



# Gulf of California Subprogram 2012–2016 Strategy

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# Introduction

## The Gulf of California

The Gulf of California (Gulf) is one of the most productive bodies of water in the world. Tidal mixing and upwelling bring cold, nutrient-rich waters to the surface, where photosynthesis produces abundant plankton. This productivity continues up the food chain, from thousands of species of invertebrates and massive numbers of small pelagic fish to large reef fish, sharks, seabirds, sea turtles and marine mammals. Over 30 percent of the world's species of marine mammals are found in the Gulf. The Gulf also supports the most important fishing industry in Mexico, providing the majority of the country's fisheries exports by value.

The Gulf is also a highly diverse sea. It has the highest proportion of endemic species of any marine ecoregion in the Western Hemisphere, including the endangered Gulf of California harbor porpoise, or vaquita. Islands in the Gulf harbor some of the world's largest colonies of certain seabirds, such as brown boobies, brown pelicans, elegant terns, and Heermann's gulls. This region also has one of the largest networks of mangrove estuaries in North America, including over 190 estuaries along the Gulf side of the Baja California Peninsula and the mainland.

Although the Gulf is still relatively undisturbed compared with other large marine ecosystems, it is undergoing rapid and, at times, highly disruptive changes. Some of the most significant and immediate threats continue to be the effects of industrial bottom trawling for shrimp, the growth of the small-scale fishing industry, and expanding and often ill-advised coastal development.



Fishermen from el Golfo de Santa Clara embarking on a fishing trip for Gulf corvina (Richard Cudney)



Sperm whale near San Pedro Mártir island (Richard Cudney)

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## The Gulf of California Subprogram

The David and Lucile Packard Foundation (Foundation) began making limited investments in marine and coastal conservation in the Gulf of California in the early 1990s, and the Gulf of California subprogram (GOC subprogram) was formally launched in 2002. The initial objectives were to foster the establishment of a network of effective marine protected areas (MPAs) and conserve coastal sites critical to the marine ecosystem. Between 2002 and 2006, the Foundation provided approximately \$17 million in support of these objectives.

In 2006, the GOC subprogram adopted a refreshed five-year strategy, transitioning from a focus on establishing MPAs to improving the management of existing MPAs and other conservation priority areas, as well as curtailing the impact of the industrial shrimp trawl fishery and maintaining the ecological integrity of key coastal sites. It also called for the exploration of two “think big” opportunities: the possible establishment of a stewardship endowment for the Gulf’s MPAs and the creation of a multidonor process to protect key coastal sites.

In response to new opportunities and challenges, the GOC subprogram made several adjustments to the 2006 updated strategy, including renewing support for the creation of new MPAs and scaling back the geographic scope of work around industrial shrimp trawling. Between 2006 and 2010, the GOC subprogram made grants totaling approximately \$18.4 million. It also catalyzed both of the “think big” opportunities. The subprogram supported the establishment of the Gulf of California Marine Endowment for MPAs through a \$6 million grant to grantee Fondo Mexicano para la Conservación de la Naturaleza. In addition, the subprogram catalyzed the creation of a coastal NW Mexico Land Conservation Program in partnership with the Sandler Family Foundation and the Marisla Foundation. Through this program the Packard Foundation has awarded \$11.5 million to conserve key coastal sites within the Gulf and along the Pacific side of Baja California. The Foundation also continued to make investments in the region through its Science subprogram (\$4.8 million for marine ecosystem-based research and management), the Organizational Effectiveness program (\$870,000 to strengthen the organizational effectiveness of the region’s NGOs), and \$1.1 million in low interest loans through our Program-Related Investment program to improve the

performance of fishery cooperatives and industries in the Gulf and the western coast of Baja California.

From 2010 to 2011, Foundations of Success (FOS) conducted an independent evaluation of the GOC subprogram. The evaluation found that grantees had helped reduce threats to the region’s resources and built capacity for lasting conservation. New donors entered the region, helping advance conservation outcomes, but the Foundation continued to play a unique and important leadership role due to its historic presence in Mexico and its work to attract new funding, convene important actors and partners, and promote a shared vision for an ecoregional approach to conservation in the Gulf. The evaluation concluded that significant and groundbreaking conservation gains had been achieved at a local level, but these gains needed to be scaled up to have a regional impact and made more durable. More information on the results of this evaluation can be found at <http://www.packard.org/what-we-fund/conservation-and-science/gulf-of-california/>.

In December 2011, the GOC subprogram updated its strategy and presented a revised 2012–2016 strategy to the Foundation’s Board of Trustees. This strategy was approved with planned annual funding of \$3 million. The strategy builds on the momentum and accomplishments achieved through the Foundation’s engagement in the region since the 1990s and was informed by the FOS evaluation and by discussions with grantees, other funders, Foundation Trustees, academic and government experts, and the Foundation’s Conservation and Science program staff. The revised strategy aims to scale up the conservation gains that had been achieved in the region and to establish the conditions necessary to maintain the well-being of the people in the region and the health of the coastal and marine ecosystems of Northwest Mexico.

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# 2012–2016 Strategy Overview

## Regional Focus

Gulf of California and Pacific side of Baja California (referred to as Northwest Mexico in this document)

## The Vision

Northwest Mexico is a region where local communities and government are effective stewards of their oceans and coasts and where a variety of resilient, interconnected ecosystems maintain biological diversity and produce the goods and services needed to support strong economies and local well-being.

## Goal

The goal of the GOC subprogram is to ensure that the capacity for safeguarding the region's biological diversity, ecosystem goods and services, and associated social well-being is in place. This goal will be fully achieved when:

- The trend of overexploitation of key fisheries is reversed and sound fishery management systems have been established.
- Marine and coastal areas that are key to maintaining the region's biological diversity, productivity, and ecosystem goods and services are protected and adequately managed.
- Effective organizational capacity systems for NGOs are in place.
- Sustainable financing to maintain effective management and monitoring of priority conservation sites and fisheries is in place.

## Objectives

The GOC subprogram will focus on four strategic objectives:

- **Fisheries:** Reversing the trend of overexploitation of key fisheries and establishing sound fishery management systems.
- **Marine Reserves (MPAs and Fishery Refugia):** Expanding and strengthening a network of sustainably managed marine areas that are key to safeguarding the region's biological diversity and productivity.

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## Key Changes in Revised GOC Subprogram Strategy

The most significant change in the 2012–2016 strategy is the overall goal. The stated goal of the 2006–2011 strategy was to “maintain the richness and productivity of the Gulf of California.” That goal provided a long-term vision, but it could not be translated into specific time-bound objectives to orient the Foundation's work. The revised goal for the 2012–2016 strategy is to support work to establish the capacity needed to safeguard the region's biological diversity and ecosystem goods and services. By focusing on building capacity for safeguarding the region's richness and productivity, the Foundation can help ensure that the institutions, resources, and human capacity can ultimately achieve the long-term vision for the region.

We have also adjusted some of the proposed activities to address threats related to shrimp trawling, small-scale fisheries, and coastal development based on current political opportunities and challenges. In addition, some of the new priorities in this revised strategy include supporting work to:

- Reduce threats associated with poor management of key watersheds on the mainland coast of Mexico.
- Capitalize on Mexico's Fisheries Law (published in 2007) to improve management of key fisheries and establish fishery refugia administered by the National Aquaculture and Fishing Commission (CONAPESCA).
- Increase the overall area of MPAs, with a target of having at least 20 percent of the Gulf protected, including 5 percent as no-take, by 2020.
- Strengthen key policies and monitoring and enforcement mechanisms affecting MPAs, fisheries, and coastal sites.

The revised strategy also gives more focused attention to the Pacific side of Baja California as part of the GOC subprogram's overall grantmaking to advance coastal and marine conservation gains in Northwest Mexico, including Mexico's portion of the California Current.

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- **Coastal Conservation:** Establishing the mechanisms needed to maintain the integrity of key coastal sites.
- **Organizational Capacity and Sustainable Financing:** Strengthening the organizational capacity and financial resources for long-term management, conservation, and monitoring in the region.

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# Fisheries

## *Reverse the trend of overexploitation and ecological impact of key fisheries and establish sound fishery management systems*

Under this objective, the Foundation supports work to reduce the ecological impact of fisheries in the region and to make the Gulf's fisheries more competitive in national and international markets by promoting sustainability standards and best practices. In particular, work we support under this objective is aimed at: (1) reducing the ecological impact of the shrimp industry by lowering habitat impact and overall bycatch volumes as a result of industrial shrimp trawling and use of shrimp gillnets (one of the main fishing gears affecting vaquita mortality); (2) strengthening management of small-scale fisheries to reduce their impact on species and areas important to the ecological integrity of the Gulf; (3) establishing a series of fishery improvement projects for selected fisheries that play a key role in the ecosystem and provide an important source of income to the region's coastal communities; and (4) improving management of the Gulf of California's sardine fishery.

This work will be conducted in tandem with and supported by efforts to help improve existing policies and enforcement mechanisms related to fisheries management. These include, but are not limited to, strengthening policies for fishery management and enforcement within the Gulf's MPAs and providing technical information for the passage of fishery-specific regulations. Various activities outlined in the fisheries objective of this strategy paper will be linked to the Foundation's broader fisheries improvement goals.



Shrimp boats in Puerto Peñasco, Sonora  
(Richard Cudney)



Fishermen from Sinaloa harvesting shrimp with suripera nets  
(Carlos Aguilera)

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## Improve management of industrial fisheries: shrimp and sardine

The Gulf's shrimp fishery is one of Mexico's most important fisheries in terms of economic and social value. However, it is also a fishery that continues to harm the Gulf's ecosystem, particularly via bottom trawling and the use of shrimp gillnets (chinchorros de línea) with high bycatch rates. Significant progress to reduce the impact of the shrimp fishery has been made, including reducing the number of boats operating in the Gulf, proving the effectiveness of alternative fishing gear, and strengthening improved management systems. However, the GOC subprogram maintains that certain conditions still need to be met in order to reduce environmental harm from the fishery to acceptable levels, including that:

- No-trawl areas are established and enforced in MPAs currently subject to shrimp trawling.
- Shrimp gillnets in the Upper Gulf of California are replaced with alternative gear and methods showing low bycatch rates and zero impact on the vaquita porpoise.
- Existing laws establishing trawl-free areas and mandating the use of Turtle Exclusion Devices (TEDs) are fully enforced.
- Systems of accountability and transparency in the shrimp fishery are in place.

The long-term vision of the GOC subprogram is that the shrimp fishery can become a model of sustainability. To help guide our strategy, we will first facilitate the establishment of a shrimp working group consisting of experts in the fishery from the academic, NGO, government, and fishery sectors. Guided by this group, we anticipate that the strategy to reduce the impact of the shrimp fishery will rely primarily on three initiatives: (1) establishing mechanisms to reduce and/or redirect perverse fishery subsidies (those that are providing incentives for unsustainable fishing practices) while potentially promoting the use of positive subsidies (that lead to a decrease in ecological impact and that incentivize efficiency in the fishing sector without undermining the sustainability of the fishery); (2) leveraging the market to incentivize better practices; and (3) helping to establish a catch-shares program for a portion of the industrial shrimp trawling fleet.

We will work with the Foundation's Fisheries subprogram to support efforts to promote change within the shrimp sector by leveraging the growing demand for sustainably caught seafood. By rewarding behaviors that lead to more sustainable practices, while simultaneously reducing the demand for shrimp caught with unsustainable practices, the fishing industry could eventually be transformed to include bycatch reduction technologies and trawl-free zones. This joint initiative will also focus on helping the fishing sector improve its chain of custody and gain access to preferential markets.

Finally, we will work in the Upper Gulf to advance technological innovation, strengthen fishery policies, and explore the feasibility of establishing a catch shares program for the region's shrimp fishing fleet. If grantees in either Sinaloa or the Upper Gulf (where the bulk of the shrimp fishery takes place) are able to make headway with the shrimp industry, the GOC subprogram would consider supporting processes that could lead to the certification of the fishery by the Marine Stewardship Council (MSC).

In the case of the Gulf's sardine fishery, its recent certification by the MSC signals that management of its stocks on some environmental impacts of the fishery will be addressed, assuming that the fishery follows the conditions set forth in the certification. We will support activities to ensure that civil society has mechanisms to adequately monitor compliance with these conditions, whether management of the fishery improves, and whether broader ecosystem impacts are taken into consideration as part of this management. Ultimately, we will aim toward a recertification of the fishery in 2016.



School of sardines in the Gulf of California

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## Support small-scale fisheries

To support efforts to improve the performance of small-scale fisheries and build toward exemplary management models, we will facilitate work on various fronts. First, we will help establish incentive-based fishery ordinance and management plans for key regions and fisheries. Mexico's 2007 Fisheries Law calls for the establishment of fishery ordinance plans for species and/or regions as a "backbone" of fisheries regulation. These ordinance plans are a fundamental fishery management tool to provide the means to control or restrict access to fisheries by determining how many fishers can participate in a particular fishery, identifying the true fishing effort, and establishing clearer territorial use rights for fishing communities. Once an ordinance plan is established, fishery management plans can dictate harvesting guidelines, including the establishment of fishery refugia. The GOC subprogram will support efforts to create well-established fishery ordinance plans that give preferential use rights to local fishers, establish clear management guidelines, and avoid open-access situations. This should create stronger incentives for fisheries to operate more sustainably.

Second, we will support more intensive work on a subset of small-scale fisheries to create a set of model fisheries with sound management systems in place by 2016. These fisheries will provide evidence that these management systems are feasible and economically viable, which should build support among fishers and management agencies for these types of changes and encourage improvement in other fisheries. At the same time, these model fisheries could have ramifications for the wider ecosystem of the Gulf by encouraging fishers to abandon other more ecologically harmful fisheries that might not be as financially appealing as these well-managed ones. We will support grantees' work with fishing communities, CONAPESCA, and Mexico's National Institute of Fisheries (INAPESCA) in crafting fishery management plans as well as their efforts to strengthen enforcement and monitoring mechanisms and improve the chain of custody for at least five fisheries.

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## Outcomes for Fisheries work by 2016

- Mechanisms are in place to reduce and/or redirect perverse fishery subsidies.
- Sustainably caught shrimp from the Gulf of California is recognized in the national and international market.
- A catch shares program has been established for the industrial shrimp fleet operating in the Upper Gulf of California (pending feasibility analysis).
- Fishery ordinance plans have been completed for four key regions.
- Key fishery policies identified in a policy gap analysis are published.
- Mexico's fishery bylaws are published.
- A fishery regulation (norma oficial) for groupers and snappers is published.
- At least five science-based fishery management plans have been established.
- Five fishery improvement projects have met sustainability standards and two have received some form of certification.
- The Gulf of California sardine fishery is recertified as sustainable by MSC.



Fishermen from the upper Gulf of California (Richard Cudney)

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# MPAs and Fishery Refugia

## *Expand and strengthen the network of sustainably managed marine areas that are key to safeguarding the region's biological diversity and productivity*

This objective, in combination with our coastal conservation and restoration objective (see next section), aims to help maintain the region's ecological resilience, fisheries, and biological richness by protecting and effectively managing key interconnected marine areas.

Although one of the major achievements of institutions in the region, which the Foundation has helped to support, has been the progress made toward the designation of MPAs, these areas do not have adequate management and financing to be durable. Moreover, further expansion of MPAs would result in greater biodiversity conservation in the region. As of January 2012, about 8 percent of the Gulf's marine environment (this excludes islands) was in protected area status, with less than 1 percent of this area declared as no-take. Ultimately, beyond the five-year timeframe of this strategy, a reasonable goal for the region would be to have at least 20 percent of the Gulf under formal protection, including at least 5 percent as no-take. By formal protection we mean areas established as federal MPAs and fishery refugia, managed respectively by the Commissions of Protected Areas (CONANP) and CONAPESCA.

## **Expand network of MPAs and fishery refugia**

The GOC subprogram will support efforts to establish, by 2016, at least 10 percent of the marine area of the Gulf under formal protection, including 2 percent of this area as no-take. We will also work to develop enough capacity to further expand this coverage beyond GOC subprogram support.

## **Strengthen MPAs and fishery refugia**

MPAs and fishery refugia are effective conservation tools only when they have adequate management systems in place. Although considerable progress has been made in strengthening management of some existing MPAs, much more remains to be done, particularly in managing fisheries within MPAs, establishing clear management plans, and strengthening overall MPA enforcement mechanisms. The GOC subprogram will support work with the goal of having, by 2016, effective governance systems in at least half of the entire network of MPAs that had been established by 2012.

The GOC subprogram will also work with the Foundation's Science subprogram to support efforts that will improve the cost-effectiveness of environmental monitoring of MPAs and fishery refugia in Northwest Mexico and support the use of that monitoring information in management decisions.

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## **Outcomes for MPA and Fishery Refugia Work by 2016**

- Area of MPAs in the Gulf are expanded to 10 percent of the total marine area (currently ~8 percent).
  - Within the Gulf MPA network, 20 percent of the area of that network has been declared as no-take (currently ~10 percent).
  - At least two networks of science-based fishery refugia are established in the Gulf.
  - All MPAs established by 2011 have their management plans published.
  - Management plans are fully operational within five MPAs.
  - Fishery ordinance plans have been completed within two MPAs.
  - Fishery ordinance plans have been completed for areas where networks of fishery refugia will be established, and adequate enforcement and monitoring mechanisms are in place in these sites.
  - There is enough capacity and public support to further expand this coverage beyond 2016.
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# Coastal Conservation and Restoration

## *Establish mechanisms to maintain and restore the ecological integrity of key coastal sites*

Under this objective, the GOC subprogram aims to establish the conditions necessary to help maintain the ecological integrity of key coastal sites so that commercial species are not depleted, threatened species do not go extinct, and ecologically important processes and habitats that are fundamental for the maintenance of the region's productivity and biodiversity are not irrevocably altered. Key coastal sites refers to a select number of places at the interface between land and sea that are most important for marine life, in particular mangrove estuaries and island ecosystems.

In 2012-2013, most initiatives described in this section (except for island restoration work) will be implemented largely through the Northwest Mexico component of the Foundation's Western Conservation subprogram.

## Use private mechanisms for the protection of key coastal sites

In the mid-1990s, changes to Mexican legislation allowed the privatization of ejido land—land that had been held under communal ownership following the Mexican Revolution of 1910–1921. While this has led to increased land speculation and purchases for development purposes, in recent years it has also created an opportunity to purchase coastal lands for conservation. At the same time, Mexican legislation allows for the establishment of 30–50 year concessions for federal coastal lands that are within the first 20 meters above the high tide line (known as ZOFEMAT concessions), which can be used to secure key coastal lands for conservation purposes. The GOC subprogram will support efforts to protect coastal lands via acquisitions, establishment of ZOFEMAT concessions, and help in the transfer of Federal Lands (Terrenos Nacionales) to CONANP for conservation purposes. The bulk of this work will be implemented by Resources Legacy Fund through the Northwest Mexico Land Conservation Program co-funded by Packard, Marisla, and Sandler Foundations.



Demarcation of turtle sanctuary near Cabo Pulmo, Baja California Sur (Megan Jellinek)



Mangrove lagoons in Marismas Nacionales, Nayarit (Jaime Rojo / WWF México)

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## Establish protected areas and management plans for key coastal lands

The coastal areas of Northwest Mexico are too large to be completely protected through land acquisitions and concessions, especially in areas that need a broad, watershed-level approach. To provide broader, overarching conservation gains for coastal conservation, the GOC subprogram will support efforts to establish at least four federal protected areas managed by CONANP and publish management plans for these areas.

## Strengthen policies for the protection of coastal sites

Strengthening the portfolio of policies applicable to coastal conservation, whether by strengthening the applicability of existing policies or establishing new ones, can go a long way toward providing broad protection to coastal sites. An example of this was the milestone achieved in 2010 for the protection of mangroves via Mexico's improved mangrove legislation. We will support work in Mexico to analyze existing legislation applicable to coastal conservation, identify the gaps in the existing legislative structure, and identify opportunities to improve existing policies. Our strategy will be aided by a working group that the Foundation helped establish in 2011.

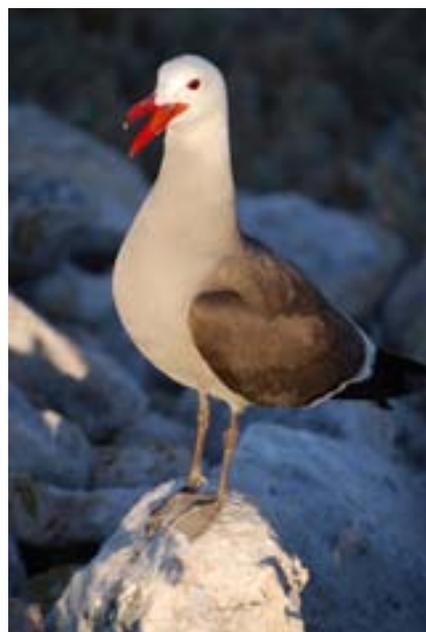
## Remove invasive species from priority islands

Although grantee efforts to restore island ecosystems through the eradication of invasive species have surpassed our initial expectations, there is still room for significant conservation gains. However, the islands with the highest return on investment (that is, islands where the cost of restoration was relatively low and the benefits of restoration were relatively high) have now been restored, and restoration efforts will become more costly as projects focus on islands that are logistically more demanding. We will seek to allocate funds to ensure the long term sustainability of already-completed island restoration work, complete those eradications that are currently in the pipeline, conduct a return-on-investment study to determine future priorities for island restoration, and follow through with island restoration based on the results of this study.

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## Outcomes for Coastal Conservation by 2016

- At least 40,500 hectares of key coastal lands are protected through acquisitions and arrangements with CONANP for management of Federal Lands (Terrenos Nacionales).
  - At least 500 kilometers of coastline within ZOFEMAT are protected.
  - At least four ecologically representative coastal protected areas are established on key coastal sites, covering a minimum of 160,000 hectares.
  - All coastal protected areas of Northwest Mexico have management plans.
  - A strategic plan is being implemented and will result in the strengthening and establishment of key policies for coastal protection.
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Heermann's Gull on Isla Rasa

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# Organizational Capacity and Sustainable Financing

## *Strengthen the organizational capacity and financial resources for long-term management, conservation, and monitoring in the region*

A healthy socioeconomic and ecological future for the region can only be achieved with a strong and resilient civil society and a sustainable base of financial support. This objective aims to establish the organizational and financial capacity needed to maintain the momentum for effective management and conservation in Northwest Mexico even after Foundation support ends. The GOC subprogram will support the following core initiatives:

### Strengthen enforcement mechanisms

In order to strengthen enforcement for all MPAs and fishery refugia, areas for which fishery ordinance plans are established, and selected key fisheries, the GOC subprogram will focus on providing support for work to implement robust enforcement mechanisms for a subset of MPAs and fisheries as models for other sites and fisheries. We will also support cross-cutting policy initiatives affecting enforcement for management of Mexico's marine resources and coasts.

### Increase long-term financial support

To strengthen the permanence of the conservation outcomes that are being achieved, the GOC subprogram will support work to establish the conditions needed for long-term financing, focusing particularly on three key components of this strategy: MPA management, island restoration and protection, and capacity building of the Foundation's grantees.

## Strengthen capacity of organizations and networks

GOC subprogram grantees have developed a strong base of organizational capacity for conservation, but they seek to further increase their effectiveness and assure their sustainability. The Foundation will support work to help them in, among other things, fundraising, organizational governance, strategic communications, and public policy and consensus-building/conflict resolution. There is also a need to establish more formal strategic alliances and networks of organizations working toward specific management and conservation outcomes in the region. The GOC subprogram will work with the Foundation's Organizational Effectiveness Program and other funders to craft and implement a comprehensive capacity-building strategy for Northwest Mexico.

## Establish institutional mechanisms for long-term monitoring

The GOC subprogram will support efforts to establish the institutional mechanisms needed to make comprehensive monitoring an ongoing part of management and conservation efforts in Northwest Mexico. We will also work to ensure that results from monitoring are translated into management actions by civil society and the appropriate Mexican government agencies.



Commercial diver monitoring rocky reef (Richard Cudney)

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# Cross-Cutting Activities

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## Outcomes for Organizational Capacity and Sustainable Financing by 2016

- Enforcement mechanisms are operating effectively in five MPAs, a fishery refugia corridor, and four selected model fisheries.
- An effective tracking/surveillance program for small-scale fisheries has been implemented for two coastal communities of the northern Gulf of California.
- A well-crafted capital campaign has been implemented and results in at least \$20 million raised for MPA endowment funds.
- The amount of private donations of Mexican philanthropists for marine conservation has increased substantially, making up at least 30 percent of philanthropic financial resources devoted to conservation in the Gulf.
- A plan for the long-term financial sustainability for island restoration and conservation in Northwest Mexico is in place and beginning to be implemented.
- At least three Mexican NGOs have implemented well-crafted capital campaigns.
- A strategy to strengthen capacity building is crafted with the participation of other funders and the Foundation's GOC grantees and is successfully implemented.
- At least five Mexican NGOs have legal and/or policy experts on staff.
- Grantees and networks of grantees have effective internal governance systems in place.
- Organizations and networks have staff members fully capable of implementing organizational/network capacity assessments on a regular basis.
- Mechanisms are in place for long-term monitoring to inform management decisions and future conservation actions for the networks of the region's MPAs and harvest refugia, along with key fisheries and priority islands.

To support the four strategic objectives outlined above, the GOC subprogram will also explore two cross-cutting activities. First, we believe it is timely to study the feasibility of establishing a high-level working group or nongovernmental commission-like body with enough political influence to help maintain a vision for the region's oceans and coasts that is grounded in sustainability. Preliminary discussions with key grantees and political figures in Mexico suggest that this is an idea worth pursuing. Other key funders in the region have also expressed interest in collaborating on this initiative. Second, we will support a grantee to help form an advisory working group of academic and civil society organizations with expertise on accountability and transparency that could identify mechanisms and opportunities to strengthen transparency and accountability processes, primarily in the areas of fisheries management and coastal development.

## Funding Plan

The goal, objectives, and outcomes described in this strategy cannot be achieved through Foundation funding alone. To make significant progress, the GOC subprogram will continue its efforts to build strong partnerships with other donors in the region. Most of the initiatives presented in this strategy will be co-funded with other funders supporting work in the region. The Foundation plans to stay involved in a broad spectrum of initiatives to continue to play a leadership role in building momentum for comprehensive approaches to conservation and sound management across Northwest Mexico.



Brown pelican in Pescadero, Baja California Sur (Megan Jellinek)



Ensenada San Basilio, Baja California Sur (Miguel Angel de la Cueva)

## Estimated Allocated Annual Budget of the Gulf of California Subprogram (million U.S. dollars)

STRATEGIC OBJECTIVE	GOC SUBPROGRAM CONTRIBUTION
Fisheries	1.05
MPAs/Fishery Refugia	0.5
Coastal	0.5*
Org. and Financial Capacity	0.95
<b>TOTAL</b>	<b>3.0</b>

NOTE: These figures exclude funding available to support conservation in the Gulf of California via other subprograms of the Conservation and Science Program (i.e., Science, Fisheries, and Western Conservation subprograms) or the Organizational Effectiveness Program. This other funding would be coordinated with GOC subprogram staff and allocated in accordance with the GOC strategy. It is also important to note that the yearly allocation for each strategic line of work is an averaged estimate for the 2012-2016 strategy. Allocation could vary on a yearly basis based on needs and opportunities presented.

\* In 2012 and 2013, in addition to the \$0.5 million for coastal conservation provided by the GOC subprogram, \$2.6 million will be contributed by the Western Conservation subprogram as part of the Northwest Mexico Land Conservation Program managed by Resources Legacy Fund and co-funded with the Sandler and Marisla Foundations. This contribution will cease in 2013 when the Foundation's Western Conservation subprogram ends.

## Estimated Allocation of Foundation Investment (High, Medium, Low, or None) during Expected Lifetime of Each Strategy Initiative

STRATEGIC OBJECTIVE	INITIATIVES	2012	2013	2014	2015	2016	2017	2018	2019	2020
FISHERIES	Redirect fishery subsidies	Low	Medium	High	Medium	Low	No	No	No	No
	Establish shrimp trawling catch shares	Medium	Medium	High	High	Medium	Low	Low	No	No
	Use market leverage for shrimp fishery	No	No	Low	Medium	High	High	Low	No	No
	Establish fishery ordinance plans	High	High	High	Medium	Medium	Medium	Medium	Medium	Low
	Establish model fisheries	Medium	High	High	High	High	High	Medium	Medium	Low
	Strengthen fishery policies	Medium	High	High	Medium	Low	No	No	No	No
MPAs	Establish MPAs and fishery refugia	High	High	High	High	Medium	Medium	Medium	Low	Low
	Strengthen MPA management plans	High	High	Medium	Medium	Medium	Medium	Medium	Low	Low
COASTAL	Establish coastal protected areas	High	High	Medium	Medium	Low	No	No	No	No
	Strengthen coastal policies	High	High	Medium	Medium	Low	No	No	No	No
	Facilitate island restoration	High	Medium	Medium	Medium	Low	No	No	No	No
ORG. AND FINANCIAL CAPACITY	Strengthen enforcement	High	High	High	Medium	Medium	Medium	Low	Low	Low
	Strengthen accountability	Low	Low	High	High	Medium	Medium	Low	No	No
	Help capitalize conservation	Low	Medium	High	Medium	Low	No	No	No	No
	Strengthen networks and organizations	Medium	Medium	Medium	High	High	High	High	Medium	Low
	Strengthen vision for oceans/coasts	Low	Medium	High	Medium	Low	No	No	No	No
	Strengthen monitoring capacity	High	High	Medium	Medium	Medium	Low	Low	Low	Low

High Investment
  Medium Investment
  Low Investment
  No Investment

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# Monitoring and Evaluation

The GOC subprogram defines **monitoring** as regular data gathering (including through the direct interaction of staff with grantees in the region) that the subprogram carries out for management purposes. As part of this monitoring plan, the GOC subprogram will do the following:

- Establish regular processes for gathering and recording data relevant to the progress toward each of the outcomes described in the strategic initiatives. These data will allow us to test assumptions in our strategy and evaluate progress toward intermediate outcomes.
- Prepare annual reports (beginning in 2013) summarizing information on short-term indicators of the ecological condition of the Gulf of California ecosystem. Stabilization and improvement in these indicators of ecological condition are the ultimate goal of our grantmaking strategy. While these indicators are unlikely to show definitive trends during our five-year strategy, they will nevertheless help to establish a baseline for future assessments.
- Rely on various working groups (some already outlined in this strategy document) to act as sounding boards to assess progress and help identify whether course corrections would be beneficial.

**Evaluation** refers to the use of an objective third party to assess the effectiveness of program implementation or grants for both a management and an oversight function. In 2014, the GOC subprogram will hire a consultant to carry out a set of confidential interviews of grantees and key advisors in order to get independent perspectives on the implementation of key pieces of our strategy. In addition, toward the end of the five-year strategy, the GOC subprogram will commission a retrospective, comprehensive analysis to inform a potential 2016–2020 strategy refresh.

# Exit Strategy

The GOC subprogram expects to begin ramping down some components of this strategy before 2016. In particular, we expect that funding for the work being carried out in Northwest Mexico under the Western Conservation strategy involving the use of private mechanisms for coastal protection will end in 2013.

A full exit would be triggered by attaining the goals described at the beginning of this strategy document. Based on the GOC subprogram's comprehensive five-year retrospective evaluation, the subprogram will determine the level of investment that may be needed during a potential 2016–2020 strategy refresh.



Dunes in the upper Gulf of California  
(Richard Cudney)

[www.packard.org](http://www.packard.org)

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