CORAL REEF MANAGEMENT CAPACITY ASSESSMENT Methodology

PREPARED FOR:

NOAA's Coral Reef Conservation Program Partnership,
POCs, Members of the J-CATs & NOAA Liaisons

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Table of Contents

Acknowledgements

We acknowledge the many contributions of all those who participated in the process of assembling the draft methodology document in July 2010 that provided the foundation for this document. We also thank the many people involved in the set of three "Kickoff" phone conversations for the Capacity Assessment process. Specifically, we acknowledge the involvement of Takiora Ingram and the Points of Contact for the All Islands Committee including Fran Castro, Lelei Peau, Risa Minato, Petra McGowen, Hideyo Hattori, Evangeline Lujan, Joseph Cameron, Damaris Delgado Lopez, Paige Rothenberger, and Joanna Walczak as well as NOAA CRCP staff Tracy Parsons, Anita Pritchett, Dana Wusinich-Mendez, Kathy Chaston, Mike Lameier, Steve Frano, Fatima Sauafea-Leau, Adrienne Loerzel, Valerie Brown, Dana Okano, Steve McKagan, Antares Ramos, Kurtis Gregg, Lia Ortiz, Jocelyn Karazsia and Marlon Hibbert.

The concepts and methods described in this document have evolved over many years and benefited from the ideas, experience and wisdom of many people, from scientists to spiritual leaders, from policy makers to practitioners. This document is a product of continued learning, based upon the art of convening. Our goal is to improve our understanding and practice of the ecosystem approach by creating authentic engagement in meetings, gatherings and conversations. Since the ultimate objective of this assessment is to increase capacity for stewardship of coral reefs, we firmly believe the approach must integrate across sectors, social structures, and disciplines and take on a systems view that incorporates biophysical and social dimensions. We call this integrated approach the ecosystem approach. It is neither easy nor inexpensive to practice and requires continued investments in capacity building. The methods proposed in this document draw from the work of Stephen B. Olsen, Director of the Coastal Resources Center at the University of Rhode Island, a key author of *Increasing Capacity for Stewardship of Oceans and Coasts* (National Research Council 2008) and the lead advisor of our consultant team. We have integrated methods and lessons learned from the fields of needs assessment for social interventions, capacity assessment practice and theory in the context of international development as well as complexity concepts drawn from ecosystem science. Because the methods are a composite of elements from a wide range of disciplines, they are experimental, and will be customized for each jurisdiction to match the context and capacity of the situation. In particular, we would like to acknowledge the following outstanding documents that have provided us with ideas and insights for developing the methodology for this assessment: "Needs Assessment Kit" by Altschuld and Kumar (2010), Michael Quinn Patton's "Developmental Evaluation" (2011), UNDP Capacity Assessment Practice Note (2008) and IUCN Capacity Needs Assessment Process (2009). The preparation of this methodological guide is supported by NOAA.

Glossary

Adaptive Management: A central feature of the practice of any form of ecosystem-based management is that it must respond positively to changing conditions and to its own experience. In other words, the practice of coral reef management must be grounded in a process of learning and adaptation. Adaptive management is not reactive management whereby the practitioner simply responds to the unexpected. It is rather a conscious process of examining the course of events as they unfold at larger, or smaller, spatial and temporal scales, and being cognizant of future projections and developing adaptation options in consideration of these dynamics. In other words, in the face of uncertainty, this includes being able to change or redirect decision-making based on the evolving outcomes

Actions: Projects, procedures or techniques intended to implement an objective as defined in the priority setting documents.

Best Management Practices: Management measures or practices that are established and widely accepted as meeting the intent of coral reef conservation in a variety of disciplines (fisheries management, watershed management, biophysical monitoring, etc.)

Capacity: The overall ability of the individual or group to perform their responsibilities for coral reef management. It depends not only on the capabilities of the people (their knowledge, abilities, relationship and values), but also on the overall size of the task, the resources which are needed to perform them, and the framework within which they are discharged.

Capacity Building: Programs that are designed to strengthen the capacity (knowledge, abilities, relationship and values) to reach the goals as defined in the priority setting documents. This includes strengthening the institutions, processes, systems, and rules that influence collective and individual behavior.

Capacity Development: A widely recognized definition of capacity development was published by the United Nations Development Programme in 1997 as: "the process by which individuals, organizations, institutions and societies develop abilities (individually and collectively) to perform functions, solve problems and set and achieve objectives." We expand this definition to put greater emphasis on the strategic role of a facilitator in helping this process in an uncertain and changing environment. Our suggested definition is: "Externally or internally initiated processes designed to help individuals and groups to manage coral reefs and to enhance their abilities to identify and meet coral reef management challenges in a sustainable manner."

Capacity Strengthening: Capacity strengthening is part of the capacity development process and is set within a dynamic context and involves individuals, networks, organizations and even societies who have a stake in functioning coral reefs. It involves such processes as continuous learning, adaptation and innovation in dealing with unanticipated problems or issues. A central feature of capacity strengthening is assessing and reacting to current and future needs in order to improve the ability to learn and solve problems in the long-term.

Commitment: In the case of coral reef management and governance, commitment often refers to governmental commitment to the policies of a program and expressed by the delegation of the necessary authorities and the allocation of the financial resources required for long-term program implementation. When commitment is used in a different context it will be defined.

Conservation Action Plans (CAPs): The Nature Conservancy's process for "helping conservation practitioners develop strategies, take action, measure success, and adapt and learn over time." From Conservation Action Planning: Developing Strategies, Taking Action, and Measuring Success at Any Scale--Overview of Basic Practices. The Nature Conservancy 2005. Available in English and Spanish at:
http://conserveonline.org/workspaces/cbdgateway/cap/resources/1/TNC_CAP_Basic_Practices.pdf/download

Constituencies: While constituencies can be broadly defined, we use the word to define active support of the coral reef management program by a core group of well-informed and supportive people composed of stakeholders in the private sector, civil society and government agencies.

Coral Reef Management Priorities: Those goals and objectives that have been defined by a core group of coral reef managers and stakeholders in each of the seven jurisdictions and identified through a voting process as those that require immediate attention over the short term of 3-5 years. For the purposes of the capacity assessment, the term goals will refer to the highest-level results the jurisdiction seeks to achieve (e.g., stable, sustainable coral reef ecosystems), as articulated in the jurisdictional priority setting documents. These goals in general refer to efforts to understand and address the three major threats to reefs; impacts from climate change, fishing, and land-based sources of pollution as well as other identified jurisdictional priorities.

Coral reef resilience: According to the *Reef Resilience Toolkit* (http://www.reefresilience.org/) website, resilience is more than being able to recover from a major disturbance, surviving bleaching, or resisting bleaching. For a coral community to be resilient, it must also be able to continue to

thrive, reproduce, and compete for space and resources. For example, coral communities that have experienced bleaching but not mortality may be weakened and less able to thrive, grow, and reproduce in the competitive reef environment. Multiple factors contribute to resilient coral communities, some of them known and others to be discovered. Scientists are working to identify important factors (biological, physical and ecological) that managers can evaluate to determine the health or resilience of a coral community. It is important that managers build the capacity to be able to identify and better understand these factors, so management strategies can be focused on maintaining or restoring communities to more optimal conditions to maximize coral survival after stressful disturbances.

Core managers group: This term refers to the agencies/organizations involved in management of coral reefs in a jurisdiction not just a geographic site within a jurisdiction. Most locations have a core group like this and will be the central focus of the capacity assessment process.

Ecosystem approach: According to the COMPASS Scientific Consensus Statement, Ecosystem-based management emphasizes the protection of ecosystem structure, function and key processes; is place-based in focusing on a specific ecosystem and the range of activities affecting it; explicitly accounts for the interconnectedness among systems, such as between air, land and sea; and integrates ecological, social, economic and institutional perspectives, recognizing their strong interdependences.

Local Action Strategy (LAS): LAS's are a U.S. Coral Reef Task Force led initiative to identify and implement priority actions needed to reduce key threats to valuable coral reef resources in each U.S. coral reef jurisdiction. In 2002, the Task Force adopted the "Puerto Rico Resolution" which calls for the development of three-year LAS by each of the seven U.S. jurisdictions containing coral reefs: Florida, Puerto Rico, the U.S. Virgin Islands, Hawai'i, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. These LAS's are locally driven roadmaps for collaborative and cooperative action among federal, state, territory, and non-governmental partners.

Marine Protected Areas (MPAs): Any area of the marine environment that has been reserved by federal, state, territorial, tribal or community law, mandate, regulation or declaration to provide lasting protection for part or all of the natural and cultural resources therein.

Nested Systems: Thinking in terms of nested systems is essential because issues of coral reef management impact upon, and are impacted by, conditions and actions at both higher and lower levels in an ecosystem and governance hierarchy. Some issues of coral reef management can be addressed more

effectively at one level, and less effectively at another. The choice of the issue or set of issues to be addressed must therefore be made in full knowledge of how responsibility and decision making authority is distributed within a layered governance system. Planning and decision making at one scale, for example within a jurisdiction, should not contradict or conflict with planning and management at another – for example, at the scale of the nation. The reality is that such contradictions and conflicts are common across the world. A major challenge for the coral reef manager is to recognize these differences and work to either change them or select goals and strategies that recognize that such contradictions must be accommodated or resolved. In practical terms this means that a central feature of ecosystem approach is that all planning and decision-making must recognize and analyze conditions, issues and goals at least at the next higher level in the governance system. Thus, the ecosystem approach at the jurisdictional scale must – at a minimum – be placed within the context of governance at the smaller scale of the village or municipality while governance at the scale of a state/territory – at a minimum – be analyzed with an eye to governance at the scales of the village/municipality as well as that of the nation.

Objectives: The environmental, social, and institutional outcomes the jurisdiction must achieve to reach the end goal, generally actionable within a three to five-year time frame.

Participation: One of the defining characteristics of the practice of the ecosystem approach is its emphasis on participation and its relevance to the people affected by its practice of coral reef management. The ecosystem approach recognizes that the support of those whose collaboration is needed if a program is to be successfully implemented must be won by involving them in the processes of defining the issues that the program will address and then selecting the means by which goals and objectives will be achieved. Both individuals and members of institutions are more likely to comply with a management program when they feel that it is consistent with their values, responds to their needs and to their beliefs of how human society should function. Voluntary compliance by a supportive population lies at the heart of the successful implementation of a program. A participatory approach helps stakeholders and the public to see the efforts of a program as a whole.

Site managers: Site managers: A person or persons designated with authority to manage the marine protected area at any level be it community, agency, state or federal.

Situation Analysis: A preparatory document for the priority setting process that summarized coral reef threats, condition and trends, key management issues, and goals of management agencies.

(Key) Stakeholder: A person, group, or organization that has direct or indirect stake in an organization that is involved with managing coral reefs.

Stewardship: Where equitable and sustainable forms of development are the ultimate goals of ecosystem approach, the practices of stewardship is the path to that destination. Ecosystem stewardship is an ethic practiced by individuals, organizations, communities and societies that strive to sustain the qualities of healthy and resilient ecosystems and their associated human populations. Stewardship takes the long-term view and promotes activities that provide for the well being of both this and future generations.

Introduction

Background

Over the past three years, the NOAA Coral Reef Conservation Program (CRCP) has completed a series of steps to define what needs to be done at the national and jurisdictional levels to conserve coral reefs in the United States flagged jurisdictions (hereafter jurisdictions). The results of these processes are clearly described in the NOAA CRCP National Goals and Objectives document and the Coral Reef Management Priority documents (hereafter priority setting documents) for each of the seven jurisdictions with coral reefs (American Samoa, the Commonwealth of the Northern Mariana Islands, Florida, Guam, Hawai`i, Puerto Rico, and the US Virgin Islands). However, despite understanding what should be done, staff from the CRCP national and jurisdictional offices as well as Points of Contact (POCs) from the jurisdictions have expressed concern that the capacity to implement the necessary steps identified in these documents is variable across the jurisdictions and, in many cases, is insufficient. Because of this, CRCP has decided to follow the priority setting process with a coral reef management capacity assessment performed by an external consultant team led by SustainaMetrix. This document is intended to serve as a methodological guide for the consultant team to develop and implement methods that are customized to the unique context, scale and timing of the coral reef management capacity assessment in each of the seven jurisdictions. This document was developed with the following target objectives of the capacity needs assessment in mind:

1. To support the CRCP, state and territory governments, key partners in other federal agencies, NGOs and the academic community in addressing strategic management needs by using the priority-setting document as the "document of record" for each of the seven jurisdictions to frame the assessment process, identify gaps in management capacity and provide recommendations as to how these gaps could be addressed. The geographic priorities as defined in the some jurisdictional priority-setting document will also guide our capacity assessment strategy and planning for logistics, although we will take into account the broader scale geographies at each jurisdiction.
2. To support the state and territory coral reef management programs, the All Islands Coral Reef Committee ("AIC"), the US Coral Reef Task Force (USCRTF) and other local partners from each jurisdiction by helping them to understand and document what is needed to improve coral reef management capacity to implement the goals and objectives in the priority setting documents.

The focus is on the capacity to implement the coral reef management priorities with respect to:

Institutional and governance frameworks (e.g. legal framework/mandates and enforcement; political will; competing uses such as coastal development/tourism, fishing, etc.)
Capabilities in local strategic planning (i.e. marine, coastal and watershed spatial planning), management, enforcement, and evaluation
Staff recruitment and retention mechanisms and adequacy of local salaries
Staff leadership, training, and development needs
Technical assistance, information and data needs, equipment, and related concerns
Coordination among agencies and partners/high quality collaboration (e.g. data sharing, turf issues, conflict resolution)

The capacity to conduct coral reef management is extensive and encompasses a wide range of competencies. These can be summarized as, in no particular order of importance: *Awareness + Understanding + Skills + Attitudes/Values/Aspirations + Technology + Resources.*

In considering the breadth of the elements described above, clear boundaries and clear focus need to be set and confirmed for each jurisdiction so that the key capacities required for improved management of coral reefs are identified and prioritized. Within these boundaries, the process will be to identify capacity gaps influencing current results and desired results; prioritize the capacity gaps (capacity needs assessment); and recommend the most important capacity gaps to focus on, and how to address them. As part of this strategy, it will be essential to better understand the roles, responsibilities, missions, capabilities, and needs of selected management agencies, to identify persistent barriers and to apply a framework to assess coral reef management capacity to meet prioritized and strategic goals of each jurisdiction. While beyond the scope of contract for the capacity assessment, the goal of the consultant team is that the recommendations included in our reports are adopted by each of the seven jurisdictions and endorsed by the US Coral Reef Task Force (USCRTF) to guide the development and implementation of a capacity building action plan that fosters cooperation, program sustainability and knowledge transfer within and among the coral reef management jurisdictions to achieve prioritized goals and objectives.

Assumptions, Target Outcomes & Key Questions

Since this document will be used to guide capacity assessment work plans for each jurisdiction, project execution and project control, it is essential to document our overarching planning assumptions, target outcomes and guiding questions that will guide the project.

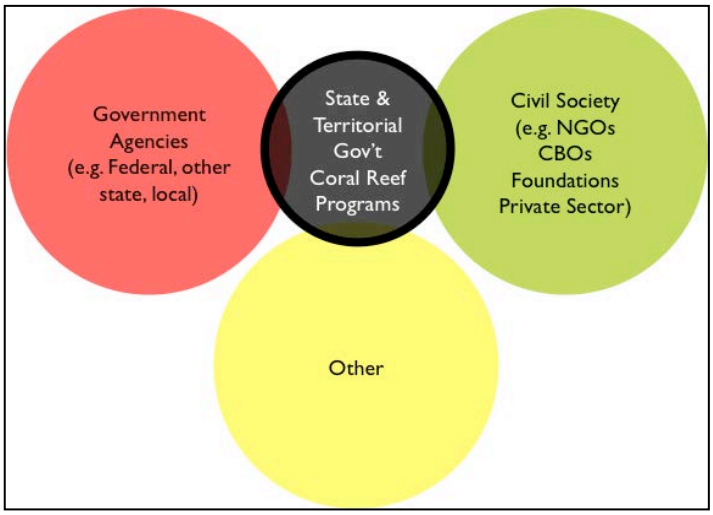
The planning assumptions include the following:

- The assessment will focus on the capacity to implement the priority goals and objectives as articulated in the most recent jurisdictional priority setting documents;
- We acknowledge that priorities change over time. While this assessment process will be based

on the Priority Goals and Objectives set forth in the priority setting documents, at each place we will be sensitive to these changes and adapt the assessment as appropriate;

- Words and phrases matter and their meaning can be different across the jurisdictions. Our work will be based on common language and a glossary of terms provided in this document. Where there is an overlap in these terms and local terminology, the glossary term will be used throughout the assessment but local terminology will be reflected in on-site meetings and report writing;

- Our primary focus is at the scale of the state and territorial government programs with the mandate for coral reef management in the jurisdictions. (Represented by circle outlined in thick black in figure below). While there may be overlap with other programs, we will secure clear consensus on those that are considered "in" the assessment and those that are tangential to it, prior to beginning the substantive work of each capacity assessment.



- While we acknowledge that the jurisdictions have varying planning time horizons, our recommendations will generally be based on an overall standard of 3 – 5 years for capacity building.

The target outcomes include the following:

Informing CRCP, state and territory governments, key partners in other federal agencies, NGOs and the academic community of coral reef management capacity gaps in each jurisdiction and enabling the coral reef management community to better understand the roles and responsibilities, missions, capabilities, and needs of selected management agencies.

For the jurisdictions and CRCP, informing a wide range of strategic decision making processes (i.e. grant-making decisions, internal funding, grant writing, networking, communicating) and making recommendations for the support of existing, and creation of new, initiatives to increase capacity.

Helping to identify mechanisms within CRCP and at the jurisdictional level to overcome or work around "persistent barriers" to improving local management capacity.

The key questions include the following:

What are the institutions (i.e. government agencies and other management entities with the mandate to manage coral reefs in the jurisdiction), that will be the focus of the capacity assessment and what is the defined scope?
What are the capacities that are necessary to effectively manage toward the goals and objectives defined in the priority setting documents?
What is the current situation regarding capacity? Who has the capacity to implement the goals and objectives as defined in the priority setting documents?
What are the gaps between what is needed and what is in place?
To what degree are the enabling conditions present *internal* to a specific agency in order to build capacity, bridge the defined gap, and address prioritized goals and objectives?
To what degree is the enabling environment present *external* to the agencies of focus (for this capacity assessment) in order to build capacity, bridge the defined gap, and address prioritized goals and objectives?
What are (or could be) the underlying causes for the existence of current gaps and to what degree have they led to persistent barriers to building needed local capacity?
What are the recommendations, and under what conditions would the recommendations be applicable, for closing capacity gaps and overcoming persistent barriers?
A final document will be prepared for each jurisdiction that summarizes the results of the assessment. A draft outline of a final document is presented in Appendix A.

Consultant Team

The project will be conducted by a team led by SustainaMetrix. For the sake of brevity in the document, when we mention "SustainaMetrix" we are generally referring to this larger team. The key members of the consultant team are:

Glenn Page – SustainaMetrix Team Lead, leads site visits, most accountable person
David Nemerson – Coordination of data gathering, management and analysis, report generation
Sarah Knapp – Data gathering for Caribbean basin jurisdictions
Meghan Gombos (Sea Change Consulting) - Data gathering for Pacific basin jurisdictions
Stephen Olsen (University of Rhode Island) - Senior Advisor

Our Approach

Our approach to assessing management capacity of coral reefs is rooted in an appreciation of the complexity and uniqueness of contexts and highly variable spatial scales across the jurisdictions. Our methods are designed to be consistent and comparable yet highly flexible in order to apply across seven very different geographies, each with its own unique historical, ecological, cultural and social context. The recommendations that come out of the assessment process will relate directly to the management and governance systems already in place in each jurisdiction and will be focused on the Strategic Management Priorities, identified stakeholders and Priority Sites articulated in each of the jurisdictional management priority-setting documents (to the extent that stakeholders and Priority Sites are identified in the documents).

As stated in the "National Goals and Objectives", the CRCP has pledged to shift away from managing individual resources to taking a more integrated ecosystem approach. The ecosystem approach recognizes that environmental issues cannot be addressed separately from the social, economic, political, and governance issues of the associated human population. It calls on practitioners to identify and promote changes in human behavior that are required to restore and sustain the desired qualities of ecosystems (UNEP/GPA 2006). Therefore, the consultant team will utilize frameworks for assessing the enabling conditions of capacity that are *internal* to a given organization that must be present to build the enabling environment that are perceived to exist *externally* to effectively manage coral reefs. In both cases, inquiry into the *internal* capacity and *external* enabling environment will focus on capacity to implement prioritized goals and objectives while using an ecosystem approach fostering adaptive management along the way (National Research Council 2008).

Analysis of Enabling Conditions

Since the ultimate goal of this exercise is to improve capacity to implement coral reef management, *capacity* is the key enabling condition that will drive our methodological framework. We use the term enabling conditions to define the core capacities *internal* to the agencies charged with coral reef management *and* the broader socio-political or "governance" framework within which the agencies exist. This is an important distinction that will guide our work, reiterated throughout this document, so that we focus on the capacities within the organizations with the mandate to manage coral reefs. The Priority Setting Documents use the more inclusive term "enabling environment" and specifically cite the work of the Coastal Resource Center at the University of Rhode Island (i.e. Stephen Olsen, senior advisor to the consultant team), which is used in these documents to describe the set of conditions *external* to the core capacities of the management agencies (e.g. local public support, adequacy of legal authorities, involvement of local nongovernmental stakeholder institutions, etc.). While the difference

may seem semantic, we believe that the *internal* enabling conditions for capacity to manage coral reefs internal to the organizations need to be examined with an understanding of the *external* enabling environment of influences out of the direct control of the individuals and organizations that have the mandate to manage coral reefs.

In this assessment, we will use the Orders of Outcomes framework (Olsen 2003; UNEP/GPA 2006; National Research Council 2008, Olsen, Page & Ochoa 2009) that define the four enabling conditions that are considered 1st Order Outcomes. We have chosen to use this framework because it allows us to analyze *internal* capacity and *external* goals, constituencies and commitment in an integrated fashion, which we feel will allow us to more accurately capture the complexities of the coral reef management system. Below is a description of the four enabling conditions (listed in **bold**) that we will analyze in these capacity assessments with a heavy emphasis on capacity *internal* to an organization of focus to manage coral reefs which require three *external* enabling conditions: clear and unambiguous goals that are shared across organizations, commitment to achieve these goals from key decision-makers at multiple scales, and a diverse, supportive and informed set of constituencies who contribute to building the political will to reach these goals for long term and effective coral reef management.

Capacity is defined below and the leading questions will guide our inquiry into the capacity that is internal to the organizations that are the subject of our capacity assessment.

Capacity: Sufficient initial capacity is present within the institutions responsible for the management of coral reefs to implement the goals and objectives outlined in the jurisdictional priority-setting document.

This includes the institutional capacity necessary to implement the adaptive, ecosystem-based approaches to coral reef management, which is typically the principal limiting factor to the program's ultimate success. A good practice is to balance the complexity of the agenda at a given stage in a program's evolution to the capacity of the institutions involved to practice ecosystem-based management. Too often, the scale and scope of nationally supported initiatives outstrips the capacity of the institutions charged with implementing and sustaining a program. This can be wasteful, counterproductive and may breed frustration and cynicism among partners and stakeholders. The capacities of program staff may require competency in conflict resolution, the ability to manage interdisciplinary teams, the design and implementation of social marketing programs, access and ability to use applied scientific information, grant writing and reporting, the oversight of discrete development projects, and the ability to evaluate the performance of contractors. The long time frames and complexities of managing coral reef ecosystems demand knowledge and skills to adapt to changing conditions and to the learning that emerges from experience.

Some of the leading questions that we will explore during our data gathering process include the following:

- What are the coordination mechanisms between agencies and partners?
- Do the institutions responsible for the coral reef management program possess the resources to build the necessary capacity to implement its plan of action?
  - Human resources (personnel including number, brief job descriptions, experience, skills, knowledge, etc.)
  - Infrastructure (equipment, capital outlays)
  - Funding (from all sources)
  - Data and data gathering systems
  - Legal authorities
  - Policies, procedures, and processes
  - Organizational, management, and leadership effectiveness to build capacity
- Do the institutions demonstrate the capacity to meet, discuss and review the plan of action?
- To what degree do the institutions responsible for the coral reef management program demonstrate their capacity to implement and evaluate the effectiveness of the plan of action?
- Do the institutions responsible for program implementation demonstrate their ability to practice adaptive management?
- Do the institutions responsible for program implementation demonstrate the ability to include the effective participation of stakeholders in the process of coral reef management?
- How is planning and decision-making for capacity building structured within the organization?
- Have important capacity building activities been successfully tested at a pilot scale?

For the analysis of the *external* enabling environment, we will explore the remaining three enabling conditions present at the jurisdiction to effectively manage coral reefs and specifically how capacity building efforts can be developed to further improve the enabling environment of goals, constituencies, and commitment.

Goals: We will explore the nature of the goals as stated in the Jurisdictional Priority Setting Documents and probe:

> Perceived degree to which the goals as identified in the priority setting documents are the priorities as seen by the key stakeholders
>
> Goals/strategies that may have been added after the priority setting documents were completed and the rationale
>
> The perceived degree to which the goals as identified in the priority setting documents define both desired societal and environmental conditions
>
> The degree to which the goals as identified in the priority setting documents are expressed as time-bound and quantitative targets (how much, by when)

Constituencies: Active support of the goals and objectives as identified in the priority setting documents by a core group of well informed and supportive constituencies composed of stakeholders in both the private sector and government agencies

We will probe:

- Perceived level of local public support for coral reef conservation action within the priority sites
- Perceived involvement of local nongovernmental and community based organizations– "conservation community" within or supporting action at the priority sites
- Perceived involvement of government (federal, state, and local) and quasi governmental agencies/stakeholders within or supporting action at the priority sites
- Perceived involvement of selected regional and national entities (USCRTF, AIC, etc.)
- Perceived availability/involvement of education and training institutions and programs

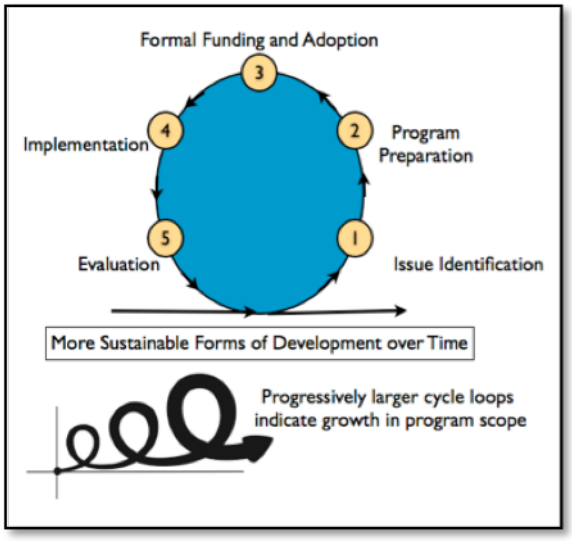
Commitment: The formal commitment of influential decision-makers (typically state and territorial government in this case, but to include federal authorities where relevant) to the goals, objectives as identified in the priority setting documents and the delegation of the necessary authorities and the allocation of the financial resources required for long-term program implementation.

We will look into:

- Perceived level of priority given to coral reef conservation by government leaders
- Perceived adequacy of the regulatory framework, and the perceived capacity, will and ability to enforce regulations needed for achieving local priorities in the target geographies
- Perceived level of commitment by government agencies to develop policies for coral reef conservation and the process it follows

Process Analysis

We have developed a simplifying heuristic model for visualizing the cyclical steps that an idealized program would pass through as it matures and grows, shown below. In our experience, we have observed that programs attempting to implement an ecosystem approach to coral reef management often only implement parts of unconnected cycles. For example, far too frequently, investments in issue analysis and planning that lead to a carefully crafted management plan with formal adoption and funding (Steps 1 through 3) yet have not led to the sustained implementation of a plan or pro-



gram of action (Step 4). As well, too often subsequent initiatives do not build strategically on a careful assessment of what could be learned from earlier attempts to address the same or similar issues (Step 5) (Olsen, Page and Ochoa 2009). This focus on process provides insight into the enabling conditions of internal capacity required to implement goals and objectives as defined in the priority-setting documents.

At each of the seven jurisdictions, we will briefly sum up the degree to which selected local agencies have progressed through multiple generations of this type of action-learning cycle (providing insight into institutional capacity) and to what degree the enabling conditions for capacity are in place for effective planning, implementation and reflection.

Collaboration

In order for the capacity assessment and the resulting recommendations to be valuable for overcoming "persistent barriers" and improving local capacity to manage coral reefs, there will need to be consistent, high quality collaboration among the consultant team, CRCP, and key jurisdictional contacts. This will help the consultant team to provide useful recommendations for guiding program planning, action, innovation, reflection and learning at the local scale. Such recommendations could also inform CRCP grant-making decisions, internal funding decisions, local funding and implementation decisions. In the following Roles and Responsibilities section, you will find a description of how we hope to structure this collaboration in a way that is highly effective but also respects the limited time of staff at the jurisdictions.

Roles and Responsibilities

This section is intended to provide a common understanding of the roles and responsibilities of the key participants in the capacity assessment, at the CRCP and in the jurisdictions, to create high quality collaboration. Such an approach requires sensitivity to local norms, cultures and expectations and to build upon our experiences of collaborations that have worked effectively. We have developed a strategy of collaboration to guide the overall process and provide specific opportunities for members of the CRCP, NOAA Liaisons[1], POCs and other key stakeholders in the capacity assessment process to review progress at key stages.

[1] NOAA liaisons are NOAA staff in the jurisdictions that foster communication and coordination between the CRCP and the local coral reef management community, and generally include an NOS coral reef management liaison and a NMFS Fisheries Liaison at each jurisdiction. Their role in the capacity assessment process is defined in this document and is one of overall support and guidance. The NOS Coral Reef Management Liaison from the jurisdiction is the primary

Jurisdictional Capacity Assessment Teams (J-CATs)

The methodology to be used for implementing the capacity assessments will be structured around a core collaborative team approach at each jurisdiction, called the Jurisdictional Capacity Assessment Team (hereafter we will use the acronym of J-CAT). The J-CAT will be a small group of approximately 3-6 key people in each jurisdiction (in addition to the SustainaMetrix team members) that will be assembled at the beginning of the capacity assessment process. Each J-CAT will convene roughly three times before the jurisdictional site visit (via conference call, WebX or similar), once during the visit, and twice after the site visit. The purpose for the J-CAT process is to:

- Share available information at key points in the capacity assessment process;
- Create a shared communication strategy about the capacity assessment process;
- Customize the methods based on local context;
- Coordinate an efficient process of data collection;
- Provide input to assist in prioritizing capacity building needs;
- Analyze and summarize results and recommendations; and,
- Make the overall process as useful as possible.

It is important to note that SustainaMetrix, as the independent consultant, is responsible for and will make the final decisions regarding priority rankings of the capacity needs and recommendations. However, the J-CAT process is designed to allow the POCs to engage the people they want to help guide and steer the process. Those on the J-CAT will be expected to attend all meetings to ensure consistency and flow. What distinguishes this process from the most recent priority setting document process is that the J-CAT is a steering and guiding function composed of a small committed group of people rather than an inclusive highly participatory process that relies upon extensive consensus. For example, members of the J-CAT will be invited to review the draft assessment report. However, it is important to note that the J-CAT will guide and steer an inclusive process to encourage wide-ranging input into the assessment of the capacity to manage coral reefs.

A typical J-CAT meeting schedule during the course of a jurisdictional assessment is presented below and a more detailed draft set of agenda items for each meeting is included in Appendix B.

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contact for the consultant team; the NMFS Fisheries Liaisons will determine the extent of their involvement.

J-CAT Meeting Timing	J-CAT Objectives	J-CAT Outputs/Outcomes
Meeting #1: 8-10 weeks prior to site visit (1-2 hours via phone/WebX)	Introduce team and become comfortable with the material, seek consensus on scope/priorities, define action agenda next steps	Agree to final scope of capacity assessment - assign tasks for data gathering
Meeting #2: 4 weeks prior to site visit (3-4 hours via phone/WebX) This meeting will be held if it is needed and eliminated if not essential.	Discuss gaps in knowledge, develop list of who to interview, survey and invite to focus groups, refine schedule and logistics	Draft timeline & case studies reviewed, draft schedule and logistics plan.
Meeting #3: 2 weeks prior to site visit (2-3 hours via phone/WebX)	Identify major knowledge gaps, revise site visit plan, review final methods and targets for interviews, surveys and focus groups	Finalize site visit, draft set of worksheets, simple list of causal factors and solutions
Meeting #4: Last Day of site visit (in person 4-6 hours)	Conduct draft ranking exercise on priority capacity needs, define persistent barriers, explore causality and solution strategies	Update worksheets, more detailed causal factors and solution strategies
Meeting #5: 2 weeks after site visit ends (1-2 hours via phone)	Review survey data and updated worksheets, conduct ranking exercise on priorities for capacity building, discuss causal factors and potential solutions and report draft outline	Final data worksheets, review data and analysis process, prioritize capacity needs and draft outline for report
Meeting #6: 4-6 weeks after site visit ends (2-4 hours via phone /WebX)	Review DRAFT final report and develop consensus on data presentation, causal factors, solutions and recommendation strategies	General consensus on final report contents and dissemination plan - defined next steps

J-CAT meetings will serve as a forum for the consultant group to share information with the core team on the ground, provide them with updates on the capacity assessment process, give them an opportunity to review and refine data that is available and to identify gaps, and receive input from them to guide and focus on and off-site data gathering for that jurisdiction. The J-CATs will also provide guidance to the consultant team for how to best approach jurisdictional agency staff and other stakeholders to fill in data gaps. Invitations for the J-CAT will be informed by recommendations by POCs and NOAA liaisons and may include local stakeholders, agency staff, and others who may be closely involved in guiding the direction of the capacity assessment process in their jurisdiction. Other key people (stakeholders, agency staff, etc.) in the jurisdictions will be engaged by the consultant group during on and off-site data collection, so there will be broad inclusion in the capacity assessment at the

jurisdictional level outside of the J-CAT meetings. The goal in forming the J-CATs is to create an efficient and organized structure for the assessment at the jurisdictional level that ensures high quality data gathering while making the most efficient use of the time that jurisdictional partners will need to dedicate to the process. The following table is an example of what a Jurisdictional Capacity Assessment Team could look like from US Virgin Islands (J-CAT: USVI) – please note this is DRAFT and subject to revision based upon dialogue with POC and NOAA liaisons.

Name	Affiliation	Representing
Glenn Page	SustainaMetrix	Consultant Team
David Nemerson	SustainaMetrix	Consultant Team
Sarah Knapp	SustainaMetrix	Consultant Team
Meghan Gombos	Sea Change Consulting	Consultant Team
Dana Wusinich-Mendez	NOAA CRCP	CRCP Core Team
Anita Pritchet	NOAA CRCP	CRCP Core Team
Marlon Hibbert	NOS Coral Reef Management Liaison	NOAA/CRCP Team Liaison
Lea Ortiz	NMFS Fisheries Liaison	NOAA/NMFS Team Liaison
Paige Rothenberger	POC	Jurisdictional Core Team
Others to be determined	Local Management Agencies/Stakeholders	

J-CAT Process

The J-CAT process is intended to maximize efficiency and minimize time requirements. In each jurisdiction, the consultant team will initiate the J-CAT process by conferring with NOAA CRCP, NOAA Liaisons and POCs together to identify individuals that would form an ideal collaborative group to help focus and guide the development of the capacity assessment process. We expect the roles of CRCP jurisdictional staff to be in-depth and substantive while that of CRCP Silver Spring staff will be more of general guidance. A kickoff meeting will be held to orient the team to the purpose, review the draft work-plan for the jurisdiction, agree to strategy for high quality and efficient communication and discuss process for reviewing data work sheets to identify knowledge gaps, providing suggestions for sources of information, reviewing best methods to collect data to close knowledge gaps, and assisting with the coordination of logistics in preparation for the site visit. Participants will be involved in reviewing work prepared by the consultant team, which could include case studies and a timeline of coral

reef management in the jurisdiction, assisting with prioritizing capacity needs, and contributing to analysis of causality and possible solution strategies. A Draft template for J-CAT meeting notes is included in Appendix C.

It is important to note that it is not mandatory for the J-CAT process that there be representation from all stakeholder groups and other agency representatives beyond the POC, however, based on our experience, we believe the quality of the overall process and outcomes will be increased with a highly functional and representative group. Ideally, participants in the J-CATs will be knowledgeable in the area of coral reefs and understand, or have participated in, the priority setting process. They should be familiar with location of data, reports, information, etc. that may be required for the capacity assessment. As noted above, the J-CAT will likely be small in size but is structured in a way to gather viewpoints about what might be involved in coral reef management capacity building from a variety of viewpoints and could include other stakeholders. The J-CAT is intended to be highly collaborative, encouraging dialogue to help guide a process and help convey results in effective, locally relevant ways.

Communication: SustainaMetrix will coordinate communication (i.e. phone-calls, emails etc.) with the jurisdictional NOS Coral Reef Management Liaison to coordinate all activities including the three J-CAT meetings at the jurisdictions leading up to the site visits, work during the site visits and two J-CAT meeting after the site visits.

CRCP Jurisdictional Staff Roles on J-CAT

The NOS Coral Reef Management Liaison in each jurisdiction will serve on the J-CAT and act as the primary NOAA point-of-contact for the Consultant team for a given jurisdiction, providing substantive content and possibly contributing to data collection, basic assistance with logistics for setting up the J-CAT meetings, and minor support with travel logistics (e.g. providing local knowledge about locations, lodging, on-site transportation, etc.). The NMFS Fisheries Liaisons will be invited to contribute to the J-CAT by attending meetings and participating in other activities to the extent possible and practical as defined by their work-plan. NOS Coral Reef Management Liaisons will be responsible for the following:

Initiating the process in each jurisdiction by introducing the capacity assessment process to the jurisdictional agencies and stakeholder groups, in coordination with and following the initial introductory email sent by SustainaMetrix directed to the POC.

Developing lists of jurisdictional agencies and stakeholder groups, in consultation with the POCs and SustainaMetrix, that would be later refined with the POC and SustainaMetrix to serve as the unit of the analysis for the capacity needs assessment.

Contributing to day-to-day coordination of logistics and assistance in the capacity assessment, in partnership with SustainaMetrix when on site, including regular debriefings and planning sessions.

In coordination with POC and SustainaMetrix, sending invitations to relevant agency and stakeholder groups to participate in capacity assessment meetings, and securing non-public venues for meetings, as needed.

Reviewing and providing input into draft documents developed by SustainaMetrix throughout the process. These include: capacity assessment meeting agendas, pre-assessment worksheets, draft capacity assessment reports, etc.

Participate in the on-site capacity assessment process, including meetings, interviews, and focus groups, as appropriate and needed.

NOAA Coral Liaisons							
NOAA Office	‘	American Samoa	Guam	CNMI	Florida	Puerto Rico	USVI
NOS Coral Reef Management Liaisons	Kathy Chaston	Steve Frano	Adrienne Loerzel	Dana Okano	Dana Wusinich-Mendez	Antares Ramos	Marlon Hibbert
NMFS Fisheries Liaisons	Mike Lameier	Fatima Saufea-Leau	Valerie Brown	Steve McKagan	Kurtis Gregg	To be determined	Lia Ortiz

POC Roles on J-CAT

The POCs will be asked to support the process led by SustainaMetrix with the following:

Either attend or assign a member to J-CAT team to represent POC at the meetings and provide key documents, as needed, regarding coral reef management priorities and capacity. These can include but are not limited to site based management plans, conservation action plans, plans used for grant processes, legal documents that pertain to coral reef capacity assessments, and previous capacity assessment documents. Documents provided to NOAA during the priority setting process are already in hand.

Assist in identifying and recruiting additional members to the jurisdictional J-CAT.

Assist in refining the lists of jurisdictional agency and stakeholder groups in consultation with NOAA jurisdictional teams and SustainaMetrix.

As participant in the J-CAT meetings, review worksheets and contribute to their development to refine information and contribute to identifying knowledge gaps and contribute to gathering necessary information.

Agree to a final list of agencies and key stakeholders who will be involved in the capacity assessments, specifically in on-site meetings, interviews, or focus groups.

Sending invitations (draft invitations provided) to relevant agency and stakeholder groups to participate in capacity assessment interviews during the site visit, and securing non-public venues for meetings, as needed.

Participating in the on-site capacity assessment process including meetings, interview, and focus groups, as appropriate and needed.

After the site visit and as part of the final two J-CAT meetings, review and provide input into draft documents developed by the SustainaMetrix team.

Jurisdictional Points-Of-Contact (POCs)		
Jurisdiction	**POC Name**	**Organization**
Hawai'i	Bob Nishimoto, Risa Minato - designee	Division of Aquatic Resources, Hawai'i State Department of Land and Natural Resources
American Samoa	Lelei Peau, Hideyo Hattori - designee	American Samoa Department of Commerce
Guam	Joseph Artero-Cameron, Evangeline Lujan - colleague	Guam Department of Chamorro Affairs and Guam Bureau of Statistics and Plans
CNMI	Fran Castro	CNMI Division of Environmental Quality
Florida	Joanna Walczak, Jamie Monty and Katharine Tzadik- designees	Office of Coastal and Aquatic Managed Areas, Florida Department of Environmental Protection Coral Reef Conservation Program
Puerto Rico	Damaris Delgado Lopez	Bureau of Coasts, Reserves and Refuges, Puerto Rico Department of Natural Environmental Resources

Jurisdictional Points-Of-Contact (POCs)		
Jurisdiction	**POC Name**	**Organization**
USVI	Paige Rothenberger	V.I. Dept. of Planning & Natural Resources, Division of Coastal Zone Management

Involvement of Other Jurisdictional Partners and Stakeholders

The capacity assessment process for each jurisdiction will span a period of approximately 4-6 months. During this time, the consultant group will maintain periodic contact with the J-CAT to coordinate data gathering. In the initial meetings of the J-CAT, a network map will be developed that illustrates the institutions that are the focus of the capacity assessment process. A list of key contacts will be developed for the target institutions that may contribute data to the assessment. As the capacity assessment progresses, the network map will be updated, and some jurisdictional partners could be added or removed from participation in the assessment, as deemed necessary to improve the quality of the assessment. The jurisdictional partners identified as part of this network map could draw from the following pools of people:

- Members from the various government agencies who support coral reef management activities within the jurisdiction specifically to implement management priorities as defined in the management priority-setting document.
- Jurisdictional stakeholders (other groups within a jurisdiction who are involved in coral reef management in geographic priority areas) including staff from NGOs, federal agencies, community groups, or other key persons with additional specific expertise (such as legal or regulatory) identified as appropriate for local coral reef management priority processes.

Communication: SustainaMetrix will NOT attempt to contact or coordinate involvement with any jurisdictional partners and stakeholders unless this communication has been coordinated with POC and/or NOS Coral Reef Management Liaison.

The involvement of these jurisdictional partners in the capacity assessment process may involve, but not be limited to:

- Clarifying information regarding current capacity and gaps in advance and during site visits and during the final report writing process.
- Providing documents as well as input into the development of worksheets etc. developed by the consultant team as well as potential review of draft capacity assessment reports.

- Participating in the on-site capacity assessment process and data gathering including meetings, interview, and focus groups.
- Participation in local focus groups facilitated by the Consultant team.

Project Management

Independent Consultant Team

SustainaMetrix, as lead of the independent consultant team, will be responsible for overall project management, facilitation, and most coordination of the capacity assessment process (we expect to partner with members of the J-CAT and others in the coordination and logistics, as needed, but this is not expected to be significant investment of their time or resources). In addition to developing and facilitating the J-CATs, SustainaMetrix will initiate and maintain contact with each jurisdictional POC, working with that individual or his or her designee, as well as the NOS Coral Reef Management liaison, to ensure that the project is proceeding as planned and to determine whether any adjustments are needed. The formation of the J-CATs is intended to focus the scope of the assessment and streamline data collection. The J-CAT will also be the venue where schedules, plans, meeting agendas, draft documents, etc. are presented to ensure effective communication and consensus among the NOAA/SustainaMetrix team and the completion of tasks by the NOAA/SustainaMetrix team, as assigned in the jurisdictional capacity assessment plan. In partnership with the J-CAT and NOS Coral Reef Management Liaison, SustainaMetrix will lead coordination and facilitation of the capacity assessment site visits for each jurisdiction and gather data using multiple methods (i.e. surveys, focus groups, interviews etc.). SustainaMetrix will draft and finalize a capacity assessment document for each jurisdiction using resources and comments from J-CAT and other jurisdictional partners (a draft outline is presented in Appendix A).

NOAA CRCP Core Team

The CRCP Core Team is comprised of the NOAA staff that will provide guidance and decision making throughout the entire design and implementation process, including Tracy Parsons, Dana Wusinich-Mendez, Anita Pritchett, Kathy Chaston and John Christensen as appropriate. There will be a representative of the NOAA CRCP Core Team on each J-CAT. The CRCP Core Team will:

Attend routine calls with SustainaMetrix and engage relevant NOAA staff participating in the process to facilitate information sharing across basins.

Serve as primary NOAA point-of-contact for the SustainaMetrix representative on contractual and performance issues.

Provide regular updates to SustainaMetrix and facilitate CRCP Jurisdictional team involvement in these briefings.

Participate in J-CAT meetings as regular guests.

Assist with recommendations for logistical planning of site visits.

Communication: SustainaMetrix will coordinate and facilitate regular contact (i.e. in-person visits to Silver Spring NOAA HQ, phone call or emails) with the NOAA CRCP core team to provide updates on progress and next steps roughly every two to three weeks throughout the project. NOAA CRCP will contact SustainaMetrix when information is needed beyond this schedule.

A DRAFT Jurisdictional Workplan Template is Included in Appendix D

Three Phases of Capacity Assessment

Three Phases

The 4-6 month capacity assessment process in each jurisdiction will be broken into three phases: Phase I Pre-assessment, Phase II Site Visit, and Phase III Analysis and Report Preparation. This section describes the key tasks and objectives of each Phase.

Phase I: Pre-assessment

Phase I will involve data collection and review, logistics planning, defining who is in the J-CAT for a given jurisdiction, and conducting a series of three J-CAT meetings to refine the scope of the methodology. This phase will occur over the three to four months preceding the site visit, with more sustained action in the one to two months immediately prior to the site visit. SustainaMetrix will do extensive review of existing documents, identify data gaps, and collect and review additional materials under the guidance of the J-CAT. During this time, SustainaMetrix will develop a thorough understanding of the jurisdictional system to prepare them for the site visit. SustainaMetrix will work with the J-CAT from each jurisdiction to determine precisely who should be included in the capacity assessment process in their jurisdiction and the degree to which they should be engaged.

What to expect:

J-CAT members

- At this stage J-CAT members should expect to dedicate, on average, 2-4 hrs/week to the capacity assessment - respond to questions, provide leads, validate understanding of system, assist with some aspects of planning site visit (ex. providing suggestions for meeting locations) when contacted by SustainaMetrix
- The J-CAT members will participate in three J-CAT meetings, the agendas of which are described in detail in Appendix B

Other Jurisdictional Partners

- SustainaMetrix may contact certain partners in order to help fill in specific gaps in the data. For example, this could entail a brief telephone interview or email exchange with SustainaMetrix or perhaps providing a document. SustainaMetrix will contact partners based on recommendations made by the J-CAT

Phase II: Site Visit

SustainaMetrix will spend roughly 5-7 days visiting the jurisdiction as Phase II of the capacity assessment. This time frame may be extended based upon the logistics and complexities involved but the target site visit timing is expected to be roughly one week in duration. SustainaMetrix will arrive with a well-developed understanding of the jurisdictional system. The purpose of the trip will be to fill remaining data gaps, but also to help the SustainaMetrix consultants develop a refined understanding of the jurisdictional system external to the organizations of focus. This will be very important for framing the recommendations that come out of the capacity assessment process. During this time, SustainaMetrix will visit priority sites, meet with key people for interviews (and possibly focus group sessions), and convene one on-site J-CAT meeting at the end of the site visit. The logistics and details of this visit will vary from jurisdiction to jurisdiction in order for it to be of greatest value within the local context. A work-plan will be developed for this purpose and a template is presented in Appendix D.

What to expect:

J-CAT members

- All J-CAT members should expect to attend the on-site J-CAT meeting that will occur near the end of the site visit and will include a capacity needs prioritization session.
- The NOS Coral Reef Management liaison should expect to spend 4-6 hrs per day with the consultant team (perhaps more on some days) during the site visit assisting with logistics (if needed), and facilitating introductions and data collection.

Other Jurisdictional Partners

- SustainaMetrix will meet with certain partners for in-person interviews, possibly focus groups, to be planned during Phase I.
- This will be the timeframe when jurisdictional partners can expect to dedicate the most time to the capacity assessment.

Phase III: Analysis and Report Preparation

In Phase III, SustainaMetrix will perform follow-up research to fill in any remaining data gaps after the site visit, and will begin to analyze the data to write a capacity assessment report and generate recommendations for meeting the capacity needs of the jurisdiction. During this time, SustainaMetrix will work closely with the J-CAT to refine the report.

What to expect:

J-CAT members

- There will be two J-CAT meetings following the site visit – most likely via phone.
- J-CAT members will also be asked to review the draft of the report and provide comments.

Other Jurisdictional Partners

- Other partners will be given the opportunity to review and provide comments on the draft report.

All comments submitted by the POC, CRCP and other project partners will be reviewed by SustainaMetrix. We will directly address comments that identify points in the report that require further clarification or potentially further investigation as well as content that is factually incorrect. Comments on the characterization of capacity gaps or recommendations may be provided; however, to ensure our independence, not all comments to that end will be addressed.

Methodological Tools

We intend to apply a range of methodological tools to acquire, organize, analyze and present data and to build our understanding of the current capacity (and capacity needs) to effectively manage coral reef assets within the jurisdictions and to achieve the goals and objectives as laid out in the priority setting documents. In this section, our intent is to give some relevant examples of the types of methods and tools we plan on using, but not to present an exhaustive list of every method we might apply, nor are the examples given necessarily in their final or complete form because they are subject to customization to meet the context of each jurisdiction.

Worksheets

We will develop and populate detailed 5-8 page worksheets organized around each Priority Goal and related objectives, as articulated in the priority setting documents. These worksheets will be a primary mechanism to organize and present data regarding current capacity and perceived capacity gaps - the "what is" versus the "what should be" – with respect to each priority goal. Here we present examples of worksheets that we might develop for a given Goal (maintaining and improving fish populations) and Objective (effectively enforcing regulations) at the Kahekili priority site in Hawai'i. If the priority site has undergone a Conservation Action Planning or Management Planning process, worksheets will be developed for the goals and objectives as stated within those documents. Similar worksheets would be developed for each Priority Goal, as well as each objective under each of the goals. The first worksheet summarizes information about specific capacities and capacity gaps along with data needs to more fully understand and characterize the gaps. The second lays out information about causes, actions and solutions relevant to the Goal and Objective noted.

Sample Worksheets for Kahekili:

Worksheet #1

Goal Area: Maintain and improve fish stocks	**What Is**	**What Should Be - Ideal**	**What Should Be - Likely**	**What We'd Like to Know**	**Sources of Info**
Effectively enforce regulations	•No regular enforcement presence •No on-the-water enforcement presence •Stakeholder interest in supporting management through Makai watch program but limited ability in helping with enforcement issues	•Marine enforcement officers present on a regular basis •Community volunteer surveillance in place and in partnership with authorities	•Increased presence of enforcement to daily presence •Community volunteer surveillance program initiated	•What is the current staff size? •What are the key bottlenecks? •Is there a legal framework/mandate? •What are the existing perceptions around enforcement? •etc.	•Work plans for DLNR enforcement (DOCARE) •Enforcement policy framework, if it exists •Other examples of enforcement •Communications with DLNR, State of Hawai'i •Communication with Mike Lameier and Kathy Chaston

Worksheet #2

Goal Area: Maintain and improve fish stocks	**Further Actions Required**	**Reasons for Further Action**	**Preliminary ideas about Causes**	**Preliminary ideas about Solutions**
Effectively enforce regulations	Communications with DOCARE and DAR staff and NOAA liaisons (i.e. NOS Coral Reef Management liaison and NMFS Fisheries liaison). Review relevant documents Find out if there are other sources of information	We simply don't know enough about this issue in the place We think there is a local perception that there is no political will to support enforcement for this area	We think that the cause is largely a lack of enforcement staff capacity (actual numbers of people) on Maui We think the staff have far too wide a mandate that includes issues of Homeland Security and drug interdiction We think there is a mandate for enforcement in this region but it is poorly communicated at the level of DOCARE staff	Further develop the Makai Watch program Increase presence at site through improved communication of existing DLNR mandate to make this a priority of this area Learn about capacity building efforts through PIMPAC

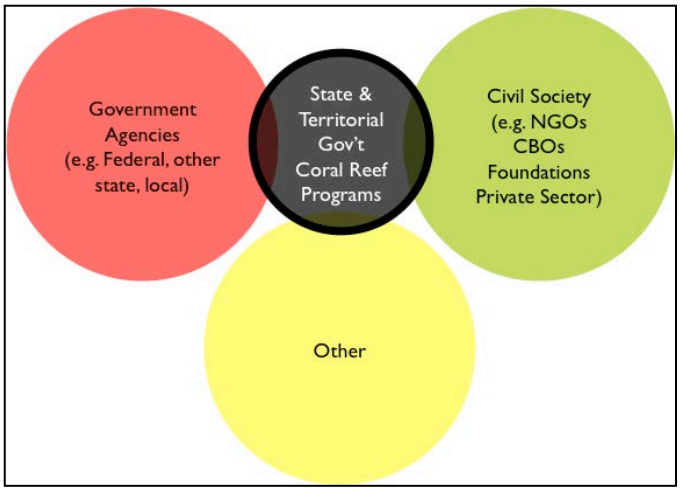
Surveys, Interviews and Focus Groups

We will use surveys as a primary means of acquiring quantitative data regarding the perceptions of various members of the coral reef management community and associated stakeholders of the capacity of relevant organizations, agencies to achieve the goals and objectives as defined in the priority-setting documents. A sample of two pages from a preliminary, draft survey is attached in Appendix E. In many cases surveys will serve as a primary data-acquisition tool to identify areas and topics for further

inquiry. This deeper inquiry will be explored during either in-person interviews during the site visit, telephone calls or email exchanges.

Organizational Maps

Together with the J-CAT, SustainaMetrix will attempt to develop an organizational map of the jurisdictional coral reef conservation/management system. Our intent is to help us visualize those institutions that have a mandate to manage coral reefs (the focus of our Capacity Assessment) and to identify gaps and overlaps in management authority. This will be a product of the first J-CAT meeting, when the J-CAT defines who will be included in the jurisdictional capacity assessment. Groups that will be considered for involvement in this decision include State and Territorial Government coral reef programs, other government agencies, civil society and other organizations in the system. The goal of this is to refine the focus of the capacity assessment to a manageable and useful scope of analysis. Future capacity assessments modeled after this one could include a wider range of organizations at the jurisdictional level. The area delineated in black in the figure below depicts the scope for this capacity assessment process. Once the specific participating organizations for each jurisdiction are defined, the consultant team will work with the J-CATs to understand the level of commitment and engagement that's needed from those who are identified as "in" the scope of focus and those who are identified as "out". The product of this decision-making process will be a rough "network map" for each jurisdiction. As these network maps are created, the specific roles and responsibilities for all involved will also be worked out to fit with the culture and context of each jurisdiction. The priority geographic areas, as defined in the priority setting documents, will also be validated by the J-CAT in this process and used to filter and focus the attention of the needs assessment as appropriate per the goal and objective being considered.



Enabling Conditions Scorecards

SustainaMetrix will facilitate focus group sessions to perform a score carding of the internal capacity to implement in order to achieve the goals of the priority setting document and the external perceptions of the enabling environment structured similarly to the example below. This will allow us to assess the efficacy of implementing recommendations as part of perceived capacity needs. The example below is provided simply to illustrate the type of tool that will be used. The questions will be customized to match the context of the jurisdiction and the inquiry framework for the capacity assessment.

UNAMBIGUOUS GOALS & OBJECTIVES (3 INDICATORS) KEY QUESTIONS					RANK TIME 1	RANK TIME 2	RANK TIME 3	RANK TIME 4
Have issues related to coral reef management been identified and prioritized	0	1	2	3	?	?		
	No action to date	Broad issues identified by project team; some stakeholder involvement	Specific issues identified with stakeholders; prioritization underway	Issues have been identified and prioritized with stakeholders	Justification for current rank:			
Time 1 Comments –								
Do the goals for coral reef management define both desired societal and environmental conditions?	0	1	2	3	?	?		
	No goals defined	Goals are being negotiated but have not been formalized	Desired long-term goals address either societal or environmental outcomes	Goals define both desired societal and environmental outcomes	Justification for current rank:			
Time 1 Comments –								

Needs Prioritization

SustainaMetrix will facilitate the fourth J-CAT sessions (which will be on-site at the end of the site visit) to perform a needs prioritization. As stated above, SustainaMetrix, as the independent consultant, is responsible for and will make the final decisions regarding priority rankings of the capacity needs and recommendations based on data collection, analysis, J-CAT input, and expert opinion.

- Rank ordering of perceived needs: Nearing the end of field work at each jurisdiction, J-CAT members will be asked to rank perceived capacity gaps and perceived needs to fill the gaps based on what are perceived to be the most critical gaps in capacity and/or important needs for their organization to implement and meet priority coral reef conservation goals. Rankings will be recorded and averaged for the group and patterns of rankings will be documented. A table will be developed with the highest average ranked capacity gaps. If disparities arise, they could be used as further discussion points

Table 5: Sample Ranking Sheet

Priority Capacity Gap/Need Area	Rank					Average Rank	Rank Order
	1	2	3	4	5		
Enforcement Boat	10	-	-	-	10	3.0	1.5
Communications campaign	4	4	4	4	4	3.0	1.5
n	.	.	.	.	.	.	.

Explanatory Note: The numbers in the cells represent a simulated ranking the First Capacity Gap/Need Area from 1-5. In this simulated case, 20 people ranked the priority capacity gaps/need area. For the first capacity gap/need area, 10 saw it as the highest priority and 10 viewed it as the lowest, yielding an average rank of 3.0. The second capacity gap/need area achieved the same average with a different pattern of response.

- Ranking of Complex Capacity Gaps: A simplifying ranking method can be useful for prioritizing many capacity gaps and prioritized needs. However, with more complex situations, prioritization can benefit from additional ranking of criteria, such as the perceived importance of the capacity gap, the feasibility of addressing it, risks in resolving it, motivation to resolve it, and level of cooperation across organizations in the local jurisdictions.

Capacity Assessment Reports

As detailed in "Roles and Responsibilities" and "Three Phases of Capacity Assessment" sections above, each jurisdictional capacity assessment will culminate in a Jurisdictional Capacity Assessment report. A draft of this report will be circulated to the relevant J-CAT approximately 4-6 weeks after the site visit with a final report completed approximately 6-8 weeks later.

At the end of the entire capacity assessment process with all seven jurisdictions completed, SustainaMetrix will prepare a synthesis report for the use of the jurisdictions and CRCP. The purpose of the Synthesis Report will be to provide summaries of specific capacity gaps across jurisdictions and present recommendations to address the identified gaps in order to implement strategies and priorities including underlying issues that may be present to create or exacerbate gaps. This will include a series of recommendations on how to best address identified gaps and/or underlying issues into the future.

Timeline for Site Visits

While subject to change, it is our plan to conduct the capacity assessments in the following order: USVI, American Samoa, Puerto Rico, Hawai'i, Guam, Commonwealth of Northern Mariana Islands and Florida. A draft Schedule for the assessments and the potential dates for the J-CAT meetings are included in Appendix F.

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Appendix A - Outline for Jurisdictional Report

I. Introduction

Brief description of the importance of capacity building to implement priority-setting goals and for the practice of the adaptive ecosystem approach.

II. Methods/Work Planning for the Assessment process

Elements may include metadata description, the focus of the Capacity Assessment: Who (institutions, geographies, etc.) is "in" the assessment, Who/when/where we interviewed, the survey instruments used, the number of surveys administered, completed and returned, results of focus groups, etc.

III. Capacity to Implement Strategic Priorities (Internal Focus)

Brief bulleted summary of the organizations that are of the central focus of the capacity assessment with a focus on their internal capacity to implement critical actions and persistent barriers. Other enabling conditions such as goals, constituencies, and commitment will be briefly reviewed as well. Leading question: "who has the capacity to implement the goals and objectives as defined in the priority setting documents and what are the gaps."

IV. Capacity to Build External Enabling Conditions (External Focus)

Brief analysis of the situation external to the organizations as it relates to capacity building and what enabling conditions are needed to further build capacity in light of persistent barriers. Leading question: "to what degree are the enabling conditions present in order to build capacity, bridge the defined gap, and address prioritized goals and objectives."

V. Conclusions

A summary of the context for which capacity building will be taking place, which includes both persistent barriers and enabling conditions.

VI. Recommendations

A set of prioritized capacity strengthening recommendations and targets for proposed capacity building interventions

VII. Appendices

J-CAT meeting agendas and attendance

Summary of the Audit Trail

Appendix B - Draft J-CAT Meeting Agendas

J-CAT Meeting #1: DRAFT Agenda (8-10 weeks prior to site visit)

Short Introductions and positive experiences with needs assessments, strategic planning, exploring solutions

Background on the goal and objectives of the group, specific purpose of the capacity needs assessment, defining the geographical area of focus, goals, objectives and organizations "in" as defined by the jurisdictional priority setting documents

Description of the stages in the process and what happens at each stage

Review of the worksheets and tables, glossary for word definitions, examples of capacity building case studies

Activities: go through the first set of worksheets, identify gaps, sources of information

Data collection: consultant group may administer a survey of participants (20 minutes) on their ideas on sources of information and focus of capacity assessment for target areas, review of DRAFT time line of coral reef management in the jurisdictions, ideas of case examples

J-CAT Meeting #2: DRAFT Agenda (4-6 weeks prior to site visit) If NEEDED

Review progress since first meeting and describe brief narrative of what has been learned

Review of possible case studies of capacity-building and update timeline of coral reef management and capacity building events

Review worksheets and identify progress by showing the dated earlier iterations and summarize gaps in knowledge that still exist, new data that is needed and possible sources for new data

Review draft interview list (name, title, organization, contact information) - major areas and key sources - potential methods (surveys, interviews, focus groups)

Discuss causal factors, possible solutions and persistent barriers in the process

J-CAT Meeting #3: DRAFT Agenda (2 weeks prior to site visit)

Summarize process to date and what has transpired between meetings #2 and this meeting.

Review of possible case studies of capacity-building and update timeline of coral reef management and capacity building events

Review worksheets and identify progress by showing the dated earlier iterations and summarize gaps in knowledge that still exist, new data that is needed and possible sources for new data

Review key area of attention for the site visit where more data collection is needed - gaps in understanding, clarity of gaps

Discuss potential priorities for data gatherings and define what aspects "we are done with"

Complete final interview list (name, title, organization, contact information) and methods (surveys, interviews, focus groups)

Review of specific methods as needed including questions for surveys, focus groups, and interviews

J-CAT Meeting #4: DRAFT Agenda (Last day of site visit)

Summarize process to date and what has transpired between meetings #3 and this meeting.

Final review of case studies of capacity-building and final timeline of coral reef management and capacity building events

Complete worksheets and discuss causal factors in more detail - specifically control/power/systems dimensions

Review DRAFT capacity needs and conduct a preliminary exercise on ranking capacity needs and possible solutions strategies

Confirm dates for J-CAT meetings #5 and #6

J-CAT Meeting #5: DRAFT Agenda (2 weeks after site visit ends)

Summarize process to date and what has transpired between meetings #4 - the site visit and this meeting.

Review data analysis process to date including causal factors and solutions

Go over recommendations and adjust priorities as necessary

Review draft template of final report

J-CAT Meeting #6: DRAFT Agenda (4-6 weeks after site visit ends)

Summarize process to date and what has transpired between meetings #5 - and this meeting.

Review draft of final report

Appendix C – Template: J-CAT Meeting Notes

Sample J-CAT Meeting Notes (To be used by the consultant team as a tracking tool)	
Jurisdictional Name **J-CAT Meeting #____** **J-CAT Meeting Purpose**	
J-CAT Meeting Name & Location Date Time Place **J-CAT Member Participation** ☐ **Name** ☐ **Name** ☐ **Name** ☐ **Name** ☐ **Name** ☐ **Name** ☐ **Name** ☐ **Name** ☐ **Name**	
Agenda Items	Action Minutes
1. Check in (welcome, warm up, connect, report / discuss, reflection from last meeting)	Topic / Input
2. Review worksheets	Update and resend worksheets based on J-CAT input
3. Review / Finalize Site Visit targets for data gaps	Input / Revisions
4. Review / Update Interview list, logistics, format (groups vs. individuals) and data collection type (surveys, interviews, focus groups etc.)	Draft list and schedule of interviews
5. Review / Update other standing issues or items that may pertain to site visit	A. Issue / Items: B. Input / Discussion: C. Decision / Rationale:
6. Parking lot items (solution strategies, causal factors, network issues)	A. List New Items: B. Input / Discussion: C. Decision / Rationale:
7. Closure (reflections, pluses / lessons learned)	Collect / Summarize

Appendix D – Jurisdictional Work-plan

Draft Jurisdictional WORK Plan Template

Date of DRAFT
Jurisdiction Name
General Statement of Timing for Capacity Assessment Process

Purpose and Rationale (BRIEF description of the purpose of the Capacity Needs Assessment process and how it is related to the goals and objectives of the Priority Setting Documents)

Timing of the Planning Process (overview of the three phase in the Capacity Needs Assessment process)
Phase I: Pre Assessment
SPECIFIC TASKS ASSOCIATED WITH This PHASE

- J-Cat Meeting #1 – Date
- J-Cat Meeting #2 (if needed) – Date
- J-Cat Meeting #3 – Date

Phase II: Site Visit
SPECIFIC TASKS ASSOCIATED WITH This PHASE

- Site Visit
- J-Cat Meeting #4 – Date

Phase III: Data Analysis and Report Generation
SPECIFIC TASKS ASSOCIATED WITH This PHASE

- J-Cat Meeting #5 – Date
- J-Cat Meeting #6 – Date
- Final report

Jurisdictional Capacity Assessment Team (J-CAT) Members (names of participants)
Dates, times, potential location/logistics and agenda items of the J-CAT meetings

Organizations that are the focus of the Capacity Assessment Process:
Organization 1: Key Contact
Organization 2: Key Contact
Organization 3: Key Contact
Organization 4: Key Contact
Organization 5: Key Contact
Etc.

Summaries of:

- List of documents to be reviewed
- Issues to be aware of
- Socio-cultural issues
- Travel logistics
- Etc.

Appendix E – Sample of DRAFT Survey

NOAA CRCP USVI

Recently, NOAA completed an in-depth process to articulate a set of strategic coral reef management priorities developed in consensus by the coral reef managers in the US Virgin Islands. The result of this process is a document called "United States Virgin Islands' Coral Reef Management Priorities" that clearly lays out a series of strategic coral reef management priorities for USVI. In this survey we will be asking you questions about your perception of the capacity of the USVI coral reef management community to achieve the specific goals and objectives outlined in the priority setting document. The questions may concern your perception of the capacity of the organization you work for or belong to, or may ask your perception of the capacity of other organizations.

When we say "capacity" we are referring most generally to the organization's capability to perform and achieve the goals and objectives laid out in the Priority Setting document. The inquiry will focus on aspects of institutional capacity such as the degree to which an organization has the appropriate personnel with the right skill sets, the availability of staff to devote enough time to address specific goals or objectives, the adequacy of the budget to address the goal or objective, the degree to which the organization has the appropriate infrastructure (vehicles, vessels, sampling gear, information technology (IT), etc.) to address the goal or objective, etc.

We are interested in learning about which capacities are already in place and which are needed to adequately address the priority goals. We are not asking whether or not you think any specific agency or organization is doing a good job managing coral reef assets. We ask that you keep this important distinction in mind as you answer the questions that follow.

***1. Your name**

First Name

Last Name

***2. Your Organization, job Title and years there.**

Name of your Organization

Your Title

How long have you worked there?

Capacity to Achieve Priority Goals

In the United States Virgin Islands' Coral Reef Management Priorities setting document, GOAL 1 is defined as: "Reduce impacts to coral reef ecosystems by reducing terrestrial sediment and pollutant inputs and improving water quality." In the following questions, we would like you to consider this goal, and several more specific objectives under this goal, and the degree to which your organization has the internal capacity to achieve it.

3. In general, how would you rate your organization's current capacity to reduce impacts to coral reef ecosystems by reducing terrestrial sediment and pollutant inputs and improving water quality?

	Very Low				Fully Adequate
Current Capacity	○	○	○	○	○

Capacity to Achieve Priority Goals

NOAA CRCP USVI

The first specific Objective under this goal is to "Define and identify priority watersheds and develop management plans, stormwater plans and restoration projects that reduce the effects of contaminants and poor water quality on reef resources." This objective contains several distinct tasks within it. In the questions that follow, we will ask you about your perceptions of each distinct task.

4. Looking specifically at "identify[ing] priority watersheds", how would you characterize your organization's capacity to analyze watersheds across the USVI and prioritize them with respect to the need to develop plans to reduce terrestrial sediments and pollutants?

	Very Low				Fully Adequate
Current Capacity	◯	◯	◯	◯	◯

5. Now, moving on to the task to "develop management plans and stormwater plans" at the priority watersheds to be identified in this Objective, how would you characterize your organization's capacity to create the plans? We are interested in its current capacity, where you realistically expect it to be with respect to its capacity in 2 to 3 years, and where you hope it will be in 2 to 3 years.

	Very Low				Fully Adequate
Current Capacity	◯	◯	◯	◯	◯
Realistic expected Capacity in 2 to 3 yrs	◯	◯	◯	◯	◯
Desired Capacity in 2 to 3 yrs	◯	◯	◯	◯	◯

If you indicated that you do not expect your organization to acquire the capacity that you feel it will need in 2 to 3 years, please briefly describe why. Be as specific as possible about what factors you think will limit its ability to build the needed capacity.

6. Looking back generally at Goal 1, consider the following aspects of your organization's capacity to achieve the goal of reducing terrestrial inputs to reefs. Please rate each aspect along the scale provided.

	Very Low Capacity				Fully Adequate Capacity
Appropriate personnel and skills	◯	◯	◯	◯	◯
Staff time to address the issue	◯	◯	◯	◯	◯
Adequate funding	◯	◯	◯	◯	◯
Infrastructure needs	◯	◯	◯	◯	◯
Leadership, mentoring and guidance for staff	◯	◯	◯	◯	◯

Appendix F: Draft Schedule for 2012, 2013

Approximate Month	Description
January 2012	Independent Consultants Submits final Methods Document NOAA Reviews/Approves Draft Methodology
February 2012	Meeting at AIC of USCRTF in Washington DC to First J-CAT Meeting for American Samoa First J-CAT Meeting for USVI Second J-CAT Meeting for USVI (if needed)
March 2012	Third J-CAT Meeting for USVI Second J-CAT Meeting for American Samoa (if needed) **Site Visit to USVI** (Fourth J-CAT Meeting for USVI)
April 2012	Third J-CAT Meeting for American Samoa Fifth J-CAT Meeting for USVI **Site Visit to American Samoa** (Fourth J-CAT Meeting for American Samoa)
May 2012	Fifth J-CAT Meeting for American Samoa Final J-CAT Meeting for USVI, Report Prepared for USVI
June 2012	Final J-CAT Meeting for American Samoa, Report Prepared for American Samoa

Approximate Month	Description
July 2012	Meeting with NOAA CRCP to Review Lessons Learned for report out to USCRTF AIC
August 2012	USCRTF AIC Meeting in American Samoa (SustainaMetrix will not attend) First J-CAT Meeting for Puerto Rico
September 2012	Second (if needed) and Third J-CAT Meetings for Puerto Rico First J-CAT Meeting for Hawai'i
October 2012	**Site Visit to Puerto Rico** (fourth J-CAT for Puerto Rico) Second J-CAT Meeting for Hawai'i (if needed)
November 2012	Fifth J-CAT Meeting for Puerto Rico Final J-CAT Meeting for Puerto Rico, Report Prepared for Puerto Rico Third J-CAT Meeting for Hawai'i
December 2012	**Site visit to Hawai'i** (Fourth J-CAT Meeting for Hawai'i)
January 2013	Fifth J-CAT Meeting for Hawai'i

Approximate Month	Description
February 2013	Final J-CAT Meeting for Hawai'i, Report Prepared for Hawai'i Meeting of AIC as part of USCRTF in Washington DC First J-CAT Meeting for CNMI First J-CAT Meeting for Guam First J-CAT for Florida
March 2013	Second J-CAT Meeting for CNMI (if needed) & Third J-CAT Meeting for CNMI Second J-CAT Meeting for Guam (if needed) & Third J-CAT Meeting for Guam Second J-CAT Meeting for Florida (if needed)
April 2013	**Site visit to CNMI** (Fourth J-CAT Meeting for CNMI) **Site visit to Guam** (Fourth J-CAT Meeting for Guam) Third J-CAT Meeting for Florida
May 2013	Fifth J-CAT Meeting for CNMI Fifth J-CAT Meeting for Guam
June 2013	**Site visit to Florida** (Fourth J-CAT Meeting for Florida) Final J-CAT Meeting for CNMI, Report Prepared for CNMI
July 2012	Final J-CAT Meeting for GUAM, Report Prepared for GUAM Fifth J-CAT Meeting for Florida
August 2013	Final J-CAT Meeting for Florida, Report Prepared for Florida

Approximate Month	Description
September 2013	Synthesis Document Completed
October 2013	Presentation of results to AIC at USCRTF Project Completion