A GUIDE FOR PLANNING AND MANAGING MARINE PROTECTED AREAS WITH LOCAL AND/OR INDIGENOUS COMMUNITY PARTICIPATION BASED ON CONSERVATION STANDARDS

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Document by WWF Chile.

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WWF Chile's vision is to ensure that "biodiversity in Chile's priority landscapes and seascapes are conserved by ensuring the provision of goods and services that contribute to human well-being, and that the ecological footprint of Chile's main industrial sectors remains within the limits of the ecosystems, through social participation processes that promote social equity."

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Tour operator in the MU-CMPA of Pitipalena - Añihué, Aysén Region, Chile. © Denisse Mardones - WWF Chile.

OVERVIEW

In recent years, Chile has experienced a significant increase in the designation of Marine Protected Areas (MPAs), which has placed the country in a prominent position worldwide, in terms of the creation of protected areas for the biodiversity associated with these environments. However, the declaration of MPAs alone does not guarantee the effective management of these areas. Only through the adoption of appropriate measures, resulting from a systematic and well-planned design, can progress be made towards effective management that supports the protection of declared MPAs. For this reason, WWF Chile is working on initiatives that promote the effective management of marine and coastal protected areas, promoting actions aimed at strengthening governance, planning, effective evaluation, and financing in these areas.

Currently in Chile, WWF as well as other NGOs, the Ministry of the Environment (MMA) and the National Forestry Corporation (CONAF1) are promoting the use of the methodology called Standards for Conservation in the construction of management plans, considering that under the enabling conditions for participation, it constitutes a solid tool for its design. In fact, as a result of this, CONAF has adapted and officially adopted planning guidelines that reflect the structure of the Conservation Standards (CMP, 2020). However, although the scientific soundness of this methodology has been acknowledged, it is necessary to reinforce it with additional tools that address more rigorously the socio-cultural and/or human welfare aspects that are key to the local relevance of the planning.

In this sense, the "Guide for planning and management of Marine Protected Areas with local and/or indigenous community participation based on Conservation Standards" is framed within the scope of generating mechanisms that strengthen planning processes in contexts where community participation is key to success for the definition of management strategies, and where it is also fundamental to ensure the equity of benefits associated with the effective implementation of the areas.

Although this guide has been developed for MPAs, it can be applied to both marine and terrestrial environments, considering the importance of an integrated view of the management of both spaces for the attainment of conservation objectives. Along these lines, WWF Chile works to ensure that the unique biodiversity housed in the priority site in southern Chile, both terrestrial and marine, are duly safeguarded under a system of effectively managed protected areas, whether in public protected areas or in private, community or indigenous conservation territories, where the challenge of conservation is a commitment of all stakeholders involved, and where the local communities who inhabit these areas, play a fundamental role in the success of our work, insofar as it contributes to the protection of nature, as well as respect for the livelihoods and equitable development of those who depend on it.

Acronyms used

MPA	Marine Protected Area
PA	Protected Area
STKH	Stakeholders
CMA	Conservation Measures Alliance
PPD	Planning Process Design
AT	Advisory Team
ECMPO	Coastal and Marine Spaces of Indigenous People
CPT	Central Planning Team
ST	Starter Team
OECMs	Other Effective Area-Based Conservation Measures
NGO	Non-Governmental Organization
AOP	Annual Operating Plan

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[1]The National Forest Corporation (CONAF), which is part of the Ministry of Agriculture, is responsible for the administration of State Protected Areas in Chile.

INTRODUCTION

What is known as "adaptive management" in Protected Areas (PA) is a practice considered necessary and successful to more effectively and resiliently achieve the objectives for which they were created; in this context, Marine Protected Areas (MPAs) are no exception. Perhaps for this reason, in recent years important improvements have been experienced in the methodological approaches and principles applied to have a well-planned and implemented management in an adaptive way. In this regard, both in Chile and in the rest of Latin America, the use of the "Conservation Standards" as a methodological reference framework for adaptive management of projects is becoming increasingly common (see Chapter I).

This is what motivates WWF Chile to develop this guide, with the objective of strengthening the capacities of technicians and community leaders, to apply this methodological approach in MPAs and "other effective conservation initiatives also based on sites" (OECM, see box). We hope that this document will be a tool to help managers in these areas improve their skills in implementing more effective, modern planning and management processes, in line with the methodological approaches and principles of modern management explained in Chapter I (CBD, 2018).

On the other hand, this guide is designed particularly for management processes based on a highly participative planning, either for an MPA or for an OECM (MPA/OECM). It is a methodological framework based on the Standards for Conservation, which promote planning and management with effective participation of local stakeholders. Therefore, the steps described here, while based on the Conservation Standards, have been adapted to a language and structure that is more understandable to stakeholders unfamiliar with the technical language of the Conservation Standards, while also incorporating some issues considered especially relevant to local communities.

In addition, the guide is intended to serve as an innovative method for planning and management processes in fishing areas under the administration of community groups, as is the particular case of the Coastal and Marine Spaces of Indigenous People (ECMPO) in Chile, which are delimited marine spaces (they are a type of OECM), whose administration is given to indigenous communities or indigenous associations that have exercised the customary use of said space, as established by the national authority for indigenous affairs2.

This guide is not a recipe to be followed to the letter, with no possibility of change. On the contrary, it offers a basic but adaptive structure, where the spirit or the reason for being behind each step is shared, ensuring that the adaptations that each user can take, according to their context, do not change the logic proposed in the process, but so they can take advantage of opportunities to be more effective, and overcome circumstances that impede their application.

The target audience for this guide are technicians from NGOs, public institutions, community leaders and other people involved in the management of marine protected areas and other effective area-based conservation measures, who will develop MPA or OECM planning and management processes with the participation of local and indigenous communities. Given the audience to whom this guide is directed, some terms or concepts have been modified to make them more familiar to an audience unfamiliar with this type of instrument, without altering the logic behind them, and their function in the proposed methodological framework.

WHAT ARE OECMS?

In the world of conservation, we have currently highlighted and reinforced the role of conserved spaces that are the product of the efforts of communities or private owners, as complementary strategies to public protected areas, which are spaces declared by the State. In that sense, the CBD (*) defines OECMs as follows: "a geographically defined area that is not a protected area and that it is governed and managed in such a way, as to achieve sustained positive and lasting results for the conservation of biological diversity in situ, with associated ecosystem functions and services, and where appropriate, cultural, spiritual, socioeconomic, and other locally relevant values."
Source: CBD/SBSTTA/22/L.2 July 6, 2018.
These types of initiatives are increasingly seen as spaces that must be supported for effective management; therefore, the idea is for this guide to assist in planning processes both in protected marine areas and in OECMs.
(*) Convention on Biological Diversity.

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2 The institution that promotes, coordinates and executes the action of the State in favor of the integral development of indigenous people and communities in Chile is the National Corporation of Indigenous Development (CONADI).

In general terms, Chapter I describes the theoretical, conceptual and methodological foundations on which this guide is based, so that the user knows what the ideological framework behind this tool is. Chapter II introduces the general methodological framework, which provides strength to the process as a whole, and explains how the texts have been structured for each of the steps. Chapter III describes for each step, a series of aspects in detail, so that the user has the greatest amount of knowledge to put into practice. Finally, the glossary clarifies the use of certain terms, since there are many variations in the way they are used.

It is very important to emphasize that this is not only a guide for management planning, but also a guide for the user through the critical steps of planning and administration (implementation, monitoring, adaptation and communication) of both, MPA and OECM, as part of the whole cycle of adaptive management explained in Chapter II.

METHODOLOGICAL ADAPTATION

Since this document is an adaptation of the Conservation Standards methodology (CMP, 2020), it is recommended to have the most updated version of this methodological approach on hand, since at various points it will be advisable to study the document that describes this methodology in detail.

The proposed adaptation of the techniques described here, is based on the assumption that we do not always have the technical and logistical resources to implement the techniques suggested by the original methodology.

Community participation is key to the development of Marine Protected Area management strategies. © WWF Chile.

CHAPTER I: WHAT DO WE BASE THIS WORK ON?

The following sections explain the sources that have nurtured this tool in terms of modern conservation principles and guidelines, so that the user knows what are the theoretical foundations and ideological framework of the concepts used in this document.

We start from the vision of modern management of Third Generation MPAs

Before beginning any methodological process of planning and management, it is important to be clear about the modern management vision for protected areas, which has been evolving over time. Many years ago, protected areas were managed in complete isolation from their surroundings. This is known as First Generation MPAs. Then Second Generation MPAs appeared, when the surrounding landscape began to be considered, particularly by working with local communities, but seeing them as sources of threats that needed to be mitigated (Arguedas, 2019).

Currently, Third Generation MPAs are those that are managed considering that the protected territory maintains a series of social, economic and ecosystemic relationships with the entire landscape in which it is immersed, and that, in order to protect it, these relationships must be understood and managed. This is what leads us to promote collaborative management and participatory governance, which must be the basis for strategic planning processes.

This paradigm with which Third Generation MPA managers work, is described in detail in the 12 principles of the Ecosystem Approach promoted by the Convention on Biological Diversity3. These principles contain the modern vision of conservation, which particularly promotes the decentralized and democratic management of ecosystems, the participation of all sectors and disciplines, the incorporation of all valid sources of knowledge (scientific and traditional), and the importance of including the economic issue from the point of view of meeting people's needs without compromising the functioning of ecosystems.

This modern vision must be applied particularly in marine protected areas, which brings important implications for management processes, because local actors (indigenous and coastal communities, fishermen, companies, organizations, other government sectors, etc.), are no longer mere spectators, they are now part of the processes. Hence, governance models in local hands (e.g. ECMPO as a type of OECM applied in Chile) and also shared management models in which things are done collaboratively between local actors and public institutions with maritime jurisdiction.

On the other hand, another challenge for management is to ensure that the focus of conservation is not only on keeping ecosystems functioning for the generation of ecosystem goods and services, but also includes the maintenance of all forms of life, particularly local communities, both indigenous and traditional fishermen.

We rely on the IUCN Principles of Good Governance4

When local actors are involved, governance becomes particularly important for MPA planning and management. We understand governance in marine protected areas to be the mechanisms, customs and structures through which power is exercised, accountability is achieved, differences are worked out, and the legitimate rights of local stakeholders in marine protected area management are incorporated. Governance is different from management because the latter refers to what we do to achieve MPA/ OECM objectives, while the former is how decisions are made. Management refers to management actions, governance to the exercise of power by those who have the authority to make key decisions that affect others (Arguedas and redParques, 2019).

WHAT IS GOVERNANCE?

Governance refers to the mechanisms, structures, processes, and traditions through which the state and civil society articulate their interests, exercise their powers, fulfill their obligations, are accountable, and mediate their differences. Source: PNUD, 1997.

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3 The Ecosystem Approach. https://www.cbd.int/doc/publications/ea-text-en.pdf
4 IUCN- The International Union for Conservation of Nature is an international organization dedicated to the conservation of natural resources.

Planning processes have a strong decision-making component that is key to the MPA/OECM. For example, when deciding on objectives and goals, the orientation that the management of the MPA/OECM will have in the coming years is decided. Zoning is also defined and/or reviewed, to decide where, what is done and under what rules. Also, in many management plans, organizational aspects of the area are decided, as well as management strategies, and other important aspects. All these aspects and others that are part of the planning process, are involved in decision making, so we can say that these are one of the mechanisms under which the governance of the MPA/OECM is carried out, and therefore, must be done under the "good governance" approach.

In this sense, the International Union for the Conservation of Nature (IUCN) has established five principles for the four types of governance (government, private, shared and community). Good governance is an ethical framework for the proper exercise of power in the management of MPAs/OECMs, which is based on these principles, described below in Figure 1 (Borrini-Feyerabend, et al, 2014; Arguedas and Re-Parques, 2019).

Figure 1. Principles for good governance according to the Union for the Conservation of Nature

LEGITIMACY AND VOICE	DIRECTION AND LEADERSHIP	PERFORMANCE AND CAPABILITIES	TRANSPARENCY AND ACCOUNTABILITY	JUSTICE AND RIGHTS
Effective mechanisms for participation in MPA governance, incorporating all legitimate stakeholders (including women and youth), transforming conflicts, reaching agreements, listening to all parties, etc. It also helps to create a more equitable governance.	A clear, shared and known vision of the future of the MPA, positive leadership, maintaining the motivation of all parties with common objectives, adaptability as realities and our understanding of the territory change, etc.	Capacity to meet the challenges of good governance, be effective in managing the MPA, be able to learn from experiences and improve governance, respond effectively to stakeholder demands, etc. This principle contributes to more effective governance.	Ensure access to information, communicate in an appropriate and timely manner everything that is of interest to people, report on what is done in the area and its results, conduct and communicate audits, etc.	To know, identify and respect the legitimate rights of local people, both individual and collective, particularly in the case of indigenous people and fishing communities. Generate benefits for society and distribute them in a fair and equitable way.

We incorporate elements of modern planning

Adaptive management must be planned within modern paradigms and in that sense, for MPAs in general, so in this guide the following key aspects are considered:

■ **Inclusive planning and negotiation.** It answers to the need to make decisions in the presence of multiple stakeholders, who have legitimate links and rights in the MPA. This gives them the right to actively participate in the process, not as spectators, but to design together with the authorities, the objectives, goals, strategies, regulations, etc. Such is the case of indigenous and/or local communities that have rights for the traditional use of marine resources.

■ **Adaptive approach.** The adaptive approach refers to the fact that in modern planning and management, one does not think about guessing the future to decide what strategy will work today, without the possibility of making a mistake. The idea is to think about possible future scenarios, knowing that these are dynamic and unpredictable; this implies creating the conditions in the implementation of the plan, to learn as it is implemented, and correct the plan as one learns.

■ **Planning as a continuous process of management improvement.** Planning was seen as an unconnected block or moment in the history of MPA/OECM management. Today, it is understood as part of a continuous process of adaptive management cycles, which generate improvements or progress in the seascape.

■ **Multiscale vision (temporal and spatial).** Modern planning and management work by considering and making decisions on various time and space scales. It is possible to move from geographic scale sites (to analyze whether or not there should be tourism on a reef or island), to large-scale landscapes to decide which marine straddling species' connectivity routes should be protected. You can shift from making decisions about activities to be achieved in the first year of the plan's implementation, to thinking about results to be achieved in the next 10 to 20 years.

■ **Focus on measurable outcomes.** Many organizations focus their work on identifying measurable and verifiable results and impacts that must be achieved, and not only on a criterion of continuity of management processes. This allows the results of the plan implementation to be quantitatively evaluated and therefore progress between one past cycle and the next can be quantified.

■ **Well-designed processes with contextualized methodologies.** Planning processes must be designed based on solid, well-orchestrated methodologies that follow a logic, and that are also comparable between different experiences. But at the same time, the selected methodology cannot be somewhat rigid, since it must be able to adapt to the context of the circumstances in which it will be applied, particularly in the case of processes in which local communities play a leading role, such as in MPAs with rights of use to be respected, and in OECMs.

We adapted the Conservation Standards' methodological steps.

The methodological steps in this guide are an adaptation of those proposed by the "Standards for Conservation" (CMP, 2020), which have been developed by the Conservation Measures Partnerships (CMP), a consortium of conservation organizations that has worked over the past two decades to combine principles, best practices of adaptive management and results-based management to create a strong and adaptive methodological framework. It brings together common concepts, approaches, and terminology in the design, management, and monitoring of conservation projects to help users improve their practices. Today, this method is the basis for many of the planning and adaptive management processes followed in PAs in general, and in MPAs in particular, and we want to bring it to OECMs as well.

The Conservation Standards provide important advantages that align very well with the principles of modern MPA/OECM planning and management discussed in the previous section. One such strength is the various tools for conducting conservation feasibility analyses, which allow for setting measurable goals. Another advantage is that they focus conservation efforts on particular focal elements of the MPAs/OECMs, which, if all of them are protected, will conserve all of the remaining elements that need to be protected as well. In addition, these focal elements are strategically chosen to understand and evaluate the health of the MPA/OECM's biodiversity and the problems that affect it, facilitating the work in a conservation area beyond its boundaries, and more associated with a landscape rationale.

These and other comparative advantages mean that the Conservation Standards are increasingly being applied in the process of preparing management plans and in the management of protected areas, particularly in Latin America. However, their application in MPAs/OECMs requires adapting the Standards to take into consideration aspects specific to these conservation figures, for example: zoning, attention to institutional issues, the search for the well-being of local communities as an objective in itself of most MPAs/OECMs, analysis and decision-making to improve governance processes, and other similar issues. These issues are very important, especially when it comes to addressing the modern vision of MPA management, which involves much interaction and dialogue between the area and the social and productive activities that take place in the coastal marine landscape, which usually existed before its creation.

We revisited the adaptations made by Healthy Country Planning.

There are experiences in the application of the Conservation Standards, which delve into some key issues to adapt to different contexts. This is the case of the Healthy Country Planning or HCP initiative (CCNET, 2018), which adjusts the Standards to a social context with different actors, who have different demands for the use and conservation of their natural resources, which makes the effective participation of all necessary and fair, and where some of them correspond to traditional indigenous and/or local communities. Thus, a characteristic of HCP's adaptation is that it seeks to convert technical terms into a simpler language, making it more accessible to the understanding of general audiences that do not master technical vocabulary.

The HCP was initially developed in Australia, for work in conservation territories owned or used by indigenous peoples. But as it is a very common type of request in conservation efforts in many parts of the planet, with different cultures and countries, the adaptation of the Standards for Conservation through the HCP, has achieved the attention of many conservation planners and has been used in different countries, where social and cultural aspects are very relevant in these processes.

In the case of this guide, HCP's work served as the main reference, basis and inspiration for making the adaptations. Figure 2 shows a comparison of these three approaches to some issues, the adjustment made to the HCP, and the adjustment proposed by this guide.

Figure 2. Comparative table of approaches to participatory and adaptive planning and management.

Topic	Conservation Standards Approach	HCP adaptation approach	Approach to this guide's adaptation
Geographical application Focus	Global: they can be applied in any context, as they are the basic and central elements.	Territories owned or managed by traditional local and/or indigenous communities.	MPA and OECM from Chile and replicable for others in Latin America.
Social context	With participation of diverse actors.	With fundamental participation of traditional local and or indigenous communities.	With the participation of the traditional local and/or indigenous communities of MPA/OECM.
Language	Mainly technical.	Language tailored to an audience involving traditional local and/or indigenous communities.	Context-adjusted language involving key participation of traditional local and/or indigenous communities.
Degree of Complexity	Some tools require knowledge and technical language skills (e.g. feasibility analysis).	Some of the tools are translated into measures that are easier to implement by diverse audiences.	The tools are translated into measures that are easy to implement by a local audience within the context of the MPA/OECM. It adds complementary elements for social contexts, such as governance, stakeholder mapping and zoning.

In general terms, this guide aims to provide local communities and/or MPA/OECM planners with an adaptive and effective methodological framework, in which any conservation figure is recognized as part of a landscape with multiple social contexts, which has different demands for the use and conservation of its natural resources, and where indigenous and local traditional communities are interested and core actors. Some key considerations are:

■ There is a need or intention to actively and proactively engage local and indigenous communities in the planning process.

■ A language adjustment is made to make it more understandable and accessible to local communities.

■ Local interests of indigenous and/or traditional populations that are affected positively or negatively by the existence of an MPA/OECM are strongly considered.

■ The indigenous and/or traditional communities in the local context of the MPA/OECM are fundamental actors in all five steps of the adaptive management cycle.

Indigenous and/or traditional communities are key actors in the 5-step MPA/OECM adaptive management cycle. © Evelyn Pfeiffer / WWF Chile.

CHAPTER II: MPA/OECM PLANNING AND ADAPTIVE MANAGEMENT CYCLE

This chapter will explain the proposed general methodological framework, in order to understand the key steps for effective MPA/OECM planning and management, where the participation of local and/or indigenous communities in the process is relevant. It also summarizes the main steps and general structure of the adaptive planning and management cycle, which will be detailed in the next chapter.

General logistics for the planning cycle and adaptive management of MPA/OECMs

The "cycle of planning and adaptive management" corresponds to a sequence of steps that range from who to invite to begin the MPA/OECM planning process, to how to communicate the lessons learned that arise from the planned versus the developed in those areas. Figure 3 outlines the five major steps that make up this cycle.

It is important to emphasize that each step corresponds to a stage in the management of the MPA/OECM, which therefore has a reason for being and follows a logical order, so that each step results in products that feed the next step and gives meaning to the process. In addition, it promotes efficiency as opposed to what is expected to be solved at least in each step, and at the same time, continuous learning allows management to be adapted according to what is learned.

Figure 3. MPA/OECM Planning and Adaptive Management Cycle

Step 1: Where we are, and where do we dream of going.

Step 2: How do we achieve the dream?

Step 3: Working towards a dream.

Step 4: What we do right, and how can we improve?

Step 5: Sharing what we have learned.

Introduction to the steps

■ **Step 1 Where we are, and where do we dream of going?** The cycle begins with preparing for the next step, which is planning, by generating preconditions and enablers to do it well. It also includes defining the MPA/OECM framework, and where we would like to go.

■ **Step 2 How do we achieve the dream?** The second step allows us to think and plan how we will manage the MPA/OECM to achieve the dream, that is, to define the actions that will be developed to transform the current reality into a desired one.

■ **Step 3 Working towards a dream.** The third step has to do with the development or execution of what was planned in the previous step.

■ **Step 4 What we do right, and how can we improve?** The fourth step is to review and analyze how the execution of the plan is going, in order to make corrective decisions and adapt the plan.

■ **Step 5 Sharing what we have learned.** The fifth step is related to learning and communicating, this is where learning from the process is recovered and shared with interested audiences.

The following figure summarizes in general terms, the results expected for each of the steps. The colors represent each one of the steps and will provide a better orientation for the description of each one, in the following chapter.

Figure 4. Overall results expected from each step of the MPA/OECM Planning and Adaptive Management Cycle.

Step	Sub-steps and expected outcomes
Step 1: Where we are, and where do we dream of going.	Sub-step 1.1: Preparing for planning. · Assembling the teams responsible for the design of the Plan. · A Planning Process Design Document (PPD), duly approved and/or validated by competent MPA/OECM authorities. Sub-step 1.2: Identifying the dream and the challenges to achieve it. · A map identifying the geographical area of intervention, vision or a formulated dream and focal elements' identification and description. · Identification and description of critical situations. · Identification and prioritization of ecosystem services and human well-being aspects. · Analysis of the governance and management of the MPA/OECM in a landscape context.
Step 2: How do we achieve the dream?	· Objectives, strategies and goals' formulation and justification. · Action and monitoring plans design. · Establishing zoning management. · Definition of a General work plan.
Paso 3: Trabajando para lograr un sueño	· Definition of an annual work plan. · Plans implementation and reporting.
Paso 4: ¿Qué hacemos bien y qué cambiamos para mejorar?	· Collecting and processing all monitoring information. · Analysis of the monitoring results. · Review and adjustments to the management plan.
Paso 5: Comunicando lo aprendido	· Documenting and sharing lessons learned. · Operational communication strategy for learning. · Development of measures to promote favorable conditions for learning.

CHAPTER III: METHODOLOGY

In this chapter, we will delve into each of the 5 steps of the MPA/OECM planning and adaptive management cycle presented in figure 3, recognizing all the sub-steps and expected results described in figure 4, which have been arranged in this guide under 4 sections: A. Description; B. Why do this step; C. What should be done in this sub-step and how; and D. Recommendations (See figure 5), which are represented by a specific icon.

Figure 5. Structure and objectives of the four description sections of the Planning and Adaptive Management Cycle

Section Title	Symbol	Objective
A. Section title		Provide the reader with information on the general content of each step and/or sub-step.
B. Why do this step?		Explain the importance of this step and each of the issues resolved in this step.
C. What should be done in this sub-step, and how?		Describe the recommended tasks or actions, in order to achieve each step or sub-step in a logical order.
D. Good practice recommendations for success.		Suggest complementary actions for the step or sub-step, which can help ensure a successful implementation.

Marine species sighting in the MU-CMPA, Pitipalena-Añihue, Aysén region, Chile. © WWF Chile

STEP 1: WHERE WE ARE, AND WHERE DO WE DREAM OF GOING?

The first step of the MPA/OECM planning and adaptive management cycle includes those actions that must be resolved before starting the planning stage, and therefore implies having the enabling conditions to develop the following steps. This includes two major aspects, the first is related to **the organization of work teams and the design of the planning process itself.** The second aspect refers to establishing **the limits of the planning and management process** (where is the plan going to be made?); defining the dream or vision about the type of area we want to have in the long term, and analyzing the current situation of the MPA/OECM in which we are, so that the plan really starts from the needs and opportunities presented by the marine landscape

Therefore, this step has been broken down into two sub-steps: preparation of the process (sub-step 1.1) and conceptualization of the plan (sub-step 1.2).

Step 1: Where we are, and where do we dream of going.

Step 5: Sharing what we have learned.

Step 2: How do we achieve the dream?

Step 4: What we do right, and how can we improve?

Step 3: Working towards a dream.

SUB-STEP 1.1: PREPARING FOR PLANNING

A. DESCRIPTION

This step is the answer to this question; who and how will we develop the plan? It is the same thing we would do before starting to build a boat: first we consider if we have all the resources to build it, if we have the specialized workforce required, and then we make a timetable for the different stages of construction of the boat. In other words, this is the way we prepare before starting the work, to guarantee that we will do it well.

B. WHY DO THIS STEP?

It is important to be well organized in the process of developing the plan. This involves defining who will participate and how, particularly who will make important decisions. Among other things, it addresses what do we want the plan for, how we will do it, with what resources, and how much time we will spend on planning (Step 2).

C. WHAT SHOULD BE DONE IN THIS SUB-STEP AND HOW?

The different tasks to be performed in this sub-step (tasks 1 to 5) and their results are described below.

Task 1: Who will put this boat at sea?

A team of people is needed to push the boat and set it afloat. This group is called the Starter Team (ST) and they are the people who have the task of driving this process, "sowing the seed" of planning and adaptive management. This group does not make the plan, nor the management, but it designs the whole process, supervises and drives it until it is kept afloat. Therefore, this group is responsible for gathering, obtaining and/or mobilizing the financial and technical resources, as well as the working methods to begin the planning process.

The members of the ST must have a good institutional vision, be reliable and/or recognized in the context of the MPA/OECM and have good relationships with the organizations that will lead the process. They must also have a good understanding of the MPA/OECM context. This team is assembled by identifying people with the time, the necessary qualities and the support needed to take on this challenge.

> *Task 1 outcome: The Stater Team is duly formed and recognized by the appropriate authorities.*

Task 2: Talking about how we are going to build the plan

The **ST** should start its work by discussing and building around the following guiding questions of the entire planning and management process, in order to be able to establish the enabling conditions for the next step: planning.

- *About the meaning of all this:*
  · Why do we need a plan? How and what will we use it for?

  · Who is interested in this plan? Who is it for?

- *About the people who will participate in this:*
  · Is there an MPA/OECM management team with clearly defined roles?

  · Besides the initial team, who else should or must be involved in the planning and management of the MPA/OECM? (Preliminary identification of key actors).

  · Do we have people with the time commitment required for at least the planning process, and who will manage it afterwards?

  · Have we identified all the key players to participate, and are we clear on how they will be incorporated into the process? What induction will we give them to participate effectively?

- *Regarding the adequacy of the method and timetable:*
  · What are the working approaches (communication, speakers, participation mechanisms, logistics of activities, etc.) that work with local communities?

  · If we need to adapt the methodology to our reality, which steps are the most relevant, and which additional steps should be considered; which tools or techniques are we going to apply in the process?

  · How much time do we need, and how will we organize ourselves to cover the process during that period?

- *Regarding the resources and input needed:*
  · What resources are needed and what sources are available?

  · What supplies or input will be required to achieve the next two steps in this process?

  · Where are the valid and effective sources of information for this process, whether documentary or personal, and can we access them efficiently?

- *Regarding the governance of the process:*
  · Who will participate in decision-making and who will only have an opinion?

  · How will the decision-making processes for the development of the plan be balanced out with the governance processes of local stakeholders?

  · How will the community, be kept informed of the process advancements?

  · Who will finally approve the plan and make it an official document? How will decisions be made in the process? How will disagreements be dealt with? How will respect be ensured for the legitimate rights that others have in the protected seascape?

- *Regarding guidelines and legal frameworks that must be attended and/or respected:*
  · What guidelines, policies, traditions or customs should be respected, particularly in the case of OECMs?

  · What are the restrictions of the MPA category and protected areas in general, which should be known and respected in the process?

  · What were the objectives for which the MPA/OECM was created?

At this step, perhaps not all questions were solved, but the ST will document the progress made in the face of these discussions, by writing down decisions, concerns, doubts and conclusions that may have arisen. This task may be completed when the ST has clarified most of the issues or identified the need to address

them with other key people who will be part of the Central Planning Team (CPT).

Task 3: Who else will row this boat?

The ST is also responsible for organizing the formation of the **Central Planning Team (CPT)**, which will be in charge of developing the content of the plan and coordinating its future implementation. It is important to consider that the **CPT** may be part of, or have responsibilities for the overall plan's implementation, but it is not always the case that all those involved in planning are responsible for implementation.

Based on several of the questions in the previous task, a detailed stakeholder analysis will be done with information on which of them could or should be partners in the management actions of the area. Since a MPA/OECM generally has a varied group of stakeholders according to the conservation model, it is convenient to make a comparison exercise of their interests and priorities from the beginning. Remember also that the **CPT** must achieve good coordination among its members, as they will be working together throughout the process, so it is also important to identify potential points of conflict so that they can be addressed appropriately and in a timely manner. Stakeholder analysis includes finding and systematizing relevant information that applies to each of the key people in the process, which can be guided by the following questions:

• Who is the actor and what are its characteristics (type of actor and members, interest in the territory, internal governance, contact person(s), etc.)

• What links it to the MPA/OECM, which makes it strategic to have as a partner in the process (common, overlapping or conflicting competences/actions, previous conflicts or alliance relationships, etc.)

• What level of influence or power does it have in the territory, in relation to the management of the MPA/OECM, so that it is strategic to negotiate with it?

Depending on the level of importance to the area that emerges from the analysis, and also on the degree of interest in participating, some of the identified actors may be proposed to be part of the CPT, for which they will have to be invited and present a formal endorsement by those organizations, communities or sectors that they would eventually represent in the process.

THE CPT AND THE ST

Once the CPT is formed, the ST should present the planning process design that was developed, in order to validate it among them, and make the necessary adjustments. The CPT may not like some aspect of the "boat given to them to sail" by the ST, but it is part of the process, and adjustments can be agreed upon during this transfer.

A good central planning team (CPT) constitution ideally would have:

• Someone who will lead the planning, who holds the responsibility according to the conservation figure of the area to be conserved.

• Competent authorities, according to the figure of conservation of the area to be preserved.

• Team members who could eventually implement the agreed strategies, the overall work plan or monitoring;

• Community leadership: the effective participation in the team of one or more community leaders, or persons of outstanding performance in the community;

• People who know the community and its socio-cultural processes, the MPA/OECM's processes of use, the ecosystem's dynamics and its emblematic species, and who know about legal and institutio-

nal aspects related to the MPA/OECM;

• People with good capacity to think about problems, and answers to them;
• Someone with the ability to facilitate collective spaces (workshops, meetings);
• Someone with computer skills and special applications required in the process (e.g. map analysis).
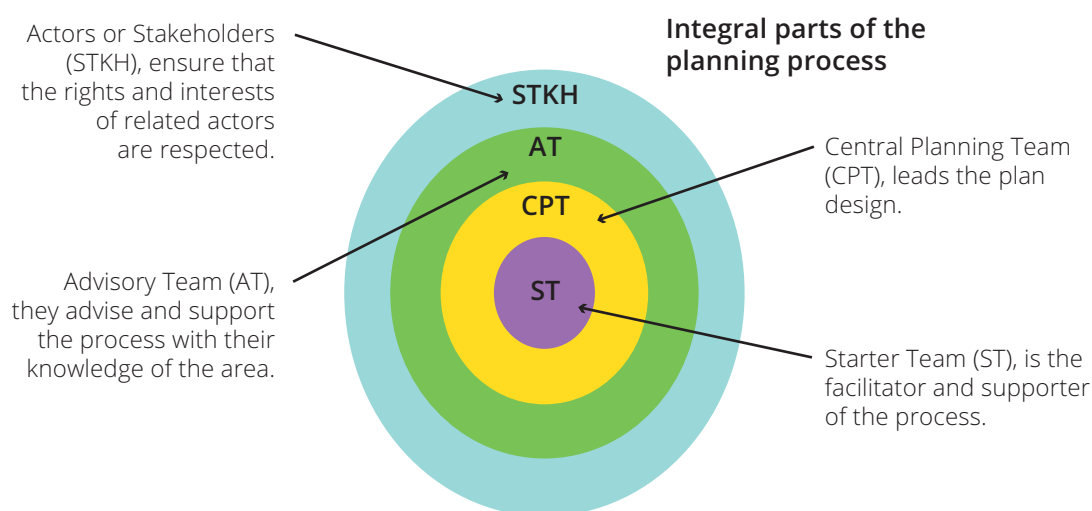
THE PROCESS LEADER

The leader of the planning process should have a number of basic qualifications to perform that role. Listed below are some of the ones that are considered fundamental to any such process:

√ *good team coordination skills,*
√ *negotiation skills,*
√ *assertive communication with different sectors (communities, organizations, governments, companies, scientists, etc.),*
√ *ability for strategic thinking,*
√ *ability to work under pressure and short deadlines,*
√ *ethics and good faith to conduct the process,*
√ *sensitivity to social and environmental issues*
√ *critical analysis capacity of the process and its results*

Those who comply with the requirements described above, will usually be those who have a direct relationship with the use of the area and those groups, organizations, institutions or interested linked companies that do not become part of the **CPT**, will be identified as **Actors or Stakeholders (STKH)**, whose participation in the process will take place in collective activities of consultation, feedback and validation of key aspects of the plan.

Finally, planning may require timely support in some tasks from an **Advisory Team (AT)**, who will provide knowledge and information to enrich the process, in cases where the CPT requires it. This team may be made up of people from the community with a solid knowledge of the issues that will be worked on in the process, or they may also be experts or scientists who have relevant information to contribute. These people do not necessarily represent an organization or community, but are chosen for their knowledge of the social, ecological or economic processes that occur in the territory, so in many cases their choice will depend only on direct negotiation (see figure 6).

Figure 6: Key actors in the planning process

Actors or Stakeholders (STKH), ensure that the rights and interests of related actors are respected.

Integral parts of the planning process

STKH

AT

CPT

ST

Central Planning Team (CPT), leads the plan design.

Advisory Team (AT), they advise and support the process with their knowledge of the area.

Starter Team (ST), is the facilitator and supporter of the process.

Task 3 outcome: Central Planning Team, Actors or Stakeholders, and Advisory Teams are formed; the CPT has reviewed and adjusted the design of the planning process made by the ST.

Task 4: How much will this trip cost and how long will it take?

Once we have covered the previous tasks, we can begin to organize the activities required for the next two steps and we will do so with a schedule.

The schedule can be summarized in a timeline where activities will be detailed (e.g. preparation and implementation of workshops, tours, meetings, preparation of documents, literature review, etc.) and responsible persons will be assigned to each one with a deadline for compliance. It is also advisable to estimate costs of the process and potential funding sources for each activity. The definition of the chronology of the planning process will be complete when all parties have agreed to this work plan.

A simple way to make a timeline can be seen below in Figure 7.

Figure 7: Planning Process Timeline

Activities	RESPONSIBLE		YEAR												Insured costs $	Uninsured costs $
	Main Responsible	Support team	Month 1				Month 2				Month 3					
			1	2	3	4	1	2	3	4	1	2	3	4		
Identify CPT																
Call a meeting																
Build a work plan																

Task 4 outcome: Creation of the timeline and budget.

Task 5: Planning Process Design

As no ship leaves port without the Port Captain's permission, this process cannot begin without being approved and/or validated by the appropriate authorities. For this purpose, a document called Planning Process Design (PPD) is prepared, which will summarize the results of everything discussed, analyzed and decided previously between the ST and the CPT, which must be submitted for approval and/or validation by the appropriate authorities.

WHAT IS THE PPD?

The Planning Process Design or PPD, is a document that contains the main agreements, methodological characteristics, guidelines, governance aspects, budget and resources, timeline and other issues, which are important to define before starting the planning process, to ensure that it is carried out successfully. This document must be approved by the authorities who will then formalize the plan. There are countries like Uruguay, where this process is mandatory, and others like Argentina, where it has been established as an important planning practice.

This will provide assurance that the authorities are aware of, and agree with, the designed process. On the other hand, the PPD serves as a communication tool for donors, as well as for public and private institutions that want to know how the plan is being formulated. The PPD is an agreement that protects the initial agreements on which the work of the CPT was based, from outside intervention.

Task 5 outcome: PPD document duly approved and/or validated by MPA/OECM competent authorities.

When all these tasks have been completed, Sub-Step 1.1 would have been accomplished.
A reasonable expectation is that this sub-step will take one month to complete, although it may take a few more weeks if it is difficult to get the resources from the CPT or get approval.

D. GOOD PRACTICE RECOMMENDATIONS FOR SUCCESS

Hold a preliminary meeting for an introduction of those involved and the process itself.
· If there is no previous work in the area, **make a previous contact with the community.** Promote a first approach in order to introduce and get to know each other.

· In that sense, it is recommended that you hold a meeting prior to the plan to **build or strengthen relationships with local people.** The objective would be to get to know each other and let them know the process.

· It is important to emphasize in that meeting, how the planning process could **affect the interests and/or rights of local communities and other local actors,** being totally transparent and clear about the type of decisions that will be made, and their possible effects on issues that are of interest to them.

· Another relevant aspect is to discuss how to solve the **logistic and communication issues** that may limit/facilitate the effective participation of the most vulnerable actors such as, indigenous people, women, young people or fishermen.

· It is also important to include in the agenda, a review of **issues that local communities and other sectors (academic/scientific, fishing companies, tour operators, etc.) would be interested in addressing during the process,** as long as these issues are directly related to the construction of the MPA/OECM plan. Other topics not linked to the plan and which are of great interest to some sectors, will not be ignored, but will be referred for discussion in other appropriate forums, or at another time.

Use appropriate facilitation techniques.
· To develop the **dialog tables** with and among the various actors involved in the process, it is important to consider three types of collective activities: one that is more inclusive, where all involved are present, others where only a few representatives are present to discuss critical aspects in greater depth, and another, with focus groups representing some very specific interests.

· Use techniques and tools that **promote the active participation of all those involved,** particularly generating opportunities and conditions so that everyone can contribute their ideas, including those who find it difficult to interact in group discussions

· **Take pictures** of all the products written on paper and ask for participants' permission to take pictures or videos of the general activities. This will serve as both memory, and input for the process systematization.

· **Allow sufficient time between meetings** for local stakeholders to review and comment on the results. Different cultures and organizations usually have internal discussion and decision-making processes that must be respected.

· Everyone who is going to participate in the activities of the planning process, should receive an **orientation and/or training** about the MPA/OECM, to make sure that before giving their opinion, they are familiar with key aspects of the area (objectives being pursued, their reason for being, limits, management category, conservation values, main natural and cultural characteristics, etc.).

Respect the territory that will be involved (its dynamics and pre-established rights).
· It is essential to consider **community governance** and the institutional framework for decision-making in the MPA/OECM, if any, during the development of the plan. To this end, when mapping actors, the legitimate mechanisms by which these groups make their strategic decisions, should be investigated in detail (in indigenous communities, community-based organizations, fisherfolk groups, etc.).

· In the event that the future plan involves indigenous communities' territories or interests, there must be clarity about the protocols that must be respected in order to carry out the **prior and informed consent,** established by ILO Convention 169. The management plan elaboration is evidently

an administrative act for which it is mandatory to make such query. For example, in the case of Chile, CONAF's SNASPE Management Planning Guidelines for Protected Areas (Sepulveda et. al., 2017) state that participation and consultation processes must be based on sharing sufficient and appropriate information prior to any decision making, to allow local communities (indigenous or not) to understand the process, the issues, and to influence the matters that concern them. The same manual details how to proceed in cases where consultation and indigenous participation are needed.

· The other processes that are underway in the territory must be taken into account and respected, as well as climatic conditions that can determine how the timeline should be organized: deadlines, seasons, community events, etc. For example, holding workshops in times when there is an increase in fishing, tourism or other activities could be unproductive because it would be difficult for these sectors to be present in these activities. On the other hand, taking advantage of assemblies or meetings already established by them, could reduce costs and increase the effectiveness of gathering in certain sectors.

Coordinate each participatory activity, based on the objectives being pursued.
· Design each participatory activity **based on what you want to achieve.** For example, when you want to know a sector's position on a topic, it may be better to do a focus activity with members of that sector only. But if you need to make decisions that are agreed upon by different sectors, a workshop with representatives from each sector may be required. In general, planning facilitators should be prepared to propose the most appropriate ways of working for each situation, according to the audience and the expected results.

· For the **design** of each participatory activity or dialogue table, the following aspects should be defined at least in advance and with absolute clarity: target audience, expected results, facilitation techniques to be used, date and time available, as well as the fundamental logistical aspects (invitation, place, transport, accommodation and food).

SUB-STEP 1.2: IDENTIFYING THE DREAM AND THE CHALLENGES TO ACHIEVE IT

A. DESCRIPTION
Once all the preparation for the planning process is done, the CPT starts rowing. The first thing is to define the land and sea space that will be covered by the planning and we call this "scope".

The second thing will be to decide where we want to take the MPA/OECM, and this we call "dream or vision".

Finally, in this step it is important to establish the relationships between key components of the MPA/OECM. This last element should consider the relationship between what we want to conserve and the critical situations occurring in the area, which need to be solved in order to have a well-conserved MPA/OECM for many years **(conserving what we have)**; the benefits obtained from effective conservation of MPA/OECM **(generating benefits)**; and the capacities that exist to properly manage the MPA/OECM **(good management)**. (figure 8)

Figure 8. Key elements for MPA/OECM challenge analysis.
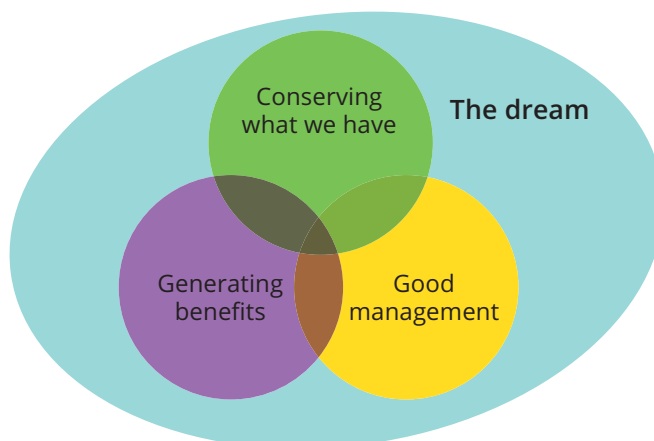
B. WHY DO THIS SUB-STEP?

Why do we define the scope?
Because it is necessary to define geographical limits to focus the analyses and the actions of the plan. In other words, it is useful to be clear about where we are going to work, and where we are not.

Why design a dream or joint vision of the future?
So that all those interested can contribute to its construction, and in this way, feel part of the MPA/ OECM so that their expectations are included in that dream, thus contributing to achieving it together. On the other hand, it is also done to guide the actions of the plan in a direction in which all or most of the actors involved agree. Let us also remember that this is part of the principles of good governance mentioned in Chapter I.

Why define focal elements?
In order to identify those features or aspects of the seascape that are key to conservation, and which allow us to take care of the entire MPA/OECM, for example: fish, estuaries, special places, culture, different types of places, resources for people, etc.

Why analyze the focal elements' health?
It helps to understand which ones are most at risk of disappearing, and therefore which ones need priority attention.

Why make an analysis of critical situations and their causes?
To identify those situations occurring in the seascape, which are causing the greatest problems to the focal elements and preventing a healthy MPA/OMEC, as well as to understand why they occur. This allows us to first define which ones should be addressed as a priority, and the second is to focus actions towards the causes that promote them and not only on the situation itself.

Why do we analyze the benefits generated by the MPA/OECM for people?
This analysis is done to identify how conserving the focal elements can be beneficial to people, and how we can make more services and profits while respecting the management category. It allows us to better understand the relationship between local communities and protected resources

Why analyze MPA/OECM governance?
This is done to identify both positive and negative aspects of the way authorities exercise power, are accountable or manage conflict in the seascape. Improving these aspects enhances the quality of management and it is essential to correct possible related problems if we want to fulfill the dream.

Why do we analyze MPA/OECM management?
Understanding the existing management capacity, if any, to carry out the MPA/OMEC is fundamental in order to avoid designing a plan that will not be executed due to lack of these abilities. This analysis will provide guidelines to design a path to strengthen the organization, which will take it to the required level, based on the challenges that must be confronted to achieve the dream.

C. WHAT SHOULD BE DONE IN THIS SUB-STEP AND HOW?

Below we will describe several tasks (from task 6 to task 12), which will allow us to answer this question.

Task 6: Defining our work area

Sometimes, to design a house on a site, we look not only at the house's construction space, but we also take into account everything around it that might influence the design, for example; where the fruit trees will be, the view of the ocean, the entrance, etc. Depending on all that, we decide where the windows, the house's main door and other things will go. In the same way, to decide what should or should not be done to achieve the dream, we must take into account what happens around the MPA/OECM, keeping in mind that the area is not isolated from what happens around it, and that we must consider this to ensure good management. That is the scope, the area of the seascape that we are going to study and take into account, to define what we are going to do, and where we are going to do it. Therefore, we need to ask ourselves some questions, and each answer must be located on a map, to know where it takes place.

• What MPA/OECM surrounding activities have a positive or negative influence on its conservation or on the generation of benefits?
• What natural environments are around, and important for the species living within the MPA/ OECM?

Figure 9 shows what could be the definition of the scope (white polygon) for an MPA/OECM (yellow polygon). Note that the scope is larger than the MPA/OECM boundary, as it includes areas where actions will be important, since they are areas where fish stocks or marine mammals move, navigation routes, beaches for recreational use, as well as other human activities or infrastructure that may positively or negatively influence the MPA/OECM.

The CPT may start with an initial scope proposal, but it should then be presented, discussed and validated by a larger group, possibly the AT.

Figure 9. Example of geographical delimitation of the scope, in relation to the limit of the marine protected area
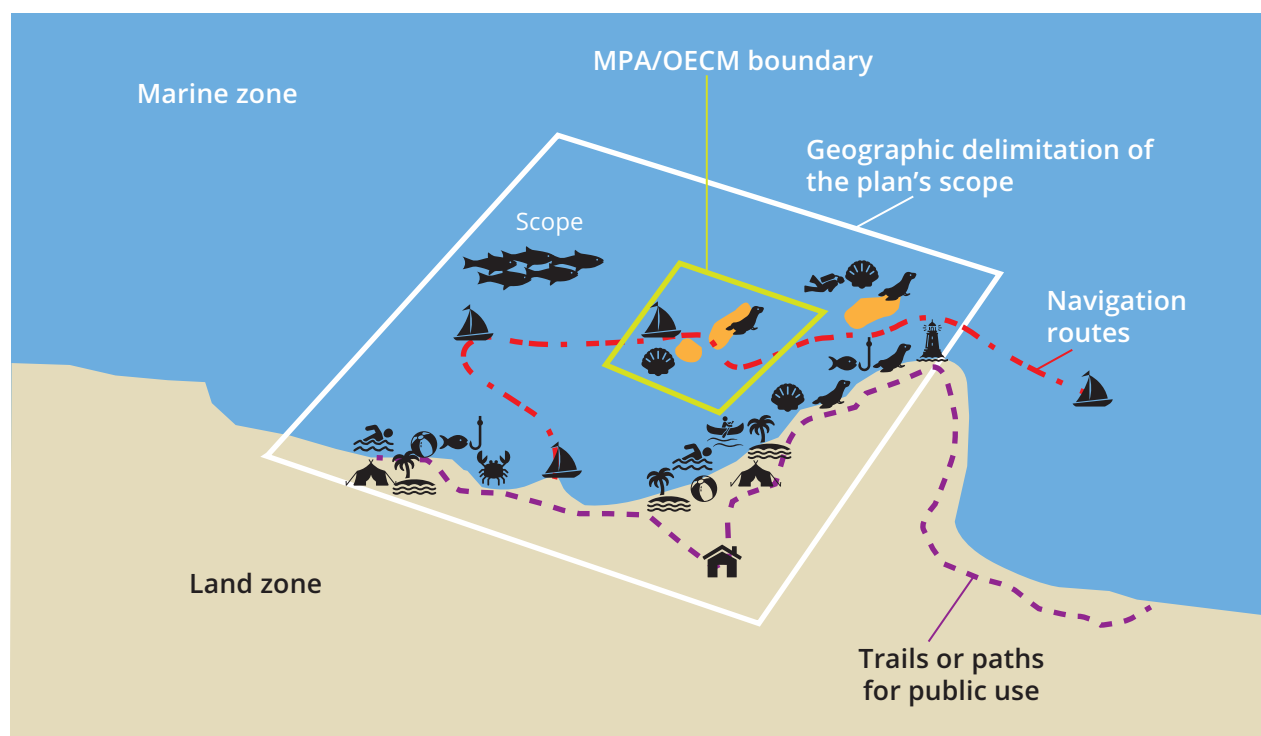
Task 6 outcome: A map identifying the geographical area of intervention in the seascape.

Task 7: Building a common dream (dream or vision)

The next task is related to the collective and participatory construction, and how we want or dream the MPA/OECM will be in the future. This dream is also known as Vision, and it will provide the direction needed towards the management efforts that we will focus on in the next 10 or 20 years. This dream does not only include how we imagine MPA/OECM resources will be protected in the future, it also includes how we imagine the local communities' welfare, but only on those aspects that are related to the existence of the MPA/OECM.

The idea is to include the stakeholders' common interests in the dream, but without opposing the purpose of the protection figure. To this end, we will have to consult all the sectors represented in the STKH group, on how they want the MPA/OECM to be in the future.

In the end, the text of the dream or vision should be relatively general, inspiring, simple and brief so that everyone involved can remember it. The dream should be achievable, but at the same time challenging, so that it guides management towards positive change.

EXAMPLES OF A DREAM OR VISION TEXT

Cabo Blanco Marine Reserve (Costa Rica): *"To be a leading management area in the sustainable use of marine resources in Costa Rica, where the conservation of resources and the improvement of the communities' quality of life are achieved", (SINAC, 2017).*

Paracas National Reserve (Peru): *"The Paracas National Reserve conserves biodiversity through the sustainable use of natural resources, with the coordinated participation of the governmental and private sectors , and representatives of social organizations, generating benefits and improving the quality of life of the population, as well as promoting the protected natural area as the main ecotourism destination, through the diversification of tourism offers and providing different environmental services", (SERNANP, 2010).*

Task 7 outcome: A vision or future dream, written, known and agreed upon with stakeholders.

Task 8: Defining what we will fish with conservation nets (focal elements)

In the sea there is a lot that can be fished, but the fisherman leaves thinking about fishing only some types of fish, those he considers to be his goal for the day. In the same way, a fundamental aspect of this methodology is to work based on "focal elements", which are also known as "conservation objects". These are species, environments, ecosystems, or also processes such as fish reproduction or the production and purification of freshwater that occurs in rivers, which are important to maintain for the health of MPA/OECM. They can also be tangible cultural aspects (they can be seen, touched, measured), for example; archaeological sites, sacred sites, historical constructions, shipwrecks, which are part of the MPA/OECM and contribute to give identity to the social groups that live in the marine landscape.

In the **Conservation Standards** document (CMP, 2020), there are some ideas that may be useful to identify focal elements, called conservation objects.

In addition, it is recommended to first make a list of everything that is considered important or valuable for the different interests involved (conservation values), and later choose which of them we will work with, selecting those that meet all or some of these requirements:

For the natural focal elements:
· Species or environments that are part of the MPA/OECM creation objectives.

· Species or natural environments that have some kind of problem, damage or activity that affects them.

· Endangered species or environments in the region or country.

· Species or environments that may not be damaged today but could be in the future.

· It is recommended to have at least one element that represents species (swordfish, humpback whale, dolphin, tuna, etc.) and at least one element that represents natural environments or ecosystems (for example: corals, estuaries, etc.) If it is possible and there is information, it is advisable to identify ecological processes (e.g. reproduction of a certain biological group or migration).

· Focal elements can be grouped together when they have common characteristics (e.g., commercial species, songbirds, migratory shorebirds, etc.).

For cultural focal elements:
    · Aspects of tangible cultural interest that are related to the identity of the social groups that live in the seascape and have some kind of deterioration.

    · Cultural aspects that are part of the MPA/OECM's creation objectives.

It is recommended to have between 4 and 8 focal elements, since it is important to remember that the aim is to have an effective management, but not necessarily of all the area's elements. Each selected focal element must be described in detail with the existing information, so that aspects of its biology are properly mentioned in a text to differentiate it from others that are similar, or of a cultural nature; the geographical space where the intervention area is located must be identified; the current or potential uses it has; the activities that may affect it today, or in the near future; and anything else about known damages or problems that are negatively affecting its long-term survival.

This task should be performed by the **CPT**, as well as by the **AT**.

EXAMPLES OF POSSIBLE FOCAL ELEMENTS FOR A MARINE AREA

1- Historical lighthouse
2- Colonial Shipwreck
3- Rocky beaches with sea lions
4- Estuaries
5- Humpback whales and dolphins
6- Fish for commercial use

> ***Task 8 outcome: Documentation of all selected focal elements characterization, with the respective maps indicating their location in the intervention area.***

Task 9: Taking the temperature of the focal elements (health)

For each of these elements, it is necessary to take its temperature, that is, to look at its health, which is also known as "viability". Health, or viability, is the capacity of an element to resist or recover from some damage, or to survive in difficult times and continue to exist. As the focal elements will be the focus of work in the coming years, it is necessary to be aware of how their health is doing. This action of being aware of what happens to a focal element or anything else is known as "monitoring".

To do this, we identify the key aspects that allow us to know or diagnose the health and we call these "key attributes". For example, when a paramedic arrives at a traffic accident in which there are several injured people, he must decide which of them needs to be transferred to a hospital first, according to the risk they have of dying from their injuries. What the paramedic does is a quick analysis of their health (viability), trying to determine which of the patients is worst shape. To do this, the paramedic observes some aspects that are key to preventing the person from dying, such as not losing too much blood and being able to breathe, in addition to the fact that the brain and other vital organs are functioning well. Well, we do the same with the focal elements, we look at certain key attributes for their survival and we look for symptoms that indicate their state of health, in order to assess the level of risk of disappearing that each has.

There are several resources in the literature to make a health assessment of the focal elements, a process which is recommended to be supported by technicians and scientists who handle specific information on the status of these elements. In that case, a first health analysis would be done only with this group of specialized people, and the conclusions would be shared and discussed with the CPT. If the participation of the CPT with the support of the AT is wanted directly in the development of this task, the result could be less technically oriented, but equally valuable to evaluate the state of health, and for the viability for the conservation of the focal elements. In both options it is important to have adequate facilitation techniques, such as the use of color cards, group work and discussion of the results, encouraging everyone to have an opinion.

The first thing that is done is to assemble groups with members who know very well one or two focal elements. They should carefully read the focal element description done in the previous task. Then, in

order to select the most relevant characteristics that determine the health of each focal element, the team should reflect on the following question: what characteristic(s) of the focal element (key attributes) should be maintained to ensure its survival for at least 100 years?

Each feature of the focal element or key attribute will be written on cards, pointing out in color code how we understand that attribute to be today. Red means that that key attribute is very poor, yellow means that it is more or less, and green that it is good. The team will reflect on how they think that attribute will be in the future (10 to 20 years), if conditions continue as they are today, the respective color is placed. When we know nothing, we place nothing, and that becomes something to investigate in the future. Finally, thinking about the dream or vision as defined, we define, as realistically as possible, how we would like that key attribute to be in the future (10 to 20 years).

Figure 10 shows an example for reference, to get a clearer idea of what each group's product would look like.

Figure 10. Example of Basic Focal Element Feasibility Analysis

Focal Element	What does the element need to survive and stay in good shape for the next 100 years? (Key attribute)	How is it today?	How will it be in the future, if things go the same way?	How would we like it to be to fulfill the dream?
Estuary	Sufficient size of the water mirror	🟡	🟡	🟢
	Good quality of the estuary water	🟢	🟡	🟢
	Quality and quantity of water from rivers that flow into it	🟡	🔴	🟡

Task 9 outcome: Paper files and digital photos of the focal elements' health analysis.

Task 10: Identifying where the storms come from (critical situations)

Just as we are interested in knowing when and where storms come from, to prevent them from causing severe damage to coastal populations, we need to know where the damage to natural and culturally valuable environments comes from. Therefore, this task consists of identifying the critical situations that cause damage to the focal elements, and then evaluating them and prioritizing which of them requires urgent attention. We need to identify what is the problem we see in the focal element and, on the other hand, what is the critical situation that causes such damage.

From the key attributes and results of the focal elements description that we worked on in the previous task, we will see which ones present damage and the source behind it. The team must identify each critical situation, looking at the whole context and analyzing its relationship with the focal elements and their causes and consequences. Once again, with color code, it is possible to classify how critical each situation is: red, very critical; yellow, moderately critical, and green, not very critical.

Once the previous exercise has been completed, those critical situations that the group considers a priority should be chosen and addressed, either because of the severity of the damage they cause, because for the group, these are easier to intervene, because by working on them other situations can be solved, or by any other criteria that the CPT has defined. Regarding these, it is important to detail a bit more what they are about, who makes them, what for, and why are they made, trying to map them out by pointing out what

causes them. and what the consequences are, and at the same time, establishing their direct or indirect relationship with each focal element. It is likely that the same critical situation can affect more than one focal element and more than one key attribute.

In practice, each prioritized critical situation will initially be analyzed separately, but it is convenient to later integrate the analysis into a single drawing to see the whole picture. All results must be kept in their original paper version, as well as photographed, and must be digitalized with a suitable program.

Figure 11 shows an example of how this type of analysis could look.

Figure 11. Example of cause and effect relationships in critical situations
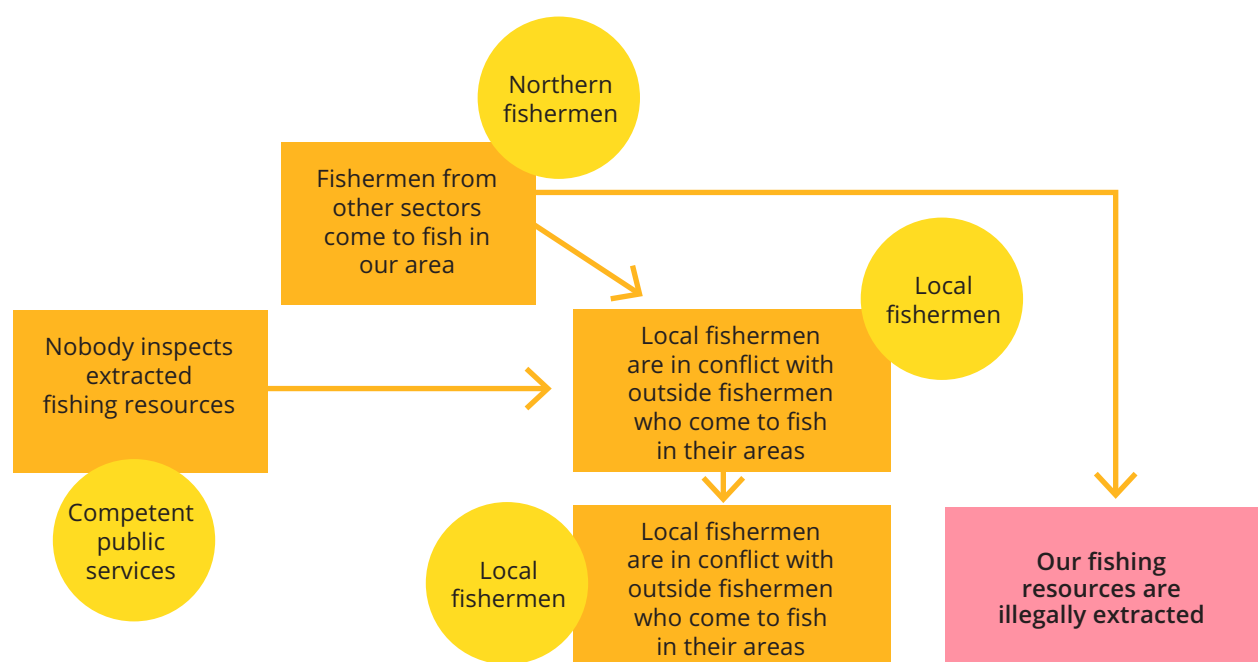
To end this analysis, the CPT should identify which of these aspects or factors are a priority to be addressed in the coming years, in order to achieve our dream.

> **Task 10 outcome: A document that includes all the analysis results and charts done in this task, as well as the photographic and physical support of all documents.**

Task 11: Remembering that nature is a source of life and well-being

Following the key elements of the MPA/OECM (Figure 8), and after analyzing the elements, health and critical situations that affect what we want to conserve, this task seeks to address the benefits generated by the conservation of these areas. Many of these benefits occur if they have a healthy environment and this is achieved through the conservation of the focal elements that we have selected from biodiversity, since these guarantee "ecosystem services". Ecosystem services are, on the one hand, those products provided by nature that we can consume, such as water, fish, mollusks, etc. It also refers to certain functions such as the production of fish in estuaries, the capture and distribution of water by rivers and others. Finally, nature also provides us with services that we enjoy, such as scenic beauty, beaches for recreation or rivers for swimming. So, in other words, if we lose the focal elements, we lose the health of the MPA/OECM and, as a consequence, we lose the capacity it has to generate benefits and, therefore, well-being in people.

The task is to make a diagram similar to the previous one, in which the ecosystem services provided by the natural environments of the MPA/OECM are placed in the first column on cards. In the second column, we identify the type of human well-being generated in the area covered by the plan. Finally, in the third column, we place those sectors or social groups that receive these benefits.

Figure 12. Identifying ecosystem services and their relationship to humans

Ecosystem service	Human well-being	Which people?
Fish, mollusks, crustaceans, etc. Edibles	Food	Area communities
Tourist attractive species	Tourism related employment	Tour operators
Tourist attractive places	Physical and spiritual health	Residents and visitors
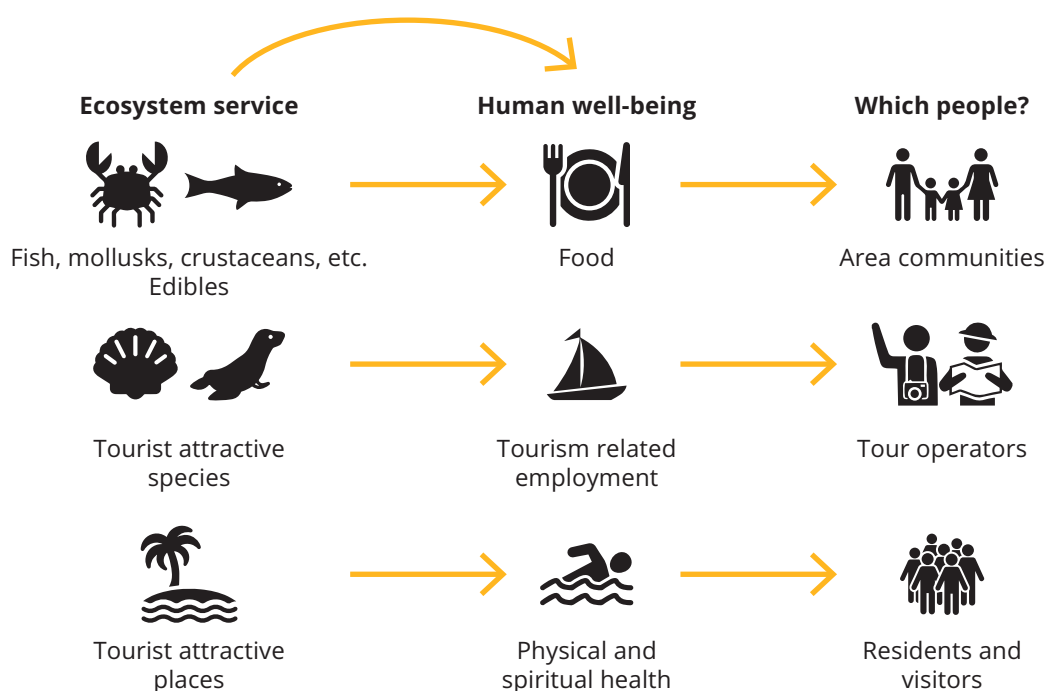
In this scenario, the group is asked questions to reflect on what is happening:

• Which of these benefits are most important to maintain? Point them out in some way.

• Which of these ecosystem services are being lost because of the damage we have seen to the focal elements?

• What aspects or factors would be a priority to attend to, in order to achieve our dream?

It is recommended that this task be done by the CPT with AT support.

> *Task 11 outcome: A document with identified and prioritized ecosystem services. Description of the aspects of human well-being that depend on ecosystem services, and that are enjoyed by local communities, and other actors linked to the MPA/OECM.*

Task 12: Let's see how good we are at sailing

At the end of this step, and according to figure 8, we will analyze the governance and management of the MPA/OECM.

The first thing is to know how good we are at commanding the ship (governance). On a ship, the captain is the one with the responsibility of making the important decisions, such as when to set sail, where to steer the ship, or what route to take. It is said that the captain of the ship is the one who carries out the leadership of the voyage, because he is the one who makes the important decisions, he is accountable for the voyage, he solves conflicts and he must make sure that the voyage is successful. Just as the captain is responsible for governing the ship properly, the MPA/OMEC authorities have the same responsibilities to do it right.

Therefore, the mechanisms, procedures or traditions that are followed or respected in the MPA/OECM, to make important decisions and exercise power, should be analyzed. In this case, it is essential to take into account the management of the area and the institutional guidelines for its creation, among other aspects.

The CPT will review the 5 principles for good governance that were presented in Chapter II of this guide, for each of them, these two questions should be answered:

  • How should this principle be applied to fulfill the dream we have defined above?

  • How is each MPA /OECM principle applied today, and what should be corrected?

More detailed resources for governance analysis can be found at the International Union for Conservation of Nature (IUCN).

On the other hand, we have to wonder if we are managing the navigation well, the quality of the boat, rowers, provisions, compass, etc. In the same way, in the MPA/OECM, there are a series of capacities and resources available to manage properly. The question is: If we want to achieve our dream, what are we doing right and what are we doing wrong in MPA/OECM management? These questions should be analyzed by the CPT, and then identified; selecting only a few, which of these aspects or factors would be key priority to achieve our dream.

> **Task 12 outcome: A document with the results of the governance and manage-ment analysis.**

When all these tasks have been completed, Sub-Step 1.2 would have been accomplished. A reasonable expectation is that this sub-step will take one month to complete, although it may take a few more weeks if it is difficult to get resources from the CPT or get approval.

D. GOOD PRACTICE RECOMMENDATIONS FOR SUCCESS

Use participative mapping techniques.
· Whenever possible, it is good to use participative mapping techniques, involving, if possible, local actors, as they have a more concrete knowledge of what is happening in the landscape, given that they live in or depend on it.

· Focus the discussion on solving questions such as: Where? What? How important is it? And try to generate a first draft mapping with the CPT, which can later be systematized and validated through the use of the geographic information system (GIS). It is also advisable to use previous information about the area or landscape, which allows for better understanding of the protected area and highlight important points before mapping.

Rely on technological tools.
· For the application of the Conservation Standards (CMP, 2020), a software tool called Miradi5 has been developed, which performs automatically many of the tasks mentioned for this step. Its use in workshops can be a barrier to local communities, so it is recommended that it be used only to systematize workshop results, if someone on the team has the skills to use it.

· The Microsoft Office program package also offers interesting alternatives. For example, Excel can be a useful tool to perform the analyses of this Sub-step. It would be enough for someone on the team with skills in this program to generate a file that helps to systematize and process information, as has already been done in other cases. Likewise, there are other computer programs that are very useful such as Microsoft Visio, which can create the diagram for the Conceptual Model.

· To make maps, you can use free geographic information processing programs. It requires a person with skills and knowledge in its use.

Adapt facilitation techniques and tools.
· In this sub-step, a lot of collective work is required that involves getting several people to agree on specific issues. The analyses can demand very well elaborated products, which require skilled leadership. However, there are many facilitation techniques and materials available, which can certainly make the difference between achieving the result effectively or not. It is recommended that the faci-

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[5] Miradi: https://www.miradi.org/

litation team research the alternatives they have, get trained in the appropriate tools for the demands of the process if necessary, so that it can be effectively managed.

Rely on pre-established definitions and tools from national and international agencies to make the assessments.

Today, in most countries there are tools for management effectiveness analysis, which are officially applied in protected areas. It is recommended that the respective tool be sought and, if deemed necessary, adapted to the reality of the MPA/OECM. If not, there are global tools such as RAPPAM, produced by WWF, which can be used by adapting it to the reality of the MPA/OECM (WWF Chile, 2008).

Whenever possible, use local actors, as they have a more concrete knowledge of what is happening in the territory. © Denisse Mardones - WWF Chile.

STEP 2: HOW DO WE ACHIEVE THE DREAM?

A. DESCRIPTION

In this step, we continue with the planning by going deeper into the definition of the specific objectives and goals we want to achieve, then we identify and assess the best strategies or interventions to achieve them. We also elaborate the zoning, which indicates what can be done and where. Additionally, we systematize this work via the definition of the action and monitoring plan.

Step 1: Where we are, and where do we dream of going.

Step 5: Sharing what we have learned.

Step 2: How do we achieve the dream?

Step 4: What we do right, and how can we improve?

Step 3: Working towards a dream.

B. WHY DO THIS STEP?

Why do we define objectives and goals?

Objectives and goals are absolutely key to focusing on concrete solutions to major problems, and attention to the opportunities we have identified in Step 1. This is one of the foundations to be able to make management adaptations, since to be able to adapt without losing our way, we must be clear about what we want to achieve.

Why do we define and evaluate strategies?

We evaluate its feasibility, without getting lost following other paths that may not be very effective.

Why do we do zoning?

We do it in order to better organize the use of the territory, allowing us to achieve the objectives we set, balancing human uses with the conservation of the focal elements.

Why do we design a monitoring plan?

They identify indicators that allow us to track the progress of our objectives and goals, as well as the means to take measurements. Monitoring also serves to make the MPA/OMEC management process more transparent and easier, when accounting to key stakeholders in the area, according to the principles of good governance in protected areas.

C. WHAT SHOULD BE DONE IN THIS SUB-STEP AND HOW?

Below we will describe several tasks (from tasks 13 to 18), which will allow us to answer this question.

Task 13: Why do we go fishing every day?

Every fisherman has a clear idea of why he goes out to sea to cast his nets, that clear idea is what motivates him to get up every day, take his boat out to sea and ride the waves in search of his goal. In the same way, for the elaboration of the area' s management plan, we are going to define which concrete objectives we want to achieve, which will not only guide us, but also motivate us.

Each objective should be designed to improve something in the MPA/OECM, whether it is the health of a focal element, improving the benefits that people perceive, or improving management aspects. In addition, all objectives should be specific, measurable, achievable, and limited in time. With 3 or 6 well-designed objectives we will already have a lot of work, so it is not necessary to have too many. Sometimes... less is more!

The CPT will work on the objectives, which can then be validated with the STKH. For their formulation, they should have considered the factors that were prioritized in the previous analysis exercises, and review if there are common issues among them, or if they suggest changes required in the scope area. Then, considering what was prioritized, this question should be asked: What major changes do we need to promote in the scope area to move towards our dream, thinking about conserving what we have, generating benefits and good management?

EXAMPLES OF OBJECTIVES

O1: *By 2025, recover the estuary water mirror, so that it has at least the space it had in 2018.*
O2: *By 2030, change the distribution of the impact generated by the tourism operation that is carried out within the MPA/OECM, so that at least half of the economic benefits it generates remain within the local communities.*
O3: *By 2025, increase the collaborative management of the MPA/OECM, so that at least 40% of management activities are effectively implemented through partnerships with local actors.*

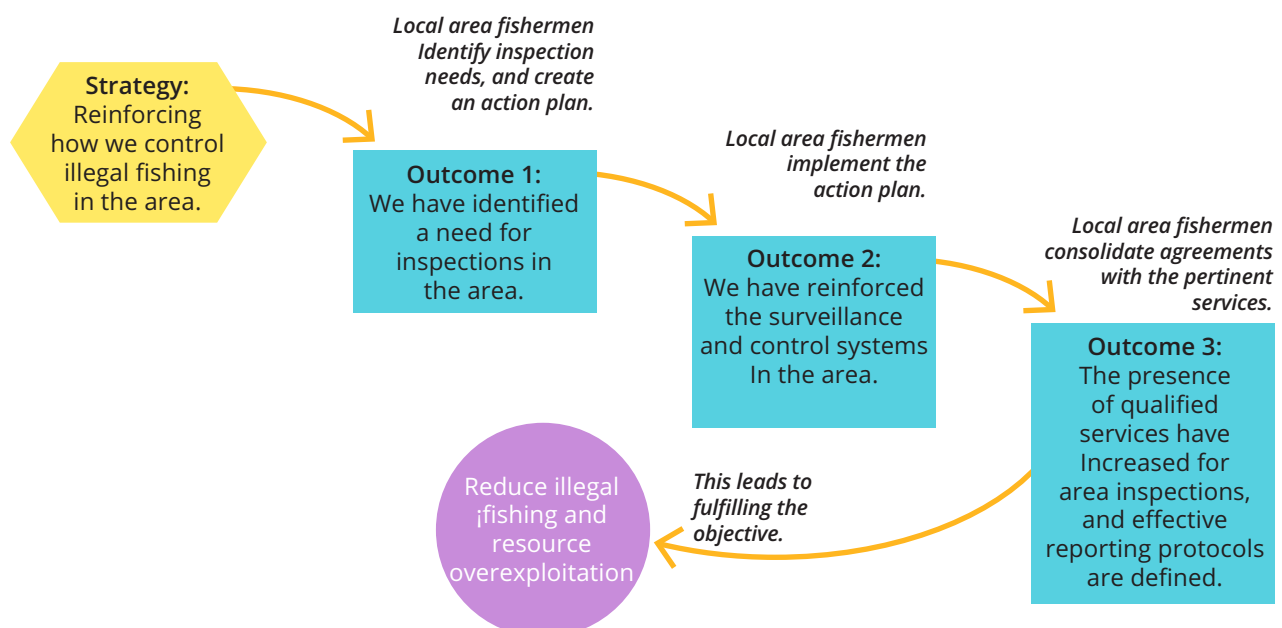*Task 13 outcome: Between 3 and 6 MPA/OECM objectives.*

Task 14: Identifying the most effective fishing gear (strategies)

Each fisherman, based on his experience, knows that depending on what he wants to fish and where he will fish, he will have to choose that fishing gear which is the most effective. In the same way, based on the objectives we want to achieve and the prioritized components, we must think about the strategy or intervention that would be most effective to apply. A strategy is not an isolated activity, rather the declaration of a path that may involve several actions, and that probably addresses several prioritized factors (i.e. focal elements, critical situations); restore or maintain healthy focal elements, control critical situations, develop management capacities, or improve the well-being of local communities.

The CPT will prepare a preliminary proposal of potential strategies. Each will be analyzed in light of the question: How feasible is it to implement that strategy, and how much impact could it have in achieving our objectives? Strategies identified as unfeasible or unclear in their contribution to achieving the objectives, will be discarded.

The second filter is to understand how the application of that strategy will achieve the expected result, in the form of a results chain. If it is not understandable, the strategy should be eliminated. Figure 13 shows what this visual representation might look like, following the example of the estuary.

Figure 13. Example of a strategy characterization

Strategy: Reinforcing how we control illegal fishing in the area.

Local area fishermen Identify inspection needs, and create an action plan.

Outcome 1: We have identified a need for inspections in the area.

Local area fishermen implement the action plan.

Outcome 2: We have reinforced the surveillance and control systems In the area.

Local area fishermen consolidate agreements with the pertinent services.

Outcome 3: The presence of qualified services have Increased for area inspections, and effective reporting protocols are defined.

This leads to fulfilling the objective.

Reduce illegal ¡fishing and resource overexploitation

It is possible that when this analysis is done, it will be discovered that some strategies are not feasible. In the example shown in Figure 10, it may be unlikely that the municipality will convince people to move, depending on the new land planning, which will make it almost impossible to implement. This is the point of this analysis, to be absolutely clear that the strategies selected are applicable and will actually lead to the achievement of the proposed objectives.

> *Task 14 outcome: Prioritized strategies and respective analysis that justify the choice.*

Task 15: How many fish do we want to catch?

When going out to sea, fishermen expect to catch a certain number of kilos of fish in a certain period of time. In the same way, the plan must define in a measurable way, how much we want to achieve and by when we want it. This is called a goal and it implies indicating the amount of something we want to achieve and the date when we plan to achieve it. Unlike objectives, goals are associated with results or concrete actions of the strategy in the short, medium and long term, and not with the final impact expected after implementing the strategy, as stated in the objectives. To formulate them, the CPT takes into account the actions or results expected from the strategy and defines a goal for each of them.

GOAL EXAMPLES

Action: To create more jobs from touristic activities in the MPA/OECM.
Goal: By year 3 of the plan, at least 30% of the jobs generated by tourism companies operating in the area are in the hands of local people, and the percentage is maintained.

Action: Estuary-invasion fillings.
Goal: Since year 4, no filling is registered in the estuary.

Systematize in a single table the objectives and goals for each strategy, and you will get the action plan. This plan reflects what you want to do and achieve in the next 3 to 5 years, for the duration of the plan, and it can be updated once it expires (see figure 14).

Figure 14. Action Plan Format

Objectives	Strategy	Goal
Objective 1	Strategy 1	Goal 1 Goal 2
	Strategy 2	Goal 3
Objective 2	Strategy 3	Goal 4 Goal 5

> *Task 15 outcome: MPA/OECM action plan with objectives, strategies and goals.*

Task 16: Balancing fragile sea sites with uses in the seascape (zoning)

Naturally, fishermen do not often go to certain sites to fish because they know that if they do, they can affect the environment, and in case they are forced to go, they carry adequate fishing gear in accordance with the fragility of the site. That is why the entire MPA/OECM space must be organized through a process called zoning. Just as in a house, family activities are organized, for example, the living room isn't for cooking, nor the bathroom for sleeping, so we have to decide where certain activities will or won't be allowed in the MPA/OECM, in order to keep the focal elements healthy.

It is important to develop this exercise with the local communities, in order to promote ownership and reach effective compliance agreements.

To do the zoning, the following steps are recommended:
· Gather the key stakeholders, in order to generate agreements that reach compliance with zoning regulations by all parties.

· Review the types of zones that can or should be applied in the MPA/OECM, according to the institutional provisions or guidelines of the organization that manages the area..

· Make a participatory mapping of the current and/or potential legitimate uses (recognized rights) in the MPA/OECM. It is recommended to do this with the STKH group, and later validate it with the CPT.

· Map those fragile sites that require greater protection against any possible impact, considering the presence of the focal elements. It is recommended to do this in the CPT, consulting the AT

· Map the infrastructure that cannot be moved from the site, such as docks, villages, lighthouses, roads, constructions or others.

· Overlay these maps and identify the non-conflict sites, choose the type of area that best fits the objectives of that site by drawing a polygon around it. This can be done by the CPT.

· In places where there is conflict, meaning that they are fragile sites with current use, it is convenient to promote a discussion that reaches agreement in order to make the two interests compatible. If this is not feasible, it is possible that a decision will have to be made about which of the interests will prevail over the other, by analyzing how to reduce the consequences that this will have in the future for natural environments and/or human well-being.

· Define within the CPT for each zone: the objectives being sought, a general description, regulations for permitted activities and management guidelines for MPA/OECM managers.

It is important to note that zoning should be viewed as a participatory and dynamic process (which may change over time) of negotiation between all stakeholders with legitimate rights of access to resources in the area. Despite this, there are countries in Latin America where this is a rigid process.

On the other hand, it should take into account that in situations where there are gaps in information, it is important to consider the cautionary principle, to avoid irreversible damage to the environment.

> ***Task 16 outcome: A zoning map with a text that defines for each zone:***
> ***the objectives sought, a general description, regulations for permitted activities***
> ***and management guidelines for MPA/OECM managers.***

Task 17: Looking at our successes and failures

Once the fisherman is clear about how much he wants to catch and what kind of fish, he needs to know how he will measure whether or not he has achieved his goals in the future, and what he will have to change to do so. We will do that by developing a monitoring plan. Let us remember that "monitoring" is the continuous action of reviewing the progress of our work, to see how much we have achieved, and to identify what works and what doesn't in the MPA/OECM management. To develop this plan, the CPT should start by thinking about who is interested in knowing how the area is being managed, and who will be interested in having the plan implemented. Then, the CPT should define which aspects are interesting to measure, meaning, which aspects, of those with a management plan, would we want to know about their progress and achievements. This should produce a list of aspects to be monitored, such as objectives, goals or others defined by the CPT.

With that list in hand, the CPT, with AT support, should answer this question: What can we measure or see in the scope of the area being managed, and which tells us how much progress we are making, or how much we have achieved in each of the work aspects in the MPA/OECM? The answer to this question will lead us to define what we call indicators. To accomplish this, you should consider several interesting tips and criteria found in the Conservation Standards document.

> *Task 17 outcome: A document with the monitoring plan containing the aspects to
> be measured, the indicators and a description of who, how, and how often should
> be measured, also a report with the measurement results.*

Task 18: Planning the step by step before entering the sea

Before going into the sea, the fishermen think about everything they need to do, such as setting the net, collecting the bait, checking the engine, carrying the fuel and how to pay for it, checking the weather and other similar things. Planning everything well in advance, thinking about where to get what we need avoids serious problems at sea, especially if we discover that something was not done. This plan to avoid forgetting things, is known as the general work plan. It describes the major activities considered necessary to carry out the next 3 years of the plan's implementation, and the person responsible for it, regardless of whether the plan is for a longer period of time, since every 3 years it will be repeated.

In that plan, we will also analyze and describe in a very general way, the approximate funding we will need for each of the 3 years, as well as the sources for this funding. We don't need detailed numbers, but we do need a close approximation, so that we can have an idea of how much it will cost to implement the plan.

It should also include an analysis of which additional capacities, beyond those already in place, will be required to implement it, as well as identifying possible sources of support.

This plan can be solved with an outline similar to the one presented in Figure 15, including any aspects that the CPT considers necessary:

Figure 15. Three-year general work plan

Objectives	Activity	Responsible (Resources)	Execution semester									
			2	3	4	5	6	7	8	9	10
Objective 1	Activity 1.1.	Community (Local funding)	X	X								
	Activity 1.2.	Institution (Public funding)				X						
Objective 2	Activity 2.1.	NGO (Project X)			X							

> *Task 18 outcome: A document with the general work plan.*

D. GOOD PRACTICE RECOMMENDATIONS FOR SUCCESS

Commit the energy, time and technology required for zoning.
· Zoning is one of the issues of greatest interest to local stakeholders making legitimate use of the area, as it can mean opportunities or limitations for their activities. Make sure before you start, that you are clear about which rights of use are considered legitimate and for whom.

· This is a good time to review the principles of good governance, since it is a key negotiation process for the compatibility of area uses for future management as established in the plan, so it must be transparent and include all stakeholders who have an impact on management.

· It is best to work with focus groups and try to agree on potential conflicts of interest in zoning one by one.

· In the case of marine environments, zoning has the complexity of being three-dimensional rather than two-dimensional, and therefore zones must be placed that contemplate three levels: the surface, the water column and the sea floor. Sometimes different regulations may be required for each level. Additionally, in some cases the use of the air column must also be regulated, for example, due to the effects of airplanes in whale watching or other cetaceans.

· Today, zoning focuses not only on uses, but also on the desired condition of the focal elements. The

goal of zoning must be aligned with the desired health condition of the focal elements present at each site, and regulations must be tailored to make the uses compatible with that condition.

Communicate and validate the plan with all local stakeholders.

· Even when the process has been participative and no specific task has been described to do so, it is recommended that the management plan be communicated and validated by all the actors present in the territory, and that they have some kind of connection with the MPA/OECM.

· To carry out this validation, it is recommended that participatory activities be carried out in the local communities, in a format that is appropriate and understandable to a coastal zone audience, with an emphasis on addressing what is known to be of special interest to them.

· During the activities, make sure that the ideas are clear and that there are adequate mechanisms to collect everyone's opinions. The CPT will then analyze and decide which ones are accepted and which ones are not.

Participatory activities within the local communities are recommended to validate the plan.. © Evelyn Pfeiffer / WWF Chile.

STEP 3: WORKING TOWARDS A DREAM

A. DESCRIPTION
This is undoubtedly the step where everything planned as part of the process of the adaptive management cycle is put to the test.

It is the moment when everything that was planned is put into action. This step involves defining and developing specific actions, ensuring that the necessary resources, capacities and partners are in place

In the adaptive management cycle previous steps (Steps 1 and 2), the CPT analyzed different situations and defined a dream shared by all and a strategic route with concrete actions to move towards that dream. This was done with the support of the AT and in consultation and validation with the STKH group. After all this analysis and planning, we now face more practical challenges, for example:

Step 1: Where we are, and where do we dream of going.

Step 2: How do we achieve the dream?

Step 3: Working towards a dream.

Step 4: What we do right, and how can we improve?

Step 5: Sharing what we have learned.

What actions are we going to develop to achieve the goals and objectives, what part of the general work plan should be done this year, who will be responsible for each activity, what resources do we need, what do we have, and what do we lack?
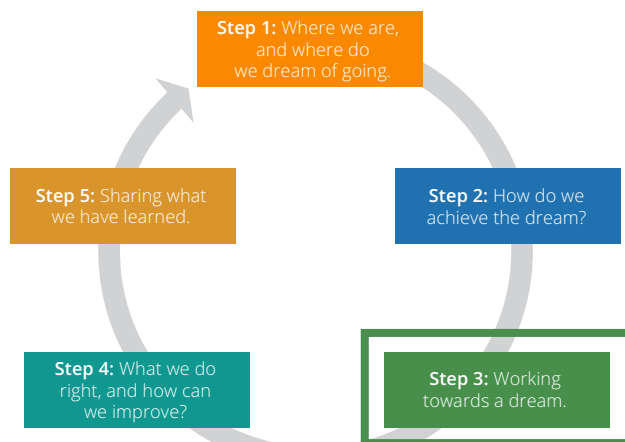
B. WHY DO THIS STEP?
Why make a work plan?
We do this to know what we will do each year, based on the action and monitoring plans we made in the previous step. It also serves to know who is responsible for each activity and when they should have it ready, which also helps us verify, year after year, that we have the capacity to implement the management plan. In addition, having these activities clearly defined, helps us with the next task, because it facilitates the development of a detailed annual budget.

Why make a budget?
We make a budget to know what part of the required funding we have, and which part we have to look for. If we do not have this, it is possible that in the middle of the year we will not have the resources to carry out the activities, and then the management plan will not be implemented.

Why do we implement the work plan?
We implemented the work plan as a way to advance, year after year, towards the dream that we defined at the beginning of the process.

IN STEP 3, WE STOPPED PLANNING AND NOW WE ARE GOING TO IMPLEMENT THE PLAN

It is important to remember that, from this step on, we are no longer planning. From now on, we are managing the area. In that sense, people and/or organizations with responsibilities in the management of the MPA/OECM will be in charge of implementing the designed activities.

C. WHAT SHOULD BE DONE IN THIS SUB-STEP AND HOW?
Below we will describe several tasks (from tasks 19 to 21), which will allow us to answer this question.

Task 19: Let's get organized to go fishing

Just as fishermen organize themselves before going fishing, defining what they must do to have a good catch, and who will do it. in this phase of the cycle, it is necessary to organize the implementation work

and put into practice the agreed upon work team activities.

Therefore, the task is to define and list the activities we will develop in the first year of the plan's implementation, clearly defining what will be done to achieve the goals, who will be responsible and when. This work plan must be reviewed and adjusted every year, in order to achieve the proposed goals and objectives. On the other hand, let's not forget that the monitoring actions we planned in the previous step, should also be part of this plan.

Hence, the first part of this task is to take the action plan and the monitoring plan, the CPT and partners that join the MPA/OECM management, should identify the activities to be carried out during this year, and using the format suggested below, assemble the work plan considering that in some cases they should describe in more detail the activities that appear in those plans.

Figure 16. Yearly Work Plan Format

Goals	Activity	Responsible	Months of the year											
			1	2	3	4	5	6	7	8	9	10	11	12
Goal 1	Activity 1	NGO	X	X										
	Activity 2	Community X			X	X								
Goal 2	Activity 3	Institution X		X			X							
	Activity 4	Cooperative X			X	X	X	X						

It is recommended that several people, communities, organizations and institutions be involved in the activities, as appropriate in each case. For example, many people or organizations that participated in the STKH group could for example, also contribute to monitoring actions, city control, beach cleaning, construction, etc.

> *Task 19 outcome: A yearly work plan made and agreed upon, with the appropriate authorities and all parties involved in its implementation.*

Task 20: Where do we get the supplies needed to go fishing?

Once the activities to be carried out this year have been defined and organized, the necessary information will be available to identify the resources required. Start by making a cost analysis and funding sources based on the activities defined in the work plan and estimate the total budget. It is essential to have the necessary resources to implement the work plan. If you do not have all the resources you need to implement it, then you have two options: reduce your activities or seek new sources of funding. Remember that if you do not carry out certain actions that are in the work plan, then the achievement of the dream may not be fully realized. To avoid that problem, you will sometimes need to go back to Step 2 and review the strategies to find less costly ways to implement them. Another option is to get support through partnerships or by seeking project funding to improve management skills and resources available to implement the plan. In that regard, there are many national or international organizations that can help to obtain support, especially if they show that they have a well-developed management plan but need help implementing it.

The plan's budget should reflect not only the necessary major expenses such as physical infrastructure, vehicles, boats or machinery, but should also incorporate administrative costs that will need to be covered (electricity, telephone, internet, office, fuel, maintenance, etc.). In many cases, the most expensive resource needed will be staff time.

It is important to focus your resources on high-priority strategies. However, due to existing constraints, you may need to start working with actions that are not as high a priority but are cheaper or easier to implement. This will not be a problem, as long as you find ways to implement those you have identified as having the highest priority. You may need to review your resources each year and those you thought of in the previous step, because this will change over time, and you will need to adjust the overall work plan to reality.

> *Task 20 outcome: A prepared work plan column with costs and secured and unsecured funding sources, plus an updated analysis of other resources required to implement the entire management plan.*

Task 21: Let's go fishing

Now, the longed-for moment to cast the boat into the sea and go fishing has arrived, we have to start carrying out the plan activities. This is the most critical stage of the plan, when the development of the activities of the work plan and the beginning of the progress monitoring are implemented.

At the end of each year or, if possible, every six months, a small and simple implementation report should be generated, answering at least the following questions:

· How is the overall implementation of the management plan progressing?

· From this year's plan, what has been done and what hasn't?

· What problems are being experienced and what opportunities are being presented?

· What conclusions, recommendations, lessons learned, and other reflections do we have?

This report should be made available to the MPA/OECM authorities, but also to the partners and members of the STKH group. In each case, comments arising from these presentations should be collected.

> **Task 21 outcome: Implementation reports and presentation of these to authorities and STKH.**

D. GOOD PRACTICE RECOMMENDATIONS FOR SUCCESS.

Seek specialized support.
· A good and essential practice is to work with your financial and accounting staff to develop the budget plan and any financial analysis.

· There are techniques that help people manage projects to implement them more effectively. In case it is feasible, it is recommended to look for tools and training in what is called "Project Management"; which will improve their abilities to implement the plan.

Ideas to improve the implementation of your activities.
· Implementing a management plan is not easy, so usually the organizations that have to do it, do it jointly with others. These partnerships help create win-win relationships that support each other by reinforcing any weaknesses they may have. The implementation of the plan should not be left under the responsibility of a single community, organization or institution; it is better to create alliances with more interested parties and implement according to the collaborative management approach.

STEP 4: WHAT WE DO RIGHT, AND HOW CAN WE IMPROVE?

A. DESCRIPTION

The whole effort of implementing the management plan in an MPA/OECM, will be successful if it manages to improve the conservation of its focal elements, improve the benefits that people receive from it, and improve management abilities to make it more effective, which is summarized in the dream that we want to achieve.

Therefore, as the implementation of the plan progresses, the CPT should make sure that it is happening. In an effort to remain effective, the CPT should continually review the progress of the plan, to identify what is working and what is not, and where necessary, make adjustments during implementation. Remember that a monitoring plan was developed for this purpose, and this step is based on analyzing and making decisions, based on the data that has been gathered by implementing its actions.

Step 1: Where we are, and where do we dream of going.

Step 5: Sharing what we have learned.

Step 2: How do we achieve the dream?

Step 4: What we do right, and how can we improve?

Step 3: Working towards a dream.

B. WHY DO THIS STEP?

Why should we adjust the management plan?

Usually a lot of time passes between the moment strategies are designed and the moment they are implemented, so the dynamics in the area may have changed a lot. In addition, it is possible that what we assumed would happen when we implemented the strategies, did not actually occur for different reasons. It may also be that we have greatly improved our understanding of the focal elements, of critical situations, of the benefits that people get and of management itself, and so we now see conditions that we did not see before. For all of the above (and perhaps more reasons), we may need to change something in the plan, either the strategies, activities, or in some cases, the goals and objectives set.

In short, this whole adjustment step is done to keep "alive, vital and in force" the MPA/OECM's management plan and changing what does not work.

C. WHAT SHOULD BE DONE IN THIS SUB-STEP AND HOW?

In short, this whole adjustment step is done to keep "alive, vital and in force" the MPA/OECM's management plan and changing what does not work.

Task 22: Putting all the coins together to see how much we have

Throughout the implementation of the monitoring plan by means of the work plan, a large amount of data will be produced, because when put together they represent a valuable amount of information. The first task of the CPT is to identify and periodically collect all this data and systematize it to determine trends or patterns. The idea is to produce an information package that helps to understand how are progressing those aspects that were prioritized as important issues to measure in Step 2, when the monitoring plan was made. Also, as part of this first task, a suitable place (physical, digital or both) must be identified, where to store in an orderly and safe way all this information, so that it is available every time it is required, and furthermore, it can be updated every time as new data is produced.

> *Task 22 outcome: Orderly and accessible collection of periodic monitoring data in an appropriate place.*

Task 23: Why sometimes we caught fish and sometimes we didn't?

It is common for fishermen to go out fishing and not get a good catch or, on the contrary, return with a full boat. This happens for a reason and if we understand why, we can improve our ability to fish. That is what we do in this task, analyze what we are doing in the plan, to see what is working and what is not.

The analysis consists of answering a series of key questions, so that we can draw useful conclusions for

decision making. In a simple way, it is expected that we reflect together on the data collected, answering the following questions:

• How far have we come in implementing that aspect to be measured?

• How satisfied are we with the progress and why?

• What things may have facilitated or hindered its implementation?

• Do we recommend changing something to improve its implementation?

Finally, we can have a diagram like the one shown in figure 17 below.

Figure 17. Monitoring information flow
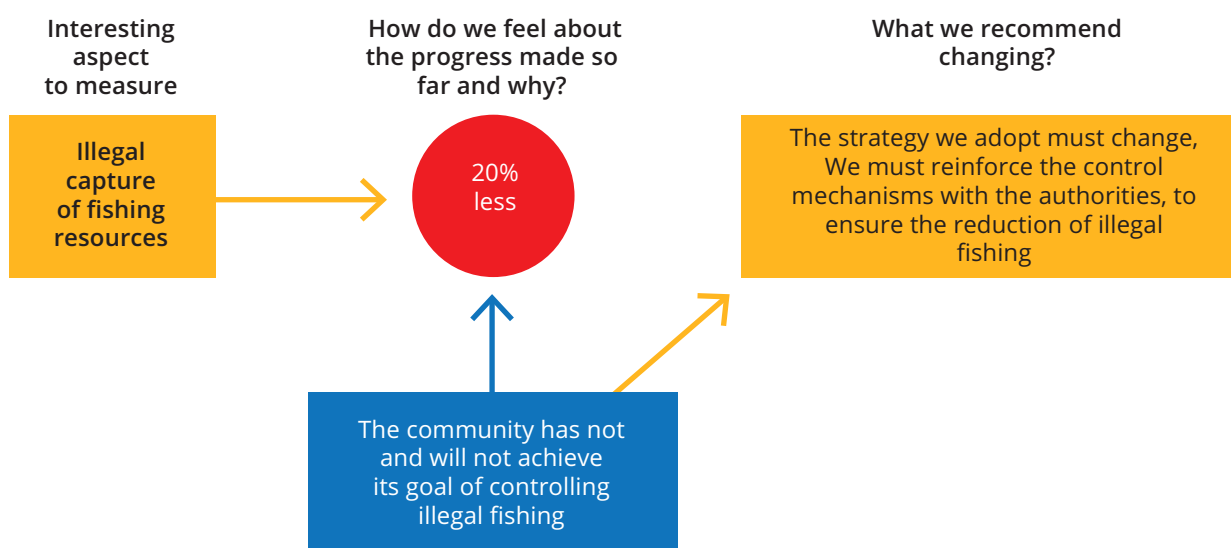
As a rule, the analysis results should be documented and communicated to all those who, during Step 2, the development of the monitoring plan, were identified as stakeholders in these results. It is important to retrieve new recommendations, discussions, and any other input that may emerge during that communication.

Task 23 outcome: Monitoring data analysis reports, with the team's conclusions and recommendations for the adaptation of the plan.

Task 24: And now... How do we fix the plan?

Well, now that we know what's going on, we have to make decisions to fix what needs to be fixed. The reports produced during the previous task need to be used as part of this one. This is the essence of adaptive management, which changes what needs to change, when it needs to change it. The CPT will take these reports and based on the findings and recommendations, update the components of the management plan as needed. This is basically work that requires going back to Step 2 to review and decide whether and how to change what was planned based on the recommendations from the analyses.

When making changes to the plan, write down why the changes are being made, so that the reasoning behind them will not be forgotten in the future, and so that others who come later can understand what has been learned and the reasons behind the changes.

Task 24 outcome: Adjusted aspects of the management plan, with its respective justification.

D. GOOD PRACTICE RECOMMENDATIONS FOR SUCCESS

Some things to consider:
· It is important to provide regular feedback to the community about the progress of the plan and the results of the adaptations.

· Be sensitive and open to criticism, do not try to justify every mistake, but do correct if wrong things are said.

· The communities are an important source of information, so it is essential to include adequate instances that promote their feedback, such as open conversations, interviews with people or meetings with certain sectors.

Many times, it demands a change in organizational culture.
· Those who manage the MPAs/OECMs should make efforts to create a "better management culture" or good work habits, by reviewing what they do and adapting it when necessary. To do this, the practice of documenting everything that's done should be incorporated as a daily activity in the area management, which requires having established a system for everyone to record and store data from their work and keep the results in an orderly fashion.

Be open to other data sources to make decisions regarding adjustments to the plan.
· As a general rule, the analysis should be done by the team implementing the plan. However, input from external experts or people with other perspectives can also be valuable during the analysis of monitoring results.

The " Better Management Culture " allows for regular review of the plan and adjustments when necessary. © Denisse Mardones - WWF Chile.

STEP 5: SHARING WHAT WE HAVE LEARNED

A. DESCRIPTION

The final step in the adaptive management cycle is to share lessons and results with people who may be interested in this information, both within the organization and externally. This includes giving and receiving feedback. Because of the dynamic nature of the adaptive management cycle, this final step will also be an important input for adapting our working practices and applying them when we take the next steps in developing a new management plan or in daily MPA/OECM management.

Step 1: Where we are, and where do we dream of going.

Step 2: How do we achieve the dream?

Step 3: Working towards a dream.

Step 4: What we do right, and how can we improve?

Step 5: Sharing what we have learned.

B. WHY DO THIS STEP?

Why learn?

We do it to improve. We cannot change our work practices if we do not learn from our successes and failures. Every time we learn something, we have changed, and we are a little better than before. Moreover, with what we have learned, we will know what works and what doesn't in the future, thus making us more efficient, and so that we don't have to "reinvent the wheel".

Why share what we have learned?

Traditional fishermen know effective fishing techniques, they know when the storms will come, or which day will be better to cast the nets. Similarly, indigenous people know which plants are medicinal, when and how to apply them. They learned all this because for many years knowledge has been passed on from generation to generation. That is why we communicate what we have learned in these processes, to continue that wise ancestral tradition of transmitting to others what we are learning.

Why do we have to learn to learn?

Life is a school that teaches us a lot, but sometimes we are not prepared to identify those lessons and we let them pass us by, making the same mistakes later on. We are not always prepared to draw from the experiences of daily life, those lessons that will help us recognize mistakes and improve our practices.

C. WHAT SHOULD BE DONE IN THIS SUB-STEP AND HOW?

Below we will describe several tasks (from tasks 25 to 27), which will allow us to answer this question.
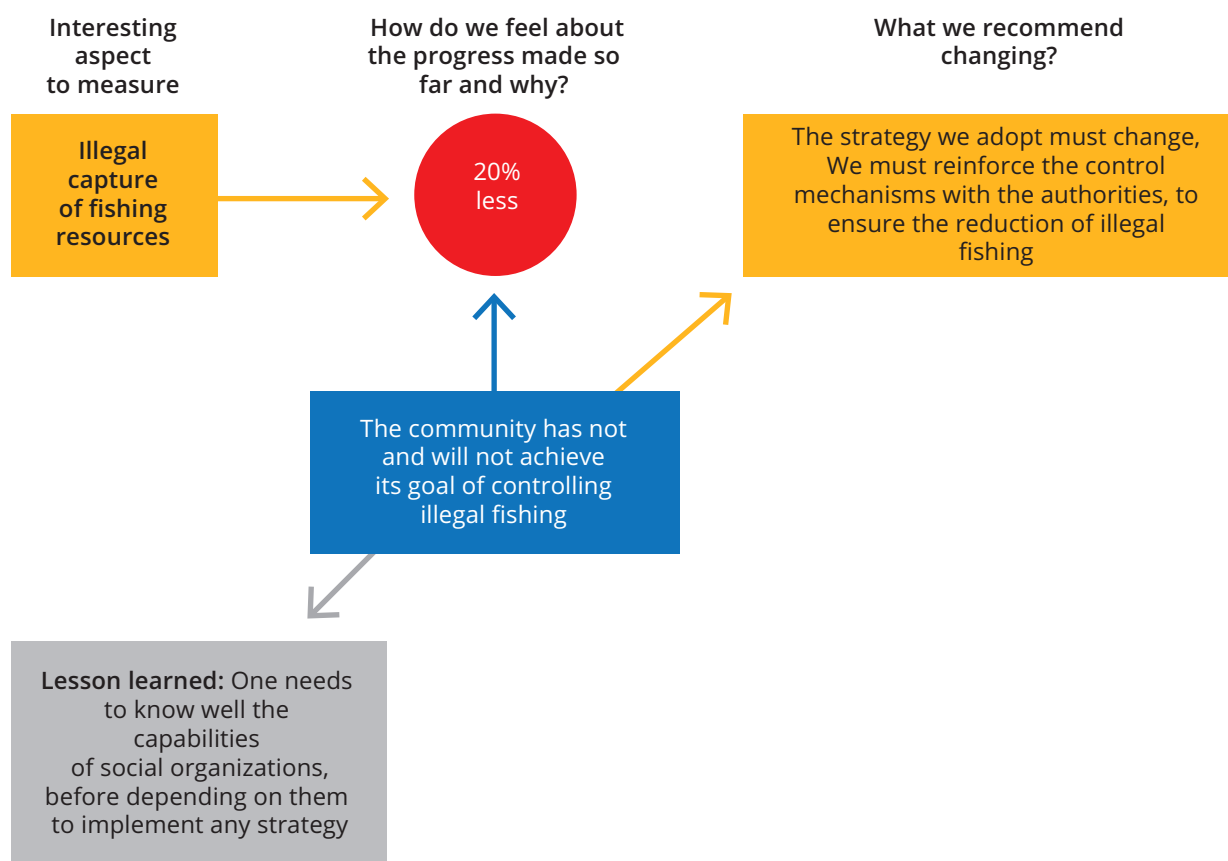
Task 25: We can always learn something

We can always learn something from what we do, we just have to work on what it is we learned. Therefore, it is a good practice to identify and document all the lessons learned whenever we discover them. We know that we have learned something, when we decide that we would do it differently if we had to do it again. That is the key to discovering learning.

It is certain that during Step 4, many learning ideas will have already come out, when the analysis of what has been done is completed, that's when we ask what worked well and what didn't, and why. So, during that step be sure to document or record these lessons, so that they will be available for future use by the team and your organization. One way to document when doing the analyses from the previous step is shown in figure 18.

Figure 18. Flow for generating lessons learned from monitoring results

Interesting aspect to measure

How do we feel about the progress made so far and why?

What we recommend changing?

Illegal capture of fishing resources

20% less

The strategy we adopt must change, We must reinforce the control mechanisms with the authorities, to ensure the reduction of illegal fishing

The community has not and will not achieve its goal of controlling illegal fishing

Lesson learned: One needs to know well the capabilities of social organizations, before depending on them to implement any strategy

Therefore, it will be required to define a site to store all the lessons learned that we have identified, so that they are available to be remembered, and shared by some means that we will see in the next task.

Task 25 outcome: A set of lessons learned accumulated somewhere in an orderly and accessible way, preferably in some kind of digital document.

Task 26: Like when grandparents tell what they have learned

In several indigenous cultures, the accumulated wisdom of the elders is highly respected, and therefore, every so often, following their own customs, spaces are generated in which they can transmit their knowledge, or in other words, their lessons learned, to the younger ones. In the same way, the task here is to generate mechanisms and spaces so that what has been learned can be communicated.

This will require answering some key questions:

- Who do we want to communicate what we have learned? Who is interested in this?

- What kind of learning can be most relevant to them?

- What would be the best way to do this?

This, in general, means that a clear information communication strategy is needed, designed for each interested audience. When necessary, it may be interesting to generate certain communication products (videos, pamphlets, audios, reports, publications, etc.). Of course, it is also possible to think creatively and innovatively about how to present these lessons, for example, through storytelling, plays or songs, using stories that highlight the most critical and motivating messages of what we have learned.

Clearly, a professional communicator would be invaluable for these tasks.

It will be important to evaluate each communication mechanism used to know if we are achieving our goal.

*Task 26 outcome: Communication strategy and means
to share lessons learned.*

Task 27: Learning is like a muscle, it develops

The last task left is related to the essence of adaptive management and is to develop the capacity to learn. Learning is like a muscle, it must be exercised in order for it to develop, otherwise it atrophies and stops working well. Therefore, the leader must put effort into creating and stimulating an attitude of learning within the implementation team. But, although it is set out in this guide as the ultimate task, it is something that really needs to be cultivated from the beginning. So, it really is a task that is included in the beginning of this process and is maintained forever.

In that sense, to achieve a learning climate, it is required that the authorities and those who lead these processes develop and promote a spirit of learning. This is easily appreciated when there is a mistake, since a person who likes to learn will look at that moment as a great opportunity to generate knowledge and not as a space to punish those responsible.

The organization must also be willing to invest resources in this area, promoting procedures, policies and facilities so that there are spaces that encourage all those involved to discover learning on a daily basis, without this being seen as a waste of time. All of this must be written down, so that it is not forgotten and so that it is formally established as a way of working.

*Task 27 outcome: A document describing the procedures that will be used
to create favorable conditions for learning.*

D. GOOD PRACTICE RECOMMENDATIONS FOR SUCCESS

Some general considerations that may be useful.
· It is important to encourage learning not only within the MPA/OECM team, but also at other levels of the institution, organization, or within the local community.

· Each person in the team that implements the plan, or the one who manages it, must be constantly reflecting, asking for comments or contributions and offering them to others.

· Learning is inclusive, diverse and takes into account different opinions and perspectives. Promote a learning culture within the team, where diverse reflections are reviewed and discussed by all.

CLOSING WORDS

WWF Chile's "Guide for Planning and Managing Marine Protected Areas with Local and/or Indigenous Community Participation Based On Conservation Standards" is aimed at technicians from NGOs, public institutions, community leaders, and other people involved in the management of marine protected areas and other effective area-based conservation measures, OECM. It is offered as a practical tool, with an understandable language and structure of the Conservation Standards methodology, suitable to be applied in planning processes for the management of areas for conservation, highly participative at the local and/or indigenous community level.

The standard methodology has been adapted to the participative territorial approach developed in this guide, which has made it possible to demonstrate the suitability of this tool for application in planning processes that require a greater emphasis on social aspects. It is recommended that it be used as a complement to other more rigorous methodologies in this area, to achieve a more robust and comprehensive planning design of an area.

This Guide incorporated theoretical and conceptual aspects that support its methodology, reviewing in detail each of the 5 steps that compose the MPA/OECM Adaptive Management Planning Cycle, and the 27 tasks that are required to implement it adequately. In this way, we started by organizing the planning (Step 1.1) and the analysis of the current situation (1.2); and then, we developed a strategic plan for the management of the MPA/OECM in Step 2. Once the plan was made, implementation began (Step 3), and then lessons were learned from monitoring to adjust and improve the way things are done (Step 4). Finally, what was learned is shared with other people or actors (Step 5), so that these lessons are useful to all stakeholders. This cycle can be repeated continuously, making these steps the way MPA/OECMs will be managed from now on.

It is important to note that not all steps will have to be repeated all the time, some of them may only require revision and others may already be fully developed. That is why it is important to understand that when they are first done, you must complete all the tasks, but as time goes by, you may begin the cycle of adaptive management not in step 1.1, but step 1.2, or step 2. Regardless of where you start the cycle of adaptive management, two aspects work like the rudder and oarsmen of a ship.

The first one represents that all management must be done based on planning (rudder), which is what will guide them from one port to another, overcoming challenges to obtain the benefits that the trip will yield. The second represents the participation of communities and other stakeholders in the development of the trip (oarsmen), who are the ones who will ultimately drive the boat. Without the participation of those who row, the trip will not take place; without a good rudder, the trip may not only take them to unknown and dangerous places, but they may also not obtain the expected benefits.

The generation of this type of tool complements WWF Chile's initiatives aimed at strengthening the capacities of key actors linked to the management of areas for conservation, which include the generation of workshops aimed at representatives of public services in the application of this methodology and their participation in the "School for Management of the MPAs of the Southern Cone", led by the Forum for the Conservation of the Patagonian Sea.

Along with making the Guide for Planning and Management of Marine Protected Areas with Local and/or Indigenous Community Participation based on Conservation Standards publicly available, WWF Chile will test the guide, applying it to a process currently underway. In this way, new learning will be incorporated and the strategy for capacity building in local and/or indigenous communities, as key actors in this process, will be reinforced. Likewise, we hope that those who use this guide in new planning processes will share with us their experiences of its application, contributing to the incorporation of learning and the joint consolidation of this tool.

GLOSSARY

• **Actors or stakeholders:** people, groups or institutions that may be negatively or positively affected by the implementation and management of the Marine Protected Area or may influence the activities and results of the Protected Area plan. Also called 'actors'.

• **Marine Protected Areas (MPAs):** according to IUCN are an area of tidal or intertidal terrain, together with the underlying waters and their associated flora and fauna and historical and cultural features, which has been set aside by law or other effective means to protect part or all of the environments within it.

• **Advisors:** whom the core team can consult for honest feedback and advice, and who will support and encourage your initiative.

• **Attribute:** important things we use to talk about the health of those things we should conserve; the attributes help define and know the problems or threats.

• **Results chain:** a graphic representation of the reasoning of the theory of change where you can visualize the cause-effect relationships between actions and their results.

• **Focal element:** the key things we must preserve to achieve our dream, which is also known as "object of conservation".

• **Central planning team:** A specific group of people who are responsible for the design, implementation, and monitoring of a project. This group may include managers, stakeholders, researchers, operations staff, and other key implementers.

• **Starter Team:** A small group of people who organize the details that will shape 'the seed' of the planning process.

• **Strategy:** A set of actions that have a common focus and work together to achieve specific goals and objectives by addressing key intervention points, integrating opportunities, and reducing constraints.

• **Adaptive management:** the integration of planning, management, and monitoring of projects, plans, or programs to provide the conditions necessary to test assumptions, promote learning, and provide timely information for management decisions.

• **Governance:** the mechanisms, structures, processes, and traditions through which the state and civil society articulate their interests, exercise their powers, fulfill their obligations, are accountable, and mediate their differences.

• **Indicators:** are the measurable information that tell us the status or viability of the attributes; they are the signs of good or bad health; they are the basis for monitoring the implementation of the protected area.

• **Adaptive leadership:** synonymous with 'adaptive management'.

• **Goals:** formal statements of the threat reduction outcomes (or intermediate results) and desired changes that are deemed necessary to achieve their objectives.

• **Monitoring:** a way to evaluate the assumptions in the theories of change and obtain information on the progress in achieving the objectives and goals set.

• **Objective:** how we want important things to be in the territory in the long term. A formal statement detailing the desired impact of the project as well as the desired future condition of a conservation object.

• **Other Effective Area-Based Conservation Measures (OECM):** According to the CBD it is a geographically delimited area that is not a protected area and that is governed and managed in such a way as to achieve sustained positive and lasting results for the conservation of biological diversity in situ, with associated ecosystem functions and services and, where appropriate, cultural, spiritual, socio-economic and other locally relevant values.

• **Purpose:** the reason or reasons why it is necessary to make the plan.

• **Key intervention point:** priority elements (threats, opportunities, or conservation targets) within a situational model on which the plan implementation team should act.

• **Critical situations:** problems with the key things we need to keep; it's what keeps our focal element from being healthy.

• **Dream/vision:** a description of the desired state or final condition that the marine protected area plan is working to achieve. Synonymous with 'vision'.

• **Viability:** the health of the things we must preserve. It can be the present viability or the future viability that is estimated during the viability analysis and in the definition of the objectives of the Marine Protected Area.

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