sub-strategy developed (OM, NH) | Funding secured for pilots/priorities (OM, RL, BR, LM) | TNC staff supporting NCCs have the right skills; effective NCCs collaborating (CB & XA staff) | Effective governance of MC and CTI (CB & XA staff) | | | |
| | | "Ready" learning networks scoped, at least two (1 internal, 1 external) launched (OM, NH) | Additional learning networks launched as appropriate, tacit and technical skills improving (OM, NH) | TNC staff have the right skills to build partner capacity (OM, NH) | TNC staff are building partner capacity (OM, NH) | Partners with capacity leading at sites (AP marine team) | |
| | | Capacity-building partners identified and engaged; gaps in technical and institutional capacity identified (OM, NH) | Curricula developed and implemented in collaboration with academic institutions (OM, NH) | Curricula developed and implemented in collaboration with academic institutions (OM, NH) | | | |
| | | Conservation Partnership Center in use across region (OM, NH) | Effectiveness of Conservation Partnership Center measured; modifications made as appropriate (OM, NH) | | | | |

AC: Annick Cros
AH: Abdul Halim
AS: Andrew Smith
AD: Arisetiarso Soemodinoto
AW: Alan White
BR: Bill Raynor
CJ: CJ Hudlow
EB: Eny Buchary
EC: Egide Cantin
EM: Elizabeth McLeod
GM: Gerald Miles
GR: Gondan Renosari
JA: Jeanine Almany
JH: James Hardcastle
JT: John Tanzer
JW: Joanne Wilson
LW: Laura Whitford
NH: Nina Hadley
NP: Nate Peterson
OM: Olivia Millard
PL: Paul Lokani
RC: Ricky Carl
RH: Rick Hamilton
RL: Russell Leiman
RS: Rod Salm
SM: Susi Menazza
SV: Steven Victor
TL: Trina Leberer
TS: Tri Soekirman
US: Umiich Sengebau

# 3 DISCUSSION

## 3.1 SUCCESSES

Through the process described in this document, our staff have, for the first time, mapped out and agreed upon an integrated strategy to support our partners in achieving their commitments made through the Coral Triangle Initiative and Micronesia Challenge.

Aligning our program with these exceptional opportunities to leverage conservation action at scale has also enabled us to achieve our new strategic direction and approach. This required a decreased focus on sites, and an increased focus on building the enabling environment for conservation, connecting policy and practice on the ground, and leveraging conservation action beyond our sites.

The methods provided by the Conservancy's Conservation Methods & Learning Team provided excellent tools for implementing our new approach. Through their application, we clearly defined our goals and strategy for the next five years, which spans 11 countries/jurisdictions and four Operational Units (Micronesia, Indonesia, Papua New Guinea and the Solomon Islands) and includes six sub-strategies.

We also defined SEMs that will allow us to track our progress, and measure our success. Monitoring these measures will provide the basis for adaptive management, and for tracking our return on investment.

This process also allowed us to represent, for the first time, a major change in our Program. From our previous focus on biodiversity as the primary conservation target, we've taken the first steps in evolving towards a more holistic approach that will ensure benefits to biodiversity, ecosystem services and people.

Not only has this process been transformational for our region, it also represents a "first" for our organization in a number of ways. For example, it is the first time that SEMs have been developed in such a comprehensive manner at a regional scale, and the first time they've been developed for an External Affairs and a Communications Strategy. We've also completed the first comprehensive *Miradi* record for a regional program in the Conservancy, which is available on *ConPro* at (http://conpro.tnc.org/1638/).

The application of this process also provided some unexpected benefits. The process required that our regional team work closely together in a way we've never done before, and as a result we have, for the first time, become a fully integrated team that shares clarity of purpose, a means of achieving it, and a clearly articulated method for measuring our success. The process also allowed us to build on our existing strong relationship with two of the Conservancy's global teams: the Central Science and Global Marine Teams.

## 3.2 CHALLENGES & LESSONS LEARNED

Our primary challenge was the scale and complexity of our program. Two years ago, we attempted to define SEMs at the regional scale from the top down for one of our priority projects: the Coral Triangle Program (Green et al 2008). That was not successful because the sub-strategies had not been clearly defined and the linkages among them were unclear. The bottom up approach we used this time was much more successful.

Some lessons learned and recommendations for others who may be contemplating a similar process include:

1. Use the excellent tools provided by The Conservancy's Conservation Methods and Learning Team for developing SEMs. They also provide excellent training workshops, and timely and effective advice to field teams. The best place to start is the Conservation by Design Gateway (http://conserveonline.org/workspaces/cbdgateway/documents/strategy-effectiveness-measures), which provides

links to training documents and opportunities. One of the most valuable tools they provide is *Miradi*, which facilitates the process of developing and tracking SEMs using results chains.
2. It is critically important to have strong commitment from the highest levels of the program, and good technical support including: i) A measures lead to co-ordinate the technical aspects of the process; ii) Measures coaches (at least one per sub-strategy) who have recent and comprehensive training and experience in methods for developing SEMs; iii) Senior Managers who can ensure that everyone participates in the process as required; and iv) Sub-strategy leads who can lead their teams through the process (with technical support from the measures coaches).
3. It is very important to establish a planning team (including senior managers, the measure lead and coaches) to clearly define the process (with timelines), and to ensure that everyone understands their roles and responsibilities. Experienced facilitators are also necessary to facilitate workshops, and adaptively manage the process as it develops.
4. If you haven't developed SEMs before, learn the methods by completing a small case study before attempting this at a regional scale. When our initial attempt to develop SEMs for the Coral Triangle Program failed, we learned the method using a case study of one strategy at one site (Kimbe Bay Resilient MPA Network Strategy: see Green et al in prep.). Lessons learned from that process gave us the skills and confidence we needed to scale up to the regional level.
5. This process is very time consuming at a regional scale. Our process took approximately six months to complete (excluding training). This included an almost full time commitment of six months by the measures lead, in addition to one to three months full time from each of the measures coaches and planning team, at least three to six weeks full time from each sub-strategy lead, and a few days to weeks from each sub-strategy team member.
6. Since the workshops can be intense, resist the temptation to combine them with other meetings or too many sidebars!

We also recommend some further refinements to our process including:
1. Requiring that sub-strategy teams refine their strategies down to a maximum of four intermediate steps in their results chains, making it easier to combine them all into one overarching strategy.
2. Breaking the workshop into two workshops (3-4 days in each of two successive weeks, with a 2-3 day break in between). The ideal approach would be to focus on refining the sub-strategies and developing the overarching strategy in the first week, and developing the measures and monitoring plan the following week. That would allow more time to complete everything at the workshops, and provide more opportunities for peer review and cross learning.

To facilitate sharing lessons learned with others, this report and our *Miradi* file are available on *ConPro* (http://conpro.tnc.org/1638/).

## 3.3 NEXT STEPS

This document and the accompanying *Miradi* file provide an excellent framework for managing the APCR Marine Program over the next five years. In the next few months, these products will be integrated into annual work plans for all our staff, thus aligning annual performance objectives with the two priority projects and our strategy.

The APCR Marine Leadership Team will hold themselves and their staff accountable for these work plans and share responsibility for implementing our strategy as envisioned. Through this process, the leadership team will also be better able to identify and break down "silos" among sub-strategies and Operational Units, build cooperative effort, challenge staff to scale up their conservation vision and agenda, flatten Operational Unit borders to better the address the magnitude of the threats, and form a highly functioning management team to implement our Coral Triangle and Micronesia Challenge projects.

These documents also provide a useful framework for the development of priority project business plans in the near future. Through the business planning process, our strategies and measures will be subjected to a financial analysis and resource needs will be identified more accurately.

This is a "living" document that represents the first iteration of our strategy and measures for the entire APCR Marine Program, and it will be subjected to periodic review and refinement. In the next few months, the Fisheries Management and Capacity Building Sub-strategies will be further developed and refined.

Other key components that will require more work in future will be: the development of SEMs for our targets (and more threats), particularly regarding demonstrating benefits to people. A more detailed economic analysis of our return on investment is also required.

## 3.4 CONCLUSIONS

With the completion of this process, we stand ready to embark on the implementation of an integrated APCR Marine Program Strategy that fully supports our myriad of partners in achieving their ambitious commitments made through the Coral Triangle Initiative and the Micronesia Challenge.

We are also starting to see the benefits of a more integrated regional marine team, which is already starting to perform as a highly functioning management team for the Coral Triangle and Micronesia Challenge priority projects.

With these pieces in place, we can now significantly enhance our conservation and operational effectiveness and impact across the region. As we set out into our third decade of marine conservation in APCR, we are on course to achieve tangible, quantifiable and lasting results at a regional scale.

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# APPENDICES

## APPENDIX 1. KEY CONTRIBUTORS & THEIR ROLE

| Contributors | Planning Team, Facilitators & Measures Coaches | Marine Protected Areas Sub-strategy | Fisheries Management Sub-strategy | Ecosystem Based Adaptation Sub-strategy | External Affairs Sub-strategy | Communications Sub-strategy | Capacity Building Sub-strategy | Operational Units: Lead & Measures Lead |
|---|---|---|---|---|---|---|---|---|
| Abdul Halim | | | Team Member | | Team Member | | | Indonesia Lead |
| Alan White | | Lead | | | Team Member | | | |
| Alison Green | Lead | Team Member | Measures Coach | Team Member | | | | |
| Amy Bruno | | | | | | Team Member | | |
| Andrew Smith | | Team Member | Lead | Team Member | | | | |
| Annick Cros | Measures Coach | Measures Coach | | Measures Coach | | Measures Coach/Team Member | Measures Coach | |
| Audrey Newman | Facilitator | | | | | | | |
| Barbara Masike | | Team Member | | | Team Member | Team Member | | |
| Bill Raynor | Lead | | | | | | | |
| Carmen Revenga | | | Team Member | | | | | |
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| Lizzie McLeod | | | | Team Member | | | | |
| Emily Tibbott | | | | | Team Member | | | |
| Eny Buchary | | | Team Member | | | | | |
| Fitri Lubis | Team Member | | | | | | | |
| Gerald Miles | | | | | Lead | | | |
| Gondan Renosari | | Team Member | | | Team Member | | | |
| Imen Meliane | | | | Team Member | | | | |
| Imran Amin | | | Team Member | | | | | |

| Contributors | Planning Team, Facilitators & Measures Coaches | Marine Protected Areas Sub-strategy | Fisheries Management Sub-strategy | Ecosystem Based Adaptation Sub-strategy | External Affairs Sub-strategy | Communications Sub-strategy | Capacity Building Sub-strategy | Operational Units: Lead & Measures Lead |
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| Joanne Wilson | | Team Member | | Team Member | | | | Indonesia Measures Lead |
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| Laura Whitford | Measures Coach | | Team Member | | Measures Coach/Team Member | Measures Coach/Team Member | | |
| Lorraine Rdiall | | | | | | Team Member | | |
| Matthew Durnin | Measures Coach | Measures Coach | | Measures Coach | | | | |
| Mauricio Castro Schmitz | Lead | Measures Coach | Measures Coach | Measures Coach | Measures Coach | Measures Coach | Measures Coach | |
| Mike Beck | | Team Member | | | | | | |
| Natalie Holland | Measures Coach | | | | | | Measures Coach | |
| Nate Peterson | | Team Member | | | | | | |
| Nina Hadley | Measures Coach | | | | | Measures Coach | Measures Coach/Team Member | |
| Olivia Millard | | | | | | | Lead | |
| Paul Lokani | | Team Member | Team Member | Team Member | Team Member | | | Papua New Guinea Lead |
| Peter Ramohia | | | Team Member | | | | | |
| Rick Hamilton | | Team Member | | Team Member | | | | Melanesia Measures Lead |
| Ricky Carl | | | | | Team Member | | | |
| Rili Djohani | | Team Member | | | Team Member | | | |

| Contributors | Planning Team, Facilitators & Measures Coaches | Marine Protected Areas Sub-strategy | Fisheries Management Sub-strategy | Ecosystem Based Adaptation Sub-strategy | External Affairs Sub-strategy | Communications Sub-strategy | Capacity Building Sub-strategy | Operational Units: Lead & Measures Lead |
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| Willie Atu | | | | | Team Member | | | Solomon Islands Lead |

# APPENDIX 2. NARRATIVES FOR SUB-STRATEGIES

Here we present narrative descriptions of the six sub-strategies presented in Figures 3-6. These narratives explain the intermediate steps in each sub-strategy in more detail, where the numbers cited refer to the numbers of the intermediate results in the results chains.

## *Marine Protected Areas*

The Marine Protected Area Sub-strategy (Figure 3) has three sets of results at three scales that are interactive and supportive of each other. The three result tracks are: 1) results that achieve objectives at demonstration sites with partners; 2) results that disseminate lessons learned and tools at the national level through and with partners to leverage the MPA work of TNC; and 3) results that initiate work at the regional scale in the Coral Triangle to work towards a regional MPA system design.

The first result set starts with Result 1.01 to determine gaps in technical and institutional capacity at the demonstration site level to accomplish effective management, which is a prerequisite to Result 1.02 where partner capacity building initiatives are designed and implemented. With capacity building initiated, Result 1.03 establishes a review process to assess management effectiveness at demonstration sites as a means to improve management sustainability and further determine capacity building needs. Result 1.03 also allows site partners to adopt a MPA management effectiveness system so that site learning and capacity is enhanced over the long term. This process enables Result 1.04 where TNC finalizes site transition plans and which makes Result 1.07 possible, whereby demonstration sites are managed effectively by partners. This in turn leads to resilient MPA networks beyond demonstration sites (Result 1.12) and leads directly to threat reduction and benefits to people.

The 2nd set of results at the national level to leverage the work of TNC begins with partner capacity building initiatives implemented (Result 1.02) which flows into Result 1.05 when monitoring protocols to measure effectiveness and track progress are adopted by local and national institutions and various partners. Result 1.05 is a prerequisite for management effectiveness tools and lessons learned applied at partner sites (Result 1.06), which in turn leads to sites managed effectively by partners (Result 1.07). Result 1.02 also supports resilient (ecological and social) MPA network design at national and sub-national levels where TNC works (Result 1.08), which is a prerequisite for Result 1.10 where resilient networks of MPAs are implemented at the national and sub-national scales. This results track leads to leverage for TNC work at the national scale, and contributes to regional threat reductions and achieving targets beyond TNC demonstration sites.

The 3rd set of results occurs at a regional scale: Result 1.09 to develop a regional Coral Triangle system design that includes the principles of resilience depends on Result 1.02 (partner capacity building initiated) and Result 1.08 (MPA network design developed and endorsed at sub-national and national scales).

***Critical Results Summarized***

1. Capacity building initiatives designed and implemented with partners to address planning, technical and institutional gaps for target sites and national policy development (identified in transition and other strategic plans).
2. Hurdles and solutions to effectively implement resilient MPAs/networks identified and demonstrated at multiple scales.
3. Management effectiveness demonstrated and measured at TNC supported and partner sites.
4. Management effectiveness tools and lessons learned, disseminated and applied at partner sites
5. Monitoring programs in place to measure effectiveness and track progress towards achieving goals of CTI and MC.

***Links to Other Sub-strategies***

1. *Fisheries Management*: Knowledge and training to apply EAF to complement MPAs.

2. *Capacity Building*: Support design and implementation of strategic learning initiative with and for partners.
3. *Ecosystem-Based Adaptation*: Guidelines/tools for resilient design, climate resilient strategies in MPA management plans; local technical capacity provided.
4. *Communications*: Attitude changes and key audiences compelled to act.
5. *External Affairs (Policy, Sustainable Finance and Public Funding)*: Sufficient political will and effective governance and financial support at required levels for design and implementation.

## *Fisheries Management*

The Fisheries Management Sub-strategy (Figure 3) is focused on improving the effectiveness and sustainability of coastal fisheries management through the incorporation and application of an Ecosystem Approach to Fisheries (EAF). The focus is on coastal (nearshore) fisheries management, with an emphasis on subsistence and artisanal/small scale fisheries (which includes coastal pelagics as appropriate). The intent is to maximize leverage by strategically engaging at the regional level, while supporting the OU teams' implementation through partners at the national and local levels.

Of primary importance will be the establishment and maintenance of key strategic partnerships (2.01). We will not be a 'fisheries management agency' but operate through fostering partnerships and networks, building alliances among communities, institutions, organizations and agencies, to catalyze action and develop the approaches and tools to support the application and operation of EAF. Building the capacity of our fisheries management partners—government and community—will be fundamental to achieving our goal.

We will work with partners to develop and disseminate EAF approaches, guidelines, measures and tools suitable for the circumstances found in AP coastal fisheries (2.02). This addresses a key regional need to understand how to apply and make EAF operational. This will include the integration of the Ecosystem Based Adaptation Sub-strategy toolbox outputs, as well as the social and economic factors relevant to the effective implementation of EAF-based management. These products will be used to develop a range of appropriate and practical EAF training modules, to be developed and delivered through and by existing learning institutions and networks.

There will be a focus on integrating fisheries with MPAs to ensure MPAs are more effective with respect to fisheries management—including local community-based management—while also ensuring the development of the complementary broader fisheries management frameworks within which MPAs sit (2.03). EAF principles and practices will be incorporated into MPA and MPA network design and implementation, and CAP and community engagement approaches at TNC supported MPAs or MPA networks.

We will work with the respective governments and fisheries agencies (national and/or provincial/state) to promote the inclusion of core EAF principles into fisheries policies and/or legislation (2.04). A number of opportunities currently exist within the APCR as at least two national fisheries acts are in the process of being revised. Understanding the implications of climate change, and especially EBA, for fisheries policy and ensuring these issues are considered in any policy changes will be addressed.

Demonstrating how the EAF principles can be successfully applied to the management of coastal fisheries in the Coral Triangle and Micronesia Challenge regions will be essential to this sub-strategy (2.05). We will work with and through partners to demonstrate the 'proof of concept' for a range of fisheries. This will include at least two community-based fisheries managed under EAF principles; at least two coastal fisheries managed within the framework of multiple-use MPA/MPA networks; at least one coastal fishery managed beyond MPAs, such as a province-wide fishery; and engagement with at least one the private sector fisheries partner. The EAF management effectiveness measures developed with our partners as part of this sub-strategy (2.02) will be used to assess whether or not these demonstration fisheries are being effectively managed.

The AP Fisheries Management Sub-strategy will initially maintain a strategic focus on a limited number of key specific issues/actions within the Micronesia Challenge and Coral Triangle until internal resources and

capacity increase. Through working with regional partners we will be able to obtain greater leverage from the critical results shown in the results chain.

## *Ecosystem-Based Adaptation*

The Ecosystem-Based Adaptation Sub-strategy comprises six steps (Figure 3):

*3.01 Methods developed to measure the role of ecosystem services in reducing human vulnerability to climate change while maintaining ecosystem services (R&D science and socioeconomics):* We will demonstrate how to maintain the resilience of ecosystem services and their role in reducing human vulnerability to climate change. By 2011, we will complete this for pilot sites in Choiseul Province, Solomon Islands and Manus in Papua New Guinea, and will document this to guide applications elsewhere. Also by 2011, we will refine sea level rise models for local applications; and by 2013, with science partners, will have developed methods to assess ocean acidification and expand our resilience principles to address this.

*3.02 Pilot projects yield toolbox of practical EBA actions:* By 2015, we will have completed vulnerability assessments and developed EBA strategies that address governance, social, and environmental issues, developed and initiated implementation in at least four proof of concept sites, including two in Melanesia, one in Micronesia and one in Indonesia. We will monitor and document our progress, capturing lessons learned to share across the Conservancy, including the process to link EBA at local level to government at multiple levels.

By 2012, we will compile our lessons learned from completed pilot projects and science and local knowledge into an EBA toolbox developed for use by TNC and partners. The toolbox with include EBA responses to address governance, social, and environmental issues, tools to link policy with practice, and case studies and other communications and awareness materials. We will refine the toolbox annually, pulling in new knowledge and experience from work at additional sites, scales, and cultural/political contexts.

*3.03 Methods developed to integrate EBA actions into planning processes:* We will work with Central Science staff and partners to integrate EBA more fully into conservation planning processes, achieving by 2013 inclusion of EBA into the CAP process, modification of Miradi software to incorporate EBA principles, and training for CAP coaches in the CT/MC on integration of EBA into community planning processes.

3.05 *Communities and governments beyond pilot sites have better understanding of climate change impacts and how EBA can help them adapt:* To improve understanding of climate change impacts and the role that EBA can play in helping people adapt beyond the areas we work, we will work to achieve incorporation of EBA into development policies and programs by 2015 in at least 10 community-based conservation management plans, two provincial sustainable development plans, and one national sectoral plan (conservation, fisheries, or development), in Papua New Guinea, Solomon Islands, Indonesia, Palau, Federated States of Micronesia, and the Republic of the Marshall Islands, and contributions to a regional EBA plan for the CTI.

*1.05, 2.05, 3.06 EBA, MPAs and fisheries management implemented by people and governments throughout CT and MC:* By 2015, we will assist partners to integrate EBA into protected area management plans in at least 10 MC and 10 CT sites, aiming for the completion of five management plans incorporating EBA by 2011, seven more by 2013 and an additional eight by 2015.

***Threat abatement (resilience to climate change): people's responses to climate change impacts don't harm critical habitats (3.3):*** In building social and environmental resilience to climate change, we will reduce the risk that people's responses to climate change are harmful to critical habitats. This is a new area for us. We will start by engaging social science support to develop appropriate measures and approaches to demonstrate that coastal communities have increased their resilience to climate change impacts through EBA actions. We will also ensure that the 10 MC and 10 CT protected area management plans referred to above include EBA actions that address food and water sources, livelihoods/income sources, cultural issues, and governance.

## *External Affairs (Policy, Sustainable Finance & Public Funding)*

The External Affairs Sub-strategy comprises 14 steps (Figure 4):

*4.01. Seamless government relations team operating throughout the APCR:* The success of our sub-strategy depends on having a well-coordinated External Affairs (XA) team, which is able to operate 'seamlessly'. This result requires Capacity Building input, to create and mainstream opportunities for sharing of lessons and experience between staff working on XA at a country program or regional level, and International Government Relations and Global Marine Team staff.

*4.02. Policy framework (CTI and MC) in place that links conservation with development and climate change across countries:* This result is also a foundation for the remainder of the sub-strategy, and is to some extent, historical; political commitment to both sub-strategies has already been declared, and opportunities exist to 'populate' these frameworks with activities that demonstrate conservation that integrates development and climate change responses, across national boundaries. An important component of this result is ongoing engagement of political leaders, to ensure that momentum around the MC and CTI is not lost through changes in leadership.

*4.03. Necessary governance and legal arrangements are in place to support MC/CTI policy framework/initiative:* For the MC and CTI to operate effectively, they need adequate governance frameworks in place, supporting coordination (e.g. secretariat) or financing. In the CT, this means supporting the establishment of a permanent secretariat, while in the MC, the focus is on finalising the MC business plan.

*4.04. Financial plans in place within MC and CT:* A financial plan needs to be developed for implementation of the CT and MC, which determines the costs of sustainably financing conservation, while identifying the financial mechanisms to support this activity.

*4.05. Trustworthy, accountable institutions for disbursing funds in sustainable manner in place:* An important component of the sustainable finance work is the establishment or engagement of institutions which can be entrusted with disbursing funds, both public and private. The Micronesia Conservation Trust (MCT) fulfils this role for the MC, and discussions are currently underway as to whether the Mama Graun Conservation Trust Fund (MGCTF) or another institution can take on a similar role for the CT. Once such institutions are in place, international donors may feel more comfortable providing funds to a regional initiative, as they help solve a problem of where to store funds that are intended to be shared across nations, and also to make sure that funds are spent in an accountable manner.

*4.06. Conservation activity is mainstreamed and funded throughout MC/CT national development plans:* An indication of whether a country prioritises conservation is if it is incorporated into national planning processes, and funded out of the national budget. This is the primary objective of the External Affairs Sub-strategy (Policy, Sustainable Finance & Public Funding).

*4.07. Well-coordinated conversations with internal TNC, government officials (including central planning/finance ministries), development partners and donors:* This result highlights the need to develop Country Program and regional Government Relations strategies, which outline engagement with government and other partners at local, national, regional and global levels, as well as points of connection with the other Government Relations teams and strategies. It also entails systematic engagement of development partners through a scoping process, based on recognition of the need to improve TNC's ability to frame conservation in a way that is relevant to government and civil society interests.

*4.08. Funding of pilot projects provided:* Seed, or catalytic, funding may need to be obtained in order to commence work on pilot conservation projects, while providing a platform for relationship building with a public donor (such as Australia in the case of the AusAID adaptation project).

*4.09. Strong demonstration of role of conservation in development/climate change responses:* The concrete demonstration from EBA, MPAs and Fisheries Management creates substance with which the XA team can continue to engage government partners, and represents the 'proof of concept' for the joint achievement of conservation, development and climate change goals.

*4.10. Champions take forward message at higher scale:* This focuses on identifying and cultivating potential 'champions'; that is, key individuals with influence who can be personally engaged on an issue, and can go on to take a leading role in promoting and supporting this cause. The importance of champions in the evolution of the Micronesia Challenge and Coral Triangle Initiative cannot be underestimated; without the key figures of then President of Palau, Tommy Remengesau Jnr, and President of Indonesia, Susilo Bambang Yudhoyono, these initiatives may never have been realised.

*4.11. Endorsement within global development and climate change policies of EBA, Fisheries Management and MPAs as strategies to help people through conservation of ecosystem services:* After having developed strong relationships based on trust with both MC/CT and international governments, it is possible to leverage these relationships on a global scale, by engaging with these groups in the context of international negotiations around conventions including the Convention on Biological Diversity (CBD) and the United Nations Framework Convention on Climate Change. For example, TNC successfully engaged with several MC governments in order to ensure that reference to EBA was included within the United Nations Framework Convention on Climate Change negotiating text in the lead up to COP15 in Copenhagen. Similar to the CTI and the MC themselves, these conventions provide a mechanism to increase the potential scope and scale of conservation and climate change action, in a way that is not restricted by national boundaries.

*4.12. EBA, MPAs and Fisheries Management funded through bilateral and multilateral sources under the umbrella of development and adaptation:* MC and CT governments request this kind of support from both international governments through bilateral deals and also from multilateral organisations such as the Global Environment Facility (GEF), the World Bank (WB) and the Asian Development Bank (ADB). It is important to note that although this will lead to an increase in funding flows for the kind of conservation activity that TNC may encourage, TNC does not necessarily benefit financially from these exchanges.

*4.13. Funding provided to MC and CT:* Not only does this funding provide direct support for conservation on the ground, but it also acts as 'glue' in holding the CTI and MC together, providing an impetus for ongoing engagement by countries.

*4.14. Enabling policy in place to support conservation:* A basic policy or legislative framework may be necessary before work on EBA, MPAs or Fisheries Management can commence.

***Links to OUs:*** The effectiveness of this sub-strategy is premised on a seamless connection between XA team operating at the Country Program level, as well as regionally and globally.

***Links to Other Sub-strategies:*** It will be necessary to have support from the Capacity Building Sub-strategy in order to realise a seamless XA team operating throughout the APCR. Although there are already good connections taking place between XA staff working in different parts of the region and at different levels (local, regional and global), it would be beneficial to formalise these connections into a system of sharing lessons and experience between staff members, perhaps through a regular exchange and/or training program.

The involvement of the Communications Sub-strategy is important at several points throughout this sub-strategy, and helps to ensure that communications with key government and other partners are consistent and in-line with broader TNC messages. The Communications Sub-strategy also helps to ensure that TNC is considered by 'trusted advisor' by key partners, which is fundamental to achieving many of our results.

The key point of intersection with Fisheries Management, EBA and MPAs other sub-strategies is in demonstrating the role of conservation in development/climate change responses. Our sub-strategy is also important in helping create the enabling policy for these other sub-strategies to occur.

## *Communications*

The Communications Sub-strategy comprises eight steps (Figure 5). The first component focuses on building an *Enabling Foundation*, which requires consolidating the first four steps (5.01, 5.02, 5.03 and 5.04) before a communications strategic plan can be completed and implemented.

*5.01 Communications group is coordinated:* This result is about determining who does what on our AP Marine Communications Team (APMCT) based on the recommendations and direction provided by the AP Communications Fellowship/Senior leadership, and creating a communications protocol on how information is shared within the greater AP Marine Communications Working Group (APMCWG). This is especially important in order for us to better manage crisis situations. This result also has to do with putting mechanisms in place to ensure coordination with other TNC teams, to ensure that the APMCWG is integrated with other teams around TNC – including, but not exclusive of, APCR Marine Leadership Team, APCR Marine OUs and XA staff, Philanthropy staff in the US, Australia and Hong Kong, TNC leadership, Global Marine Team, Board/APCR Council, etc.

*5.02 Priority audiences are agreed upon:* This result addresses the need for a decision to be made by our Regional/Programmatic/Communications leads on who we are going to target with our communications efforts - and who we will not. Decisions need to be supported via taking action on changing people's work plans, in the long term.

*5.03 Clear, consistent and compelling messaging created:* Core messages will be 'owned' by AP Marine Communications Leads. These messages will be used and supported by the APMCWG. Messages will then be adapted to specific audiences and in order to do so, we will also need to tap into our key informants (i.e. regional and OU staff and in some cases partners who knows the audiences best), to ensure we are communicating what the audience wants to hear and in a way that resonates with them to take action. Once our messaging is created or adapted, we must then review places where existing messaging is already in use. This will require a full examination of all materials – identify what materials are out there, is messaging up to date, is the tool still effective or should it be replaced with something else, etc. This is to ensure that any and all materials/correspondence/reports that we, as APMCT, are privy to, contain accurate information. In addition, the APMCWG will work with leaders and program staff to highlight the importance of consistent messaging in their day to day personal communications with a variety of audiences – i.e. it's not just about using the materials, but about changing how we talk about our work.

*5.04 Key TNC staff and partners identified and trained (training funding available):* This result is about identifying key TNC staff as spokespersons, and about identifying and building new strategic relationships with partners to help communicate messaging and investing in existing partnerships to help partners communicate more effectively (e.g. CTI secretariat and MC Communications). There are two components of training; one is about how to use and deliver the messages and the other is about enhancing the communications skills of our key staff and partners for example through media training, presentation skills, etc.

*5.05 Communications plans developed:* An umbrella communications plan for CT and MC will ensure that we are strategic rather than just opportunistic in our communications approaches. Specific communications plans will also be developed as needed i.e. in response to issues, strategic opportunities that arise, etc. In-country communications channels are identified and used (might be different in PNG, for e.g. than in US), materials can be produced as needed for specific audiences (funding available), solution to sharing information to public audiences reached (e.g. nature.org for non-us donors), new partnerships with communications capable partners established, barriers between AP Marine Communications/AP Leaders and fundraisers dissolved. We will then be able to be proactive as we look for opportunities to communicate our work/look for funds, etc.

*5.06 Effective, proactive messages delivered through targeted channels:* This result is about the implementation of the communications plan(s) in a proactive way, and creating/using an existing data hub to ensure all internal audiences have the same, current information. This result is about doing away with one-off communications, and really beginning to build ongoing relationships with our audiences to achieve our goals. If the distribution channels we have identified are the right ones for the audiences we are trying to target, then

they will have received the messaging. As part of adaptive communications, there is an adaptive/feedback loop at various points of the results chain where we will ask our key informants whether or not the audience found the messaging compelling and was it delivered through the appropriate medium? If messaging is consistent, compelling and delivered repeatedly through the appropriate channels, it will contribute to the following two results.

*5.07 TNC is recognized as a leader/trusted partner:* The consistent delivery of messages that align well with partners/audiences' goals will contribute to shaping their perception of TNC as a trusted leader/partner. This is about understanding our audience and crafting messaging for that audience in an effective and compelling way.

*5.08 Changes in knowledge, attitudes and behaviors in key audiences compelling people to act:* This result is what we have been working towards. If we get to this step, and our audience's knowledge, attitudes and behaviors have been sustained or changed for the better as a result of our messaging, then this is success. This is where our target audience is taking action in the way we intended for example private donors increasing their philanthropic investments, legislation in support of conservation passed by governments, etc.

## *Capacity Building*

*6.01 – 6.06: Capacity-Building Sub-strategy defined:* The success of this sub-strategy (Figure 6) will hinge on its having a strong foundation. The early stages of strategy development will require that we identify key needs, partners, audiences, and learning leaders; identify what capacity-building initiatives are already underway that we can build on or enhance; and identify gaps that our sub-strategy should endeavour to fill. We will also actively learn from the experiences of past capacity-building initiatives in the region. Once that baseline information is assembled, we can set about creating or identifying the needed capacity-building tools, and appropriate delivery mechanisms. Steps 6.01 through 6.06 illustrate this foundation-building phase.

[**Link from Conservation Sub-strategies:** 1.01 (MPAs) Gaps in technical and institutional capacity to accomplish effective management identified. These gaps, once identified, will help shape TNC initiatives.]

*6.07: Capacity-Building Sub-strategy implemented:* Once key needs, audiences, etc. are identified and a work plan is developed, we will begin implementation of the strategy.

*6.08 – 6.09: Skills improved:* This is the heart of this sub-strategy. Through trainings, learning networks (also called communities of practice), academic curricula, on-line resources, and additional means yet to be identified, TNC and its partners will build the skills of a) TNC staff who will play a role in building capacity onward; b) partners identified by TNC as having important roles in conservation at sites and in the region, and c) the conservation sector across the region.

[**Links from three Conservation Sub-strategies:** 1.02 (MPAs): Partners' capacity-building initiatives implemented; 2.02 EAF principles, tools and guidelines developed; 3.02 Pilot projects yield toolbox of practical EBA actions that communities can use to implement EBA. These tools and activities will be disseminated through appropriate delivery mechanisms to improve the skills of TNC staff, partners, and the conservation sector.]

[**Links to Conservation Sub-strategies** 2.03: EAF applied to multiple-use MPAs and community MMAs. When practitioners' EAF skills are improved via learning delivery mechanisms such as trainings, curricula, networks, EAF will be applied to MPAs and MMAs as intended.]

*6.12: TNC staff have the right skills to build partner capacity:* This intermediate result focuses on site-based and OU staff who are on the front lines for the goal of having partners leading at all sites by 2015. We must build our staff's capacity so that they can build capacity onward in our partners. To ensure that partners are getting the right help at the right time, TNC staff will need to build skills in organizational effectiveness and institutional capacity building. These staff will continue to need technical skills while also employing good tacit skills such as negotiation, conflict management, and facilitation.

[**Links to Conservation Sub-strategies** 1.04: TNC transitioned from sites. 1.04 then links to 1.07, sites managed effectively by partners.]

*6.10: Strong leaders:* Effective conservation begins with strong leadership at the community, organizational and political level. Initiatives that focus on strong leadership will likely include Leadership Learning Networks akin to the Micronesians in Island Conservation network, through which both tacit and technical skills can be introduced and reinforced.

*6.11: Strong local organizations:* A strong, sustainable local entity is critical to the sustainability of conservation in a place. What kind of entity this is will vary from place to place; in some places it might be an NGO, others a community forum, in still others it may be a government agency. Initiatives to support development of strong local entities will thus need to be tailored to local needs and custom.

[**Links to three Conservation Sub-strategies**: 1.07 (MPAs) Sites managed effectively by partners; 2.05 EAF successfully applied to the management of at least 6 coastal fisheries in CT and MC; 3.03 Method developed (e.g. decision support tools, policy instruments) to integrate EBA actions into planning processes at multiple scales. Strong local partners will be able to successfully implement conservation initiatives.]

*6.13: Effective partners leading conservation:* Our goal for 2015 explicitly envisions TNC's partners (those NGOs, communities and companies with whom we have a relationship) leading conservation at sites. This result simply recognizes that goal.

*6.14: Communities, organizations, leaders and governments have tools, skills, resources:* The APCR's New Direction & Approach calls for TNC to play a catalytic role, to help conservation practice improve across the region even in places where TNC is not present. To achieve this, TNC will work with capacity-building partners to embed conservation tools and methodologies into trainings, curricula and other learning opportunities that have broad reach. Learning networks will help reinforce and further disseminate conservation know-how.

*6.15: Empowered communities:* Communities that do not embrace conservation outcomes or understand the importance of conservation to their future well-being, and communities that are not able to take ownership of their futures, are very poor targets for conservation action. To be truly sustainable, conservation must become part of a community's culture, and communities must know how to pursue the goals that they have identified as important. TNC will support communities by linking their leaders through leadership networks, so that those leaders in turn can help their communities establish common goals, and establish and protect their rights to the natural resources that sustain them.

*6.16 – 6.18: The National Coordinating Committees (NCCs) strategy:* This relatively independent strategy focuses on the CTI. A successful CTI Secretariat requires effective NCCs that are collaborating on CTI governance. TNC can play a role in ensuring this success by supporting those TNC staff who work with their country's NCCs. To do so, we will build both tacit and government relations skills in those staff, and will link those staff so that they can coordinate efforts across geographies and learn from each other's experiences.

[**Links to External Affairs Sub-strategy** 4.01: Seamless government relations team operating throughout the APCR. The Capacity Building Sub-strategy will include approaches for helping the XA team across the region integrate more effectively while also building team-members' skills. As a subset of this part of the strategy, particular attention will be paid to staff who are working with NCCs in their country, as described above.]

*6.19: Conservation implementation capacity increased:* This outcome represents the culmination of all of our efforts across the audiences identified above: partners, communities, organizations, leaders, governments, and multi-country initiative secretariats.

# APPENDIX 3. GLOSSARY

## *Terms*

*Conceptual model* is a diagram of a set of relationships between certain factors that are believed to impact or lead to a conservation target (definition from *Miradi*).

*ConPro* is a searchable repository of conservation projects of the Conservancy and partners (http://conpro.tnc.org/).

*Ecosystem-based adaptation* is the use of biodiversity and ecosystem services as part of an overall adaptation strategy to help people adapt to the adverse effects of climate change (IUCN 2009).

*Indicators* are measurable entities related to specific information needs (e.g. the status of a key ecological attribute, change in a threat, or progress towards an objective: TNC 2007).

*Measures coaches* are people with training and experience in developing SEMs.

*Miradi* is a new CAP-compatible tool that facilitates the process of developing and tracking Strategy Effectiveness Measures using results chains (www.miradi.org).

*Results chains* are a sequence of linked factors in a diagram, which show the expected outcomes from the implementation of a strategy (definition from *Miradi*).

*Strategy effectiveness measures* focus on questions related to how well our strategies and actions are achieving their desired impacts (TNC 2008).

*Tacit skills* include negotiation, conflict management, and facilitation skills.

*Viability* is the status or "health" of a population of a specific plant or animal species (TNC 2007).

## *Abbreviations*

ADB = Asian Development Bank
APCR = Asia Pacific Conservation Region
APMCT = Asia Pacific Marine Communications Team
CAP = Conservation Action Planning
CC = Climate change
Comms. = Communications
CT = Coral Triangle
CTI = Coral Triangle Initiative
CT6 = Six Coral Triangle Countries: Indonesia, Papua New Guinea, Solomon Islands, Philippines, Timor Leste and Malaysia.
EAF = Ecosystem Approach to Fisheries
EBA = Ecosystem Based Adaptation
GEF = Global Environment Facility
MARXAN = Marine reserve design software
MC = Micronesia Challenge
MCT = Micronesia Conservation Trust
ME = Management Effectiveness
MGCTF = Mama Graun Conservation Trust Fund
MMA = Marine Managed Area
MPA = Marine Protected Area
MPAME = Marine Protected Area Management Effectiveness tools
NCC = National Co-ordinating Committee, Coral Triangle Initiative
NGO = Non-governmental Organization
NPoA = National Plan of Action, Coral Triangle Initiative
OU = Operational Unit (Micronesia, Indonesia, Papua New Guinea and the Solomon Islands)
RPoA = Regional Plan of Action, Coral Triangle Initiative
R&D = Research & Development
SEMs = Strategy Effectiveness Measures
SMART = Specific, measurable, achievable, realistic and time defined (Govan et al 2008).
TNC = The Nature Conservancy
WB = World Bank
WG = Working Group
XA = External Affairs


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