

POWER SHARING IN THE COASTAL ZONE
SHIFTING ROLES OF GOVERNMENT IN COMMUNITY-BASED
COASTAL MANAGEMENT

by

Lawrence P. Hildebrand

A thesis presented for the degree of
Doctor of Philosophy
at
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Summary of Thesis:

The objective of this research is to evaluate the role of government in collaborative government-community coastal management initiatives. The research aimed specifically to: demonstrate that governments are willing to share selected management responsibilities with non-statutory community-based organizations and that the community-based organizations are willing and able to assume specific responsibilities; to describe the conditions under which such power sharing occurs; and to identify the specific management functions that can and are willing to be shared. This research was informed by a detailed review of a diverse literature and a specific case study of a well-developed community-based coastal management program in Atlantic Canada – the Atlantic Coastal Action Program (ACAP). This thesis hypothesized that the effective functioning and sustainability of government-community partnerships will be strengthened by a clearer definition, mutual understanding and acceptance of the shared and respective roles, responsibilities and accountabilities among the government and community partners in these initiatives. The research was informed by an on-line survey and semi-structured telephone interviews with a cross-section of both community and government actors in the case study. The thesis identifies the need for a 'shifting' role for governments that enter into and support these partnership arrangements. The data show that most of the identified management functions in the case study have already shifted to a community lead, but with a clear desire for government to be involved as the collaboration continues. The significant challenges that such a shifting view and perspective require in these hybrid coastal governance partnerships are explored in depth and supported by the findings that these approaches are indeed good for government, respond to community expectations for greater and more meaningful involvement and can be strong and effective means of capitalizing on the strengths and capacities of both community and government actors in advancing Integrated Coastal Management.

DECLARATION AND STATEMENTS

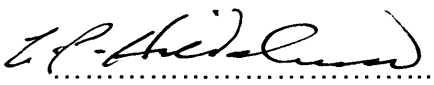
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ABSTRACT

Governments and non-statutory community-based organizations can work together effectively in what are known as hybrid coastal governance initiatives, by sharing many of the management responsibilities inherent to these processes. This thesis focused on the role of government in these partnerships and identifies the need for certain shifts in attitude, behaviour and their comfort levels in sharing power with their community-based partners. Governments are limited in their capacity as well as legal and moral authority to address all of the complex requirements in pursuing Integrated Coastal Management and communities have demonstrated their strong interest and capacity in partnering with government to achieve the ambitious goals that such integrated processes require. This research has demonstrated that governments can, over time, rely on community-based organizations to take on certain management functions that are best placed for delivery at the local level. It is important to note that this is not an inherent right or guaranteed arrangement, as there are many degrees of government comfort and community capacity that must align for such partnerships to be undertaken. While government institutions are making such shifts slowly and tentatively, their enabled actors, who interact directly with their community partners, have learned that these partnership arrangements are good for government in terms of achieving on-the-ground results, in responding to community expectations, indeed demands, for greater and more meaningful involvement, and that empowered community-based organizations can assume many of what have been traditionally considered to be the exclusive responsibility of government. There are many doubters, opponents and only luke-warm defenders of such power-sharing arrangements at this time, but this thesis has provided empirical evidence and a basis of hope that such collaborative government-community partnerships will continue and proliferate.

DEDICATION

To Judi, Carrie and Ben

ACKNOWLEDGEMENTS

There are so many people to thank, all of whom have encouraged, guided, prodded and inspired me along to this end. Firstly, my thesis supervisor, Dr. Rhoda Ballinger, who has been a stalwart of patience, good advice and collegial support throughout this long journey. To Environment Canada, my employer and strong supporter of this degree, I am very grateful. And especially my family – Judi and our children Carrie and Ben – who have put up with my protracted distraction, long hours away from them and the great heaps of research material that I promise to remove from all over the house very soon. This research would not have been possible without the dedicated friends and colleagues in both government and the communities that comprise the Atlantic Coastal Action Program, the case study subject of this research. I thank you all, most sincerely.

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LIST OF ABBREVIATIONS USED

| | |
|--------|---|
| ACAP | Atlantic Coastal Action Program |
| CBEM | Community-based Environmental Management |
| CB-ICM | Community-based Integrated Coastal Management |
| CBO | Community-based Organization |
| CDN | Canadian (dollars) |
| CEM | Collaborative Environmental Management |
| CEMP | Comprehensive Environmental Management Plan |
| CIDA | Canadian International Development Agency |
| EC | Environment Canada |
| ED | Executive Director |
| FAO | Food and Agriculture Organization of the United Nations |
| GESAMP | Group of Experts on the Scientific Aspects of Marine Environmental Protection, United Nations |
| IADB | Inter-American Development Bank |
| IAP2 | International Association for Public Participation |
| ICM | Integrated Coastal Management |
| ICZM | Integrated Coastal Zone Management |
| IDRC | International Development Research Centre (Canada) |
| NGO | Non-government Organization |
| OECD | Organisation for Economic Cooperation and Development |
| OSH | Occupational Safety and Health |
| RMA | Resource Management Act (New Zealand) |
| SIDA | Swedish International Development Cooperation Agency |
| U.K. | United Kingdom |
| UNDP | United Nations Development Programme |
| UNEP | United Nations Environment Programme |
| UNESCO | United Nations Educational, Scientific and Cultural Organization |
| USAID | United States Agency for International Development |
| WHO | World Health Organization |

Chapter 1 - Introduction

“There is nothing more difficult to take in hand, more perilous to conduct, or more uncertain in its success than to take the lead in the introduction of a new order of things, because the innovator has for enemies all those who have done well under the old conditions, and only lukewarm defenders in those who may do well under the new.”

Niccolo Machiavelli (1469-1527)¹

1.1 Introduction

Many societies today are experiencing a ‘sea change’ in the way that governments and societal actors perceive each other and how they choose to work together and share power in collaborative partnership arrangements in coastal areas. This thesis posits that we are at a watershed moment in terms of the broad field of environmental management and coastal management specifically, wherein traditional views of the roles of government are shifting, as is the balance of power in its relationship with non-statutory community-based organizations.

Centered in the broad and rapidly evolving dialogue about Integrated Coastal Management (ICM), this thesis addresses Machiavelli’s innovators directly, both within government and in community-based organizations, who are taking on traditional views and approaches and building the evidence and confidence in the to-date lukewarm defenders that a ‘new order of things’ is upon us. This new order is characterized by a growing recognition within government that to achieve its objectives, it must loosen its reigns of control and enter into collaborative power-sharing arrangements with community-based organizations that are motivated, expecting and in many cases, well placed to play a significant partnership role in environmental and coastal management. The challenges are not insignificant and there are many who will resist this shift in power and remain doubtful about the benefits of doing so until stronger empirical evidence is

¹ Niccolo Machiavelli <http://www.brainyquote.com/quotes/quotes/n/niccolomac131418.html>

presented to demonstrate that such collaborative relationships are both possible and mutually beneficial to governments and societal actors alike.

This thesis addresses these doubts and concerns directly through a thorough review of a diverse academic, grey and professional literature in many fields and a case study analysis of a specific hybrid government-community governance program in eastern Canada.

1.2 Rationale for the Research

Within the burgeoning field of Integrated Coastal Management (ICM) globally, there is a rapidly developing sub-specialty in Community-based ICM (CB-ICM). Within CB-ICM, governments and non-statutory community-based coastal organizations (CBOs) are partnering in the development and delivery of the most local application of the modern principles of ICM. However, unlike most 'top-down' or government-directed ICM approaches, in CB-ICM, both governments and CBOs consistently claim 'shared governance' approaches and 'shared responsibilities' in these highly collaborative partnerships.

Yet the meaning and implications of these shared governance arrangements are poorly articulated and understood. The terms used in these programs and the related analytical literature, are loosely applied and largely without supporting definition or clarity on respective roles and responsibilities, accountability implications and power-sharing dynamics. Although there has been a steady increase in the body of general and descriptive literature devoted to CB-ICM efforts in recent years (see for example: Jentoft, 2000; Hildebrand, 1997; Pomeroy et al., 2004; and McKay et al., 1996), there has been almost no detailed examination of the governance implications or the appropriate distribution of management functions within these government-community partnerships.

The question of whether, to what degree, and for which management functions are government(s) willing and able to share planning and decision-making authority with non-statutory CBOs, and which of these functions CBOs desire and/or have the capacity to assume, has not been thoroughly explored in the literature or in other learned analyses to date. Neither have the broader governance implications or power relations been explored in any real or practical terms. This thesis examines the specifics of these shared governance partnerships, the particular management functions that are, can be and wish to be shared, and the implications, both in present terms and for the further development of the field.

Although many case examples of governments and CBOs working together and appearing (and perhaps assuming) to share formal authority can be cited (See Section 1.9), the question of the actual implications – legal, policy, fiscal, accountability – have not been clearly or purposefully addressed. It remains a question ‘just over the horizon’, thus an appropriate and timely basis for a doctoral thesis.

1.3 Research Aims and Objectives

It is the hypothesis of this thesis that: the effective functioning and sustainability of government-CBO partnerships in ICM will be strengthened by a clearer definition, mutual understanding and acceptance of the shared and respective roles, responsibilities and accountabilities among the government and community partners in these initiatives. While it will not be possible to produce empirical evidence of such a future condition, this thesis will, through a detailed analysis of one CB-ICM program, provide evidence of the willingness and ability of government and community partners to enter into and achieve mutual benefits through power-sharing arrangements.

The research aims are to:

- Demonstrate that governments are willing to share selected management responsibilities with CBOs and that the community organizations are willing and able to assume specific responsibilities;
- Describe the conditions under which such power sharing occurs; and
- Identify the specific management functions that both parties can and are willing to share.

It is the objective of this research to examine these important questions through detailed review of a diverse literature (i.e., alternative service delivery, behavioural science, coastal and ocean management, community psychology, community sociology, democracy, development studies, environmental planning and management, ethics, fisheries co-management, forestry, human ecology, law, management theory, marine policy, marine resource economics, planning, education and research, policy studies, political geography, political science, program evaluation, public administration, rural studies and rural sociology, social anthropology, society and natural resources, town planning, theoretical politics), and a specific case study of a well-developed CB-ICM program in Atlantic Canada - the Atlantic Coastal Action Program (ACAP).

1.4 Research Methodology

The research was directly informed by a structured on-line survey and semi-structured telephone interviews with a thorough cross-section of participants in the case study – both government and community. The objective was to gain insights and informed qualitative perspectives on the nature of these shared governance partnerships, both at present and how the individual actors see them for the future. This methodology is outlined in detail in Chapter 3.

This research will produce detailed insight that will outline the shared partnership conditions, define key terms and bring clarity to respective and shared

management responsibilities in such power-sharing relationships. The focus will be on the role of government in these partnerships.

1.5 Shifting Attitudes and Approaches

Beginning in the 1960s, governmental agencies began to create alternatives to regulatory, technical, and bureaucratic approaches to environmental policy, planning, and management (Koontz et al., 2004). Driven by societal expectations for improved environmental quality and citizen desires to have input into public decisions, policymakers expanded opportunities for public participation in environmental decision making (Fabricus et al., 2007). Many of these approaches relied on formal methods for disseminating knowledge and on public comment on pending plans and policies. This style of input met with criticism, however, being perceived as tokenism rather than an empowered form of participation. In response, collaborative approaches to environmental management were adopted in the late 1980s and 1990s. The desire to move environmental management closer to affected communities and to incorporate community sentiments and views into decisions more fully, in combination with increased awareness that environmental issues span geographic, organizational, and institutional boundaries, has led many governmental agencies to perceive collaboration as an appropriate management option (Folke et al., 2005a). At the same time many private firms and nonprofit organizations have altered their positions, maintaining that cooperation rather than conflict will result in more productive outcomes.

Bridger and Luloff (1999) contend that collaboration is a way to formulate more locally relevant policies and include diverse interests and values in decision making. In a wide range of settings, governmental agencies have come to recognize the importance of integrating community knowledge, skills, values, and views into environmental decision making and management. The resultant

proliferation of collaborative approaches raises the issue of how to think about government's role in collaboration and how its influence imprints such efforts.

Although the body of research around these questions provides a large and growing mass of data, little progress has been made in understanding the role of key players, particularly governments, in collaborative environmental management. Where research has considered the role of government, Dalton (2006) finds that it has focused on how agencies and institutional constraints pose barriers to collaboration. Analyses have largely neglected the diversity of roles—some more positive than others—that government can play in collaborative environmental management. As a result, a number of important questions remain unanswered about the extent to which government is able and willing to share power in environmental management, the means through which government actions and efforts facilitate or hinder collaboration, and the extent to which collaboration leads to better environmental outcomes (Koontz, et al., 2004).

Discussions of a 'sustainable society' or a 'sustainable world' are meaningless to most people since they require levels of abstraction that are not relevant in daily life. The locality, by contrast, is the level of social organization where the consequences of environmental degradation are most keenly felt and where successful intervention is most noticeable. And, of equal importance, there tends to be greater confidence in government action at the local level. The combination of these factors creates a climate much more conducive to the kind of long-term political mobilization implicit in the term 'sustainable development'. Moreover, as Yanarella and Levine (1992) observe, sustainable community development may ultimately be the most effective means of demonstrating the possibility that sustainability can be achieved on a broader scale precisely because it places the concept of sustainability "...in a context within which it may be validated as a process." By moving to the local level, the odds of generating concrete examples of sustainable development are increased. As these

successes become a tangible aspect of daily life, the concept of sustainability will acquire the widespread legitimacy and acceptance that has thus far proved elusive (Bridger & Luloff, 1999).

Sustainable development rooted in place-based communities has the advantage of flexibility. Communities differ in terms of environmental problems, natural and human resource endowments, levels of economic and social development, and physical (i.e. geological and topographical), and climatic conditions. Given such heterogeneity, the arguments for focusing primarily on global or national sustainable development are even more problematic and adopting a 'one size fits all' approach is simply not tenable. A community-level approach allows for the design of policies and practices that are sensitive to the opportunities and constraints inherent to particular places (Bridger and Luloff, 1999). One of the primary arguments sometimes offered for decentralized approaches to environmental management is that the variability of local conditions requires management approaches that are more closely tailored to the environmental, social, political and economic conditions at the local level. Lowry (2002) attests that in general, the more that local knowledge is critical to program success, the greater justification for local program design and implementation.

There has been much discussion in the past several decades about whether we should be pursuing "top-down" or "bottom-up" approaches to environmental management. This question is being asked increasingly as national programs and government-led environmental management initiatives are complemented by integrated and multi-stakeholder efforts at the community level. Experience is building around the world in community-based environmental management, wherein the people who live and work in coastal areas and depend on the resources and services it provides, are enabled to take an active role, and increasingly share planning and decision-making responsibilities with government. As McNeil et al., (2006) state, proponents of both approaches are

lining up on either side of this apparent dichotomy in the complex and still evolving field of environmental management.

But we have to ask – is this an either/or scenario? It would be prudent to continue to develop and support national and regional approaches to environmental management, as these have resulted in many of the effective (although mostly sectoral) programs in existence today. At the same time, there is a growing recognition of the value and benefits of working at the community level as well. As many authors attest (e.g., Fabricus et al., 2007; Selman, 2001; Folke et al., 2005), it is at the local level that much of the innovation and real action is taking place. Clearly, community-based environmental management represents a new form of partnership between government and community-based organizations. In essence, it is about ‘power sharing’ in the integrated planning and management of the environment. There is growing evidence of the desire, if not demand, by local stakeholders, to be more actively and meaningfully involved in what have traditionally been government decisions.

The reaction against top-down, state-led planning arises from a variety of shortcomings but two are of primary importance here. The first, as Selman (2001) notes, is the perception that the knowledge lodged in local communities and institutions has been systematically excluded and must come to occupy a more prominent place in the sustainability dialogue. Traditional and local communities who live in and manage ecosystems are often the first to detect ecosystem change and are most immediately and directly affected by it. There are local communities with fine-grained, contextual knowledge about ecosystems (Fabricus et al., 2007). The second is that environmental degradation is felt much more immediately at the local level. By locating the focus of action there, the benefits of environmental restoration and management will be much more noticeable (Hibbard & Lurie, 2006).

As trends indicate, the traditional top-down, agency-driven approach to natural resource management has blended with a more collaborative approach that encourages participation by the general public. Dalton (2006) claims that involving the public in management helps facilitate information sharing, develop innovative management strategies, enhance support of decisions, and ensure that decisions reflect the values and interests of a democratic society. This thesis explores these claims and offers empirical evidence to support them.

1.6 The Theory and Practice of Integrated Coastal Management (ICM)

Turning now to the more specific theory and practice of ICM, we take note of a large and growing body of literature on Integrated Coastal Management (ICM) from around the world. This knowledge base can be found in comprehensive text books (e.g., Sorensen and McCreary, 1990; Kenchington, 1990; Chua and Scura, 1992; Beatley et al., 1994; Boelaert-Suominen and Cullinam, 1994; Clark, 1996; Cicin-Sain and Knecht, 1998; Vellaga, 1999; Visser, 2004; Krishnamurthy et al., 2008), through the websites of various international organizations (e.g., United Nations Environment Program², Food and Agricultural Organization³, Convention on Biological Diversity⁴, GESAMP⁵, World Bank⁶, OECD⁷), in national ICM program descriptions (e.g., United States⁸, Australia⁹, United Kingdom¹⁰), in major journals in the field (e.g., Coastal Management, Ocean & Coastal Management, Marine Policy), in coastal and ocean conference

² United Nations Environment Programme <http://www.unep.org/>

³ Food and Agriculture Organization of the UN <http://www.fao.org/>

⁴ Convention on Biological Diversity <http://www.cbd.int/programmes/areas/marine/management.aspx>

⁵ GESAMP (Group of Experts on the Scientific Aspects of Marine Environmental Protection) <http://gesamp.org/>

⁶ The World Bank <http://www.worldbank.org/>

⁷ The Organisation for Economic Cooperation and Development (OECD) http://www.oecd.org/home/0,3305,en_2649_201185_1_1_1_1_1,00.html

⁸ United States Coastal Management Programs http://coastalmanagement.noaa.gov/programs/coast_div.html

⁹ Australia Coastal Management Programs <http://www.environment.gov.au/coasts/>

¹⁰ United Kingdom ICM <http://www.mywire.com/a/TheGeographicalJournal/Coastal-marine-governance-United-Kingdom/9716286?page=2&email=0>

proceedings (e.g., Coastal Zone Canada Association¹¹, The (U.S.) Coastal Society¹², Coastal Zone Asia Pacific Association¹³), and recent international policy analysis initiatives (e.g., Baseline 2000¹⁴) and policy development forums (e.g., The Global Forum on Oceans, Coasts and Islands¹⁵).

1.6.1 Defining Integrated Coastal Management

There is a certain cadence to the deliberations on ICM and CB-ICM in this literature and the international discourse. All of the above-noted learned sources speak to ICM as beginning with the concept that the management of coastal and ocean resources and space should be as fully integrated as are the interconnected ecosystems making up the coastal and ocean realms. Definitions vary on what the ICM process is, but all fundamentally describe ICM as a process that recognizes the distinctive character and value of the coastal area (e.g., Kenchington, 1990; OECD, 1993; Sorensen and McCreary, 1990) and acknowledges the interrelationships among most coastal and ocean uses and the environments they potentially affect (GESAMP, 1996).

Integrated coastal management itself is characterized as a conscious management process (Cicin-Sain and Knecht, 1998), by which rational decisions are made concerning the conservation and sustainable use of coastal and ocean resources and space (Krishnamurthy et al., 2008; Beatley et al., 1994; Vellaga, 1999). As a process, we see ICM described as continuous and dynamic and designed to ensure that all decisions and activities related to or affecting a country's coastal area are consistent with, and supportive of, agreed-upon goals and objectives for the region and the nation. Sorensen (2002) adds that ICM is a multi-disciplinary process that unites levels of government and the community,

¹¹ Coastal Zone Canada Association <http://www.czca-azcc.org/html/home.html>

¹² The (U.S.) Coastal Society <http://www.thecoastalsociety.org/index.html>

¹³ Coastal Zone Asia Pacific Association <http://www.czapa.com/czap08/callfor.asp>

¹⁴ Baseline 2000: The Status of Integrated Coastal Management as an International Practice <http://www.uhi.umb.edu/b2k/baseline2000.pdf>

¹⁵ The Global Forum on Oceans, Coasts and Islands <http://www.globaloceans.org/>

science and management, and sectoral and public interests in preparing and implementing a program for the protection and the sustainable development of coastal resources and environments. We have also learned that ICM is multi-purpose oriented; it analyzes implications of development, conflicting uses, and interrelationships among physical processes and human activities, and it promotes linkages and harmonization between sectoral coastal and ocean activities (Cicin-Sain and Knecht, 1998).

Looking more specifically at the community dimension of ICM, several authors (e.g., Clark, 1996; Chua and Scura, 1992; Sorensen and McCreary, 1990) describe the overall goal of ICM as to improve the quality of life of the communities that depend on coastal resources as well as providing for needed development (particularly coastal-dependent development) while maintaining the biological diversity and productivity of coastal ecosystems in order to achieve and maintain desired functional and/or quality levels of coastal systems, as well as to reduce the costs associated with coastal hazards to acceptable levels (Visser, 2004). While ICM allows for an acknowledged need to see and understand the large-scale picture, especially related to the physical processes driving and shaping the coastal zone, there is an equal and important obligation to recognize that as humans, we interact with the coastal zone at the local-level. The principle of subsidiarity advocates that management authority for decision-making be taken at the lowest-level possible (Hegarty 1997; Jentoft 2000).

The function of ICM then, is to ensure that sectoral programs come within the ambit of a process that harmonizes multiple and diverse coastal and marine activities and ensures that they all operate in a manner consistent with the nation's agreed-upon coastal and marine management goals (Beatley et al., 1994). This is done by ensuring that the decisions of all sectors (e.g., fisheries, oil and gas production, water quality) and all levels of government are harmonized and consistent with the coastal policies of the nation in question. A key part of ICM is the design of institutional processes to accomplish this

harmonization in a politically and socially acceptable manner (Cicin-Sain and Knecht, 1998).

Yet ICM is not a “one size fits all” concept. It is not a fixed approach that can be applied in a wholesale fashion to all situations, and it is not a methodology based on any one nation’s approach (Kenchington, 1990). Thus, ICM must be tailored to meet each nation’s unique situation. An ICM program’s ultimate success depends on building positive working partnerships among the various levels of government and the sectoral programs active in the coastal zone (Cicin-Sain and Knecht, 1998) and most importantly and relevant to this thesis, with key stakeholders on the ground (Kearney et al., 2007).

1.6.2 The History of ICM Development and Practice

From a Western, developed-country perspective, ICM has been in development for just over 40 years, with the first acknowledged initiative starting in San Francisco Bay, California in 1965¹⁶. A broader and more temporal world view, however, recognizes traditional forms of local coastal resource management that date back centuries (Govan et al., 1995; Brown, 1995; Matthews et al., 1998; Pomeroy and Carlos, 1997). For instance, as far back as fourteen centuries ago, the native peoples of Hawaii practiced sustainability planning and management through an ancient integrated land-use system call Ahupua’a¹⁷. It was applied to territory, following the natural boundaries of the watershed, from the mountain ridges to several miles offshore; no distinction was made between land and sea for resource management. In comparison, Western cultures have just begun the task of building these kinds of strategies into their management practices.

¹⁶ San Francisco Bay Conservation and Development Commission <http://www.bcdc.ca.gov/history.shtml>

¹⁷ Ahupua’a <http://www.hawaiihistory.com/index.cfm?fuseaction=ig.page&CategoryID=299>

In either view, it is clear that societies and governments, both national and international, have recognized the need to focus their attention, and those of its stakeholders, on a more holistic and integrated approach (than traditional sector-specific management approaches and across the land-sea interface) to what is recognized as one of the most complex ecological and socio-political systems on the planet.

Shortly after initiation of the national CZM program in the United States in 1972, coastal management efforts began in a number of other countries, many of them developing nations. Often, these programs were encouraged and supported by donor organizations or donor nations in an effort to ensure that development projects reflected good coastal planning and practice. A comprehensive baseline study by Sorensen (2002) showed that there were approximately 700 ICM initiatives (including those at the local level) in more than 90 nations around the world in 2002. Data collected by Cicin-Sain and Knecht (1998) showed a significant increase in ICM global efforts from 1993 to 2000, although there were substantial differences in the extent of ICM activity in various regions. Stojanovic and Ballinger (2008) cite approximately 60 non-statutory coastal management initiatives established throughout the U.K. at the local/regional level since the 1990s. ICM initiatives exist in all parts of the world, at all levels of governance, in all types of political regimes, in all types of environments, and at all levels of national economic development. Many of these initiatives have been focused on estuaries and small areas of coasts (vs. national programs) and many advocate for successful pilot projects to be scaled up to national efforts on ICM (Sorensen, 2002).

1.6.3 The Motivation for ICM

What is behind this proliferation and broad global practice of ICM? The litany of now well-known, but seemingly intractable issues and challenges faced in the world's coastal zones is clear. Land-based sources of pollution are degrading

coastal waters and compromising dependent uses, and degradation and loss of critical coastal habitats and the ecological goods and services they provide continues unabated. Further, increasing user conflicts among traditional (e.g., fishing, marine transportation, oil & gas development) and new marine-based activities (e.g., wind and tidal power, ecotourism) are reported with increasing frequency and rapid and often unmitigated coastal development is foreclosing options for a balanced approach to multiple-use management. More seriously still, invasive species are negatively affecting coastal ecosystems and economic activities (e.g., aquaculture, tourism) and the growing threat of climate change and its associated impacts of sea-level rise, increase storminess and inundation is increasingly apparent. Yet many of these problems have been with us for many years and most nations have invested heavily in governmental programs to address these concerns. However, as these pressures build, experience (and evidence) is demonstrating the limitations of these sector-specific approaches, complicated further by jurisdictional complexity and uncertainty in many coastal areas.

Some observers (e.g., McKenna and Cooper, 2006; Atkinson, 1999) suggest that the most effective means of addressing these shortcomings in coastal management is to follow a top-down model that would invest in and build the capacity of existing statutory authorities by establishing in-house ICZM groups. Others (e.g., Kearney et al., 2007; Jentoft, 2000, 2005) advocate for a highly decentralized approach wherein coastal stakeholders take the lead. This thesis advocates for a 'hybrid' governance model, one in which statutory authorities and empowered community-based organizations share planning and decision-making responsibilities (or management functions) in a highly collaborative approach to coastal management at a local coastal ecosystem scale. These options are explored and analyzed throughout this thesis.

1.6.4 International Prescriptions

Although informally embraced for a number of years, it was not until 1992, at the United Nations Conference on Environment and Development (Earth Summit) in Rio de Janeiro, Brazil that the concept of Integrated Coastal Management (ICM) received international legitimacy with its endorsement in the Summit document enigmatically known as “Agenda 21¹⁸” and more specifically in Chapter 17 (*Protection of the Oceans, All Kinds of Seas, Including Enclosed and Semi-enclosed Seas, and Coastal Areas and the Protection, Rational Use and Development of Their Living Resources*) Chapter 10 (Integrated Approach to the Planning and Management of Land Resources) and Chapter 28 (*Local Authorities' Initiatives in Support of Agenda 21*). The Summit's companion declarations and conventions, including the Rio Declaration of Principles¹⁹, the Convention on Biological Diversity²⁰ and the Framework Convention on Climate Change²¹, all support ICM's integrated approach as a fundamental tenet of this form of environmental management.

Similar mandates can be found in the declarations of the Intergovernmental Panel on Climate Change²² (which singles out ICM as a key tool for dealing with the threat of accelerating sea-level rise in low-lying coastal areas); the Global Programme of Action for the Protection of the Marine Environment from Land-based Activities²³ (that points out the importance of better integrated coastal management measures at the local level to control land-based sources of marine pollution); in the recommendations of the OECD on Integrated Coastal Zone Management²⁴ (that call for applying the ICZM principles at the local level and that inhabitants of the coastal zone should be enabled to participate in decisions related to the management of coastal resources); and in the European

¹⁸ UNCED Agenda 21 <http://habitat.igc.org/agenda21/>

¹⁹ Rio Declaration on Environment and Development <http://habitat.igc.org/agenda21/rio-dec.htm>

²⁰ Convention on Biological Diversity <http://www.cbd.int/convention/>

²¹ Framework Convention on Climate Change
http://unfccc.int/essential_background/convention/items/2627.php

²² Intergovernmental Panel on Climate Change (IPCC) <http://www.ipcc.ch/>

²³ The UNEP GPA <http://www.gpa.unep.org/index.html?ln=6>

²⁴ Recommendation of the OECD Council on ICZM, 1993
http://www.safecoast.org/editor/databank/File/OECD%20-%20coastal_zone_management.pdf

Recommendation concerning the implementation of ICZM in Europe²⁵ (which holds participatory planning as one of the eight principles of successful ICZM). Further clarion calls for more integrated and increasingly community-based approaches – that communities should have greater access to and control over decisions affecting their resources, in cooperation with government, economic and administrative functions - are contained in the 1994 Lisbon Declaration²⁶; the Barbados Programme of Action for the Sustainable Development of Small Island States²⁷; the Wexford Declaration²⁸; the Noordwijk Guidelines on ICZM²⁹; the Millennium Ecosystem Assessment³⁰; and the Global Forum on Oceans, Coasts and Islands³¹.

While all of these declarations and international policy pronouncements speak clearly to the need for and appropriateness of ICM broadly, many speak specifically to the inclusion and empowerment of local communities in this process. One of the key propositions of Chapter 28 of the 1992 Rio declaration for instance, is that the process of ‘good governance’ is a precondition for achieving sustainability at the local level. Evans, et al., (2006) describe the logic behind this proposition as two-fold: first, it is based upon the belief that the changes required to achieve sustainable development are of such magnitude that they cannot be secured by governments acting alone. They go on to state that it will be necessary to mobilize the energies and initiative of citizens, interest organizations and stakeholders—‘local communities’—if changes in attitudes, values and behaviour are to be secured. Second, the governance process is regarded as a key mechanism to involve and incorporate citizens and local

²⁵ European Parliament and Council, 2002. Recommendation of the European Parliament and of the Council of 30 May 2002 concerning the implementation of integrated coastal zone management in Europe (2002/413/EC) <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:32002H0413:EN:NOT>

²⁶ Lisbon Declaration

<http://www.unfpa.org/parliamentarians/documents/LisbonDeclarationENGFINALedited.pdf>

²⁷ Barbados Programme of Action for the Sustainable Development of Small Island States <http://www.unohrrls.org/en/sids/45/>

²⁸ Wexford Declaration, June 22, 1994 <http://coconet.ucc.ie/>

²⁹ Noordwijk Guidelines on ICZM resulting from the World Coast Conference in 1993

³⁰ Millennium Ecosystem Assessment <http://www.millenniumassessment.org/en/index.aspx>

³¹ Global Forum on Oceans, Coasts and Islands <http://www.globaloceans.org/>

organizations into the decision-making process, thereby increasing political engagement and levels of acceptance of what are often difficult decisions.

The World Bank (1993, 1996) acknowledges that the changes implied in a move towards more sustainable societies are so immense that governments alone cannot impose them. Evans et al. (2006) further note that change of the magnitude envisaged by Agenda 21 can only be achieved by mobilizing the energy, creativity, knowledge and support of local communities, stakeholders, interest organizations and citizens across the world. More open, deliberative processes, which facilitate the participation of civil society in making decisions, will be required to secure this involvement. Leach et al., (1999) note that the consensus in the wake of the UNCED suggests that the implementation of what has come to be known as 'sustainable development' should be based on local-level solutions derived from community initiatives. Community participation was expressly included in Principle 10 of Agenda 21 in strategies for achieving sustainable development. The potential benefits of stakeholder involvement are now well documented, through experience and through research. In their extensive meta-analysis of some 239 case studies of public participation, Beierle and Cayford (2002) concluded that "involving the public not only frequently produces decisions that are responsive to public values and substantively robust, but it also helps to resolve conflict, build trust, and educate and inform the public about the environment."

Major assessments of global environmental risks, such as those of the Intergovernmental Panel on Climate Change and the Millennium Ecosystem Assessment (the latter of which was designed to highlight the relationship between ecosystems and human well-being at several spatial scales, from the global to the local), have recognized widespread stakeholder participation as essential for addressing worldwide environmental threats, new and old. Fabricius et al., (2007) observed that even in remote villages in China, India and Zimbabwe, the call is out for greater local involvement in decisions made at

higher levels of government that affect local peoples' lives and their human security. Ribot (2006) expresses great faith that broader public participation will make ongoing decisions better informed and more sensitive to local conditions, limit the power of elite interests, and assure greater implementation of needed projects and development. Kasperson, (2006) emphasizes that decentralized approaches to decision making are only effective when there are mechanisms in place to represent local needs and aspirations in decision making.

1.7 The Scale is the Thing

"I realized years ago that you can get people to respond to fear, but you can't sustain it, because it's too soul-destroying ... the bigger picture, it turns out, is too discouraging to contemplate ... If you start by thinking globally, you will be defeated by the scale of the problem ... When I find people thinking globally ... their immediate reaction is, 'What's the point? We're toast.' The problem is so immense and we feel so minuscule, it disempowers us. So that's why I really think the line should be, think locally and act locally, because that's where you can see results."

David

Suzuki³²

At a macro-scale, watershed management (a critical, but only partial component of integrated land/marine coastal management) has been formally embraced by the European Union and is being widely practiced in other countries. It is considered to be the best approach for making decisions towards a sustainable society – decisions that address a broad range of competing interests around environmental, economic and social demands and concerns in an integrated manner. Many developed countries have instituted strong national policies and legislation with extensive public input to direct watershed management at the large basin and sub-basin levels (Canadian Water Resources Association, 2004). These are critical components of the freshwater/marine linkages central to ICM.

³² Accessed at:
<http://www.theglobeandmail.com/servlet/story/LAC.20080906.COVER06/TPStory/?query=David+Suzuki>
(September 6, 2008; The Globe and Mail – discussing his new 'Green Guide')

Watershed agencies have been set up specifically around water and other environmental issues in France (Water Agencies), United Kingdom (Environment Agency - Planning Areas), Canada (Priority Ecosystem Initiatives), Australia (Integrated Catchment Management), South Africa (Catchment Management Agencies) and New Zealand (Regional Councils). Other international agencies have been formed around the management of river basins such as the Rhine (International Commission for the Protection of the Rhine), the Nile (The Nile Basin Initiative), and the Mekong (Mekong River Basin Commission) (Canadian Water Resources Association, 2004). These watershed/river basin agencies can achieve much, but they have their limitations.

To move beyond a sectoral approach, to address the power imbalances and elitist distortions in the distribution of resource benefits, the formation of regional and large-area management bodies must be counterbalanced, and indeed, sustained, by encouraging the formation of self-organizing, local governance nodes at the community level where people interact on a frequent enough basis to create and sustain norms and institutions (Kearney, et al., 2007). These smaller-scale watershed organizations are typically self-organized by local stakeholders living and working within a watershed. Most local initiatives do not have a legislative basis but autonomously establish their own mandates and organizational structures. This trait clearly distinguishes community-based organizations from the top-down form of river basin planning traditionally practiced by federal and state agencies. Nevertheless, watershed organizations do rely on state and federal agencies for financial and technical assistance. They are neither completely independent of these agencies nor necessarily created and controlled by them (Thomas, 1999). Thus it is clear that we must plan, manage and think at several scales. The discussion from this point forward, however, will focus on the local scale.

Local watershed organizations also tend to focus on the ecological health of specific watersheds within which communities reside and on which their socio-

economic health depends. In other words they represent local—not regional, state, or national—constituencies and interests. Disagreement is common within each organization about the meaning of social, economic, and ecological health, particularly if the organization’s membership represents the full range of public and private stakeholders. An important function of watershed-based organizations, therefore, is to search for common ground within the community, from which proposals, policies and plans can be developed. Consensus usually is the preferred decision-making process, in part because consensus building is a useful method for discovering common beliefs about the ecological health of the watershed and the socio-economic health of the community (Thomas, 1999).

1.8 Community-based Integrated Coastal Management

Experience around the world is building in community-based coastal management wherein the people who live and work in coastal areas and depend on these resources are enabled to take an active and responsible role and increasingly share planning and decision making responsibilities with government.

Harvey et al., 2001

Community-Based ICM has become a hot topic among policy makers, development workers and academicians in the last 10 years. CB-ICM has been used to suggest a number of meanings, layers and dimensions, but the common denominator is placing a premium on communities and the central roles they play in coastal management. The value and wisdom of CB-ICM lies in its recognition that communities, by whatever definition we use (see discussion in Chapter 2), are legitimate and important partners, since they have the biggest stake in the sustainability of coastal ecosystems.

Building on the strong international statements of intent and commitment for community-based approaches, we are witnessing a proliferation of CB-ICM efforts around the world. Many of these efforts, particularly in developing

nations, have been stimulated and supported financially by national (e.g., CIDA, SIDA, IDRC, USAID) and international donor organizations (e.g., UNDP/GEF, UNEP, WHO, FAO, UNESCO, IADB, World Bank) who issue mandates for the involvement of communities in development programs and see ICM and CB-ICM as practical means to advance sustainability and empower local organizations to take a more active and meaningful role in the management of local resources and their sustainability. Equally, many developed nations have embraced the principles advocated at the international level and have initiated and continue to support programs in their own nations.

Community-based ICM is recognized globally as an integral feature of integrated coastal management, or as Adger et al., (2005) claim, that community-based management is now *de rigueur* and promoted throughout the world through decentralization or sharing of control from government agencies to institutions and committees of so-called co-management of resources. There are numerous and varied examples of CB-ICM programs ranging from community-driven models to government-implemented and coordinated ones. However, Harvey et al., (2001) note that little objective evaluation has been undertaken on such coastal programs so there is limited information about the performance of these community-based initiatives. This thesis presents a detailed review of one such CB-ICM program through case study analysis and offers empirical evidence of the value of and benefits to be gained through government-community collaboration and power sharing in coastal management.

1.9 The Global Practice of CB-ICM

There are many examples of community-based ICM from around the world and a proliferation of literature on CB-ICM and co-management (Govan and Hambrey, 1995; Pomeroy and Berkes, 1997). A 1997 Special issue of the journal *Ocean & Coastal Management* (Hildebrand (ed.), 1997) presents twelve cases of community-based management, from Honduras, Dominican Republic,

Micronesia, Canada, the Philippines, the United Kingdom, Ireland and Australia. Other cases are reported in the literature from the United States (e.g., Scott, 1993), Sweden (Morf, 2005), India (Lobe and Berkes, 2004), New Zealand (e.g., Oakley, 1991; Dahm and Spence, 1997), Fiji (Matthews et al., 1998), South Africa (Hauck and Sowman, 2001), St. Lucia (Renard, 1991, 1994; Brown, 1995) and the Philippines (e.g., Alcala, 1998; Bagadion, 1993).

Participation in the ICM decision-making system by expert and non-expert stakeholders has a broadly acknowledged potential, but in practice the implementation of participatory roles varies greatly from country to country (Moran, 1997). The traditional “linear” model by which expert information is deemed to lead directly to enhanced awareness and convergent decisions and actions is challenged. An alternative and more flexible system, based on a series of more equal-status roles that are adopted by stakeholders and governments in relation to their needs at a specific time, is proposed (Treby and Clark, 2004).

1.9.1 CB-ICM in Developing Nations

It is no accident that traditional resource-management systems are often community-based. The truth is that traditional systems have been the main means by which societies have managed their natural resources over millennia on a sustainable basis. CB-ICM is growing rapidly in developing countries where there is a reliance on coastal environments for food and livelihoods and where there is increasing pressure of population growth and over-exploitation of coastal resources. For example, Leach et al., (1999) report that Thailand began a ‘community-involved’ national coral reef management strategy in 1991 on the Island of Phuket and eastern Africa began planning for ICM in 1985 and now has numerous local demonstration projects applying community participation concepts. South Africa has developed a coastal policy which endorses and proposes a facilitatory style of management to replace the previous ‘top down’

sectoral focus. In India, participatory watershed development is now widely espoused by governmental and nongovernmental organizations alike, with the support of donor agencies. Decentralized approaches work better when there is a tradition of local autonomy or where local institutions are already in place. In settings in which there is a history of local collective self-management, these traditions can often be effectively revived and strengthened for contemporary management needs (Lowry, 2002).

The traditional social system is still influential in maintaining harmony and social stability in many of these countries. Within villages in the Pacific for instance, Matthews et al., (1998) report that the land and marine resource use patterns are strongly influenced by the cultural values. In Fiji, traditional management systems which have guided village resource use patterns through cultural norms and beliefs are still considered as paramount in terms of allowing access to the fishing grounds. Guiding principles of land and sea tenure, sacred areas, rituals designed to appease potentially wrathful spirits, and totemic taboos remain highly relevant and have subtle influences on marine resource use in rural areas to this day (Matthews et al., 1998).

Among the many examples of CB-ICM around the world, no country has the richness of experience with CB-ICM as exists in the Philippines. It is instructive to examine this country's approach in some detail. In the Philippines, community developers concerned with agricultural resources used the community-based resource management approach as early as the 1950s. However, it was only in the mid-1970s when the approach was applied to the management of coastal resources. The 1980s saw many experiments with community-based management of coastal resources in the Philippines through the implementation of localized marine protected areas. The 1990s brought devolution of authority to local governments (through the 1991 Local Government Code³³) and the implementation of several large foreign-funded projects that provided lessons on

³³ Philippines Local Government Code (1991) <http://www.chanrobles.com/localgovfulltext.html>

how best to carry out ICM in the country (White et al., 1994). From 1984 – 1994, over 40 CB-ICM programs and projects were implemented in all regions of the country (Alcala, 1998). It is interesting to note that the earliest efforts were referred to as 'coastal management projects' then, when their scope was expanded, they became known as 'coastal resource management' and later 'ICM' projects (Rivera and Newkirk, 1997; White et al., 1994). A common factor in most of these projects has been the involvement of a local non-government organization (NGO) as a key factor in community organization and mobilization (Pomeroy and Carlos, 1997).

To better understand the evolution of participatory and empowered planning and management in the Philippines, it is important to understand its social, cultural and political history. The island settlers of what became the Philippines had a long history of traditional fisheries rights and allocation before the archipelago was first colonized by Spain in the 17th century. The *barangay* (village) had jurisdiction over coastal resources and fishery limits were defined by them. However, the traditional property rights of barangays over fishing grounds were steadily eroded during the long Spanish colonial period (and the subsequent American period), with community authority and rights superseded by state government control (Pomeroy and Carlos, 1997). However, after several centuries of strong centrally-determined, top-down and non-participatory government practice, it was gradually realized that with the increasing rate of deterioration of natural resource systems in the country, there was no way that the Philippines could pursue a pathway of sustainable development. It is only in the past few decades that there has been a shift (back) to policies and strategies that advocate community-based initiatives to rehabilitate conserve and protect the resources based on use and enhancement of local knowledge, skills, responsibility and accountability (Rivera and Newkirk, 1997). Several case studies highlight the value of community commitment and participation in decisions regarding, and in the implementation of, resource management in ways

that consider not only the bio-physical aspects of resource management but the social, economic and legal implications (Rivera & Newkirk, 1997).

All of the above-noted programs and projects provide a wealth of experience and lessons learned which can be used to guide the design and implementation of CB-ICM policy and local-level initiatives not only in the Philippines but in other countries as well.

1.9.2 Developed Nations

Cooperation for communal interest is not restricted to marginal societies in exotic, far-away places. It frequently occurs in Western societies as well; countries in which the supremacy of the individual interest is held without question. A recent trend in many parts of the Developed World has been for government at various levels to promote the use of human and financial resources in schemes in which greater control of the development process is vested in the hands of a local community. The ultimate goal of this type of planning has been to establish what Robinson (1997) calls 'sustainable' communities largely reliant on local skills and capital.

In these approaches, there is an apparent shift away from more traditional patterns, in which governing was basically regarded as 'one-way traffic' from those governing to those governed, towards a 'two-way traffic' model in which aspects, problems, and opportunities of both the governing system and the system to be governed are taken into consideration (Kooiman, 2000). This means that not only the locus of boundaries between state and society change but also that the boundaries themselves change in character and become increasingly permeable. Where government begins and society ends, becomes more diffuse. No single actor, public or private, has the knowledge and information required to solve complex, dynamic, and diversified problems; no actor has an overview sufficient to make the needed instruments effective; no

single actor has sufficient action potential to dominate unilaterally. These are basically matters of the relation between governance and governing (Kooiman, 2000).

Looking now at a few other nations' approaches, we take note of Australia's 2005 coastal policy, *Living on the Coast* that introduced *Coastcare* as a community-based coastal action program that provides grants to encourage community participation in coastal management activities. In addition to supporting action projects in coastal dunes, catchments and estuarine systems, the program strives to change attitudes and decision-making processes and to reduce conflict between spheres of government and the public through cooperative action between the community and organizations responsible for managing coastal areas (Harvey et al., 2001). Similar programs were subsequently established in New Zealand (Dahm and Spence, 1997) and South Africa (Hauck and Sowman, 2001) based on this Australian model and are reported to be realizing similar objectives. Critics of *Coastcare* suggest that the Commonwealth is funding what are in fact community organizations that provide cheap on-the-ground service providers for government programs. The question of whether the program's purpose is one of cost cutting (through the replacement of permanent public servants with sponsored volunteers) or whether there is a genuine interest by government in developing meaningful community-based ICM remains open. Regardless of government intent, the *Coastcare* programs serve as good examples of governments and communities trying to work together in complementary and productive ways for the betterment of coastal ecosystems.

Stojanovic and Ballinger (2008) report approximately 60 non-statutory coastal management initiatives throughout the U.K. that have been established at the local/regional level since the 1990s. These initiatives are reported to have effectively engaged institutions and society to produce outputs which have transformed management, and promoted long-term, collaborative, participatory and ecologically sustainable approaches. Yet these forms of planning and

management have experienced difficulties in implementing strategies, securing full engagement, funding and staffing and they are reportedly not widely accepted or embedded within the current system of governance. The collaborative Irish-Welsh INTERREG project³⁴ highlighted the need to improve understanding of how coastal communities can participate in coastal management and called on governments to support the empowerment of local communities, including local government, to secure local sustainability of the coastal and marine environment.

In the United States, specifically the State of Maine, several examples of community-based management exist (Watson et al., 1996). They vary from 'natural resource communities' which focus on a particular harvestable resource such as lobsters or soft-shelled clams, to 'communities of place' that concern a specific geographic area or natural resource system. Community-based management regimes for shellfish and certain estuaries are similar in that they confer management responsibility to the most local level appropriate and involve democratic participation by those who are most directly affected by management decisions (e.g., harvesters, community residents). Maine people feel they can effect change on a local scale and the State government has been highly supportive of these power-sharing arrangements (Maine Fishermen's Forum, 1998).

The common failure of regulatory approaches to yield effective environmental management has led to numerous experiments using multi-stakeholder approaches in New Zealand (Oakley, 1991). These bring together local inhabitants, managers and resource users to develop comprehensive environmental management plans for entire ecosystems. On the west coast of the North Island, the Whaingaroa (Raglan) catchment was the focus of an inclusive ecosystem-scale demonstration project aimed at developing a community-based environmental management strategy for a whole catchment

³⁴ INTERREG http://www.interreg3c.net/sixcms/list.php?page=home_en

basin. Using a combined top-down and bottom-up process, inhabitants of the catchment were induced to create a representative steering group to identify issues, establish priorities and develop plans for future action. The process was led by Environment Waikato (the Regional Government) and Manaaki Whenua (a Crown Research Institute) until a group that was widely representative of the community was established. Emphasis and direction then became the responsibility of the community group (Daborn and Dickie, 1997). The project was also a test of the potential for devolution of decision-making to the community level, as provided for in the Resource Management Act (RMA) (1991)³⁵. A secondary objective was to test the transferability of a model of community-based decision making developed in a rather different legislative environment from the RMA (i.e., Canada's Atlantic Coastal Action Program, the case study used in this thesis and reported on in subsequent chapters).

From the position of democratic theory then, it is only fair and just that those that are affected by management decisions should have a say in management decision making. From the perspective of rationality, decentralization by involving user groups is a way of broadening the knowledge basis on which management decisions rest and thus improving the science of management. A decentralized approach combined with co-management arrangements can also mean participatory research, which may contribute to the improvement of the knowledge base and attitudes involved in decision making (McCay & Jentoft, 1996).

1.10 Typologies

Community-based organizations can range significantly in their level of collaboration or stakeholder involvement. Community-based schemes have taken a variety of forms, from complete control by self-regulating citizens' groups to a large element of control still resident in the hands of local or more senior

³⁵ New Zealand Resource Management Act (1991) <http://www.mfe.govt.nz/rma/index.php>

levels of government. Some groups are large partnerships of diverse stakeholders representing government, industry, environmentalist, farmer, fisher and general public interests. Other groups consist primarily of citizens. Some groups are primarily driven by agency representatives. This suggests a typology for collaborative partnerships based on the mix of private and government stakeholder membership (Moore & Koontz, 2003). Indeed, often the term 'bottom-up' or 'community-based' may seem inappropriate as the initiative for a particular program may reside with a level of government despite strong community level involvement and even direction. The Atlantic Coastal Action Program (ACAP), the case study used in this thesis (described in Chapters 3 and 4), represents just one example of these initiatives, though Robinson (1997) suggests that it is fairly typical of the type of collaboration that can occur between a community and an arm of government, in which cooperation between community and government is viewed (ideally) by both sides as a satisfactory means of tackling a particular set of problems.

In many democracies today, citizens feel that the fit between democratic participation, on one hand, and the political institutions and practices in which democracy is embedded, on the other, is no longer good enough. The glut of information available to citizens further erodes the idea that governments have all the answers. There is a heightened awareness among citizens that government is there to serve them, both as a guarantor of the larger political process and as a provider of services. Citizens expect government to be more responsive to their concerns, and they expect to have a more direct role in governance. They expect government to respond with the same increasing speed they have seen on the Internet and through other communications innovations. Citizen engagement is about realigning the fit, or more specifically, what Thomas (1999) calls, moving away from representative structures and towards more directly participatory ones.

This suggests that different types of partnerships should be used in different contexts. We may argue that agency-driven efforts are most appropriate when the issue is complex and there is a “thinness of the community around the issues at hand.” Conversely, community-driven efforts are most appropriate when the issues are broader in scope and there is a need for wide community support. Thus, the nature of the issue and the characteristics of the surrounding community may influence the type of approach that is needed (Moore & Koontz, 2003).

Models for practitioners also suggest the use of different types of groups. The Center for Watershed Protection (1998) outlines three different types of management structures for watershed management; government-directed, citizen-directed, and hybrid. Coalitions that include representation from the public sector are “governance hybrids,” mixing nongovernment and governmental decision-making power in representing diverse stakeholders or constituencies (Himmelman, 2001). In the government-directed model, local or regional agencies assume responsibility for making decisions about how the watershed is managed. On the other hand, the citizen-directed model is driven by citizen activists or grassroots organizations. A hybrid model combines the best of both models and is recommended for most watersheds (Moore & Koontz, 2003). This hybrid model is the type explored in this thesis.

1.11 The role of government

Much less has been written, however, about the role and activities of government in these partnerships. Yet, it takes two parties to have collaborative management, and the government is a crucial partner (Pomeroy & Berkes, 1997). In addition to a growing recognition of the interdependence of issues and the continuing search for savings, there is a sense within government that its agenda is overloaded—that it does not have the resources or expertise needed to address some major issues, and that it has taken on some activities which can probably be better accomplished with, through or by, others. At the same time,

there is a growing public demand for more active involvement in the government's agenda—a greater sense of entitlement to more open, consultative and participatory decision-making, and to services delivered locally, with more input and ownership from clients (Rodal & Mulder, 1993).

This thesis will identify key factors critical for the successful transition and sharing of responsibility among governments at all levels, nongovernmental organizations, and community organizations and the type of management programs that appear to be successful in promoting sustainable resource use. Two critical questions required answering; namely, what factors lead governments to share responsibility for managing marine and coastal resources? And, what attributes must the community groups have to assume this responsibility?

1.12 Summary

Currently, we are on the stakeholder involvement express, barreling down well-intentioned but often naive efforts to meet growing public concerns over environmental and technological risks, changed public expectations over democratic procedures (we need to be heard and involved!), and historic declines in a number of countries in the social trust accorded to those responsible for protecting public safety (Kasperson, 2006).

The stakeholder involvement imperative abounds with allusions to democratic ideals and principles and the good things assumed to result from stakeholder exercise. Implicit throughout is the notion that broad public involvement is the principal route to improved decision making, especially where the risks are controversial and disputed. Outcomes to be expected, it is claimed, include increased trust in experts and decision makers, greater consensus among publics and between science and politics, reductions in conflict and controversy, greater acceptance of preferred solutions, and increased ease in implementation

(Kasperson, 2006). Hence, it is generally more appropriate to speak of *shifting* roles of government than of *shrinking* roles of government as part of such changing relationships. A reshuffling of government tasks and a greater awareness of the need to cooperate with other societal actors does not render traditional government interventions obsolete. It merely implies a growing awareness, not only of the limitations of traditional public command-and-control as a governing mechanism, but also as responses to societal problems which require broader sets of approaches and instruments (Kooiman, 2000). This is the crux of this thesis.

1.13.1 Structure of the Thesis

Following this scene-setting introductory chapter, this thesis will proceed through five additional chapters. Chapter 2 focuses on defining the key terms used and misused in the academic, professional and practitioner literature pertaining to ICM and CB-ICM and presents a set of defined terms that will be used subsequently throughout the thesis. Semantic clarity is the objective. Chapter 3 presents the case study methodology used for primary data collection. It outlines the aims of the survey and interview process employed, discusses the research methods and outlines the specific management functions that are assessed through the case study analysis. Chapter 4 describes the case study, the key and detailed findings from the survey and interview process and provides insights on the subject program. Chapter 5 examines the power sharing roles and responsibilities among the government and community actors and institutions, the shifting roles of government in collaborative government-community coastal governance and the specific management functions that governments are able and willing to share with their community-based partners. The concluding Chapter (6) brings the insights gained through an extensive and diverse literature review and the results of the case study analysis together to reach specific conclusions and recommendations for power sharing in the coastal zone and the further development of government-community collaboration in coastal management.

Chapter 2 – Lexicons, Ladders and Wheels

2.1 Definition of Key Terms Used in the Field

Before proceeding with a detailed discussion of power sharing in the coastal zone, it is critical to have a context-specific and unambiguous understanding of the key terms used (and often abused) in the field of Integrated Coastal Management and in particular, its sub-specialty of community-based coastal management. The diverse literature reviewed for this thesis is replete with frequently and variably-defined and -used terms and there is little apparent consensus on their common meaning. This makes it particularly difficult to increase our mutual understanding of community-based coastal management and bring value-added clarity to the complex relationships inherent in governments and communities working together. The following section highlights the key terms that are used regularly in the academic and professional discourse on community-based coastal management and offers working definitions – for the key terms that will be used subsequently throughout this thesis - based on a review and interpretation of their use and misuse. Semantic clarity is the objective. Their definition will set the context for all of the discussions, analysis and conclusions that follow.

Chapter 1 explored the meaning and definitions of Integrated Coastal Management (ICM) and Community-based ICM in some depth and this provides a solid foundation for the following discussion on its related terms. This section will review definitions of twenty-one (21) terms that are used regularly and appear central in the field's discourse. Certain terms can be grouped together in categories that speak to: (2.1.1) what we understand by the term 'community' itself in this context; (2.1.2) the processes of involving more than just government actors (i.e., citizen engagement, consultation, public involvement, participation, collaboration, multi-stakeholder processes, and community-based environmental management); (2.1.3) the management dimensions (i.e., management,

governance, co-management, alternative service delivery); (2.1.4) the dynamics involved in balancing unequal partner capacities (i.e., power and power sharing, empowerment, collaborative environmental management, partnerships, delegation, subsidiarity, shared decision making); and (2.1.5) the implications/responsibilities around management (i.e., legitimacy, accountability).

2.1.1 Community

If we are to understand what community-based management is, we must first understand what we mean by the term **community** in this context. Numerous authors, dating back at least to the 1950s (e.g., Hillery, 1955, Kaufman, 1959, Wilkinson, 1970), have struggled with and ultimately suggest their meaning of community as simply “a taken-for-granted aspect of life; part of what we are.” As O’Carroll (1995) observes, “the notion is so familiar that it almost defies description; it is something that we feel and experience rather than reflect deeply on.” More helpful definitions vary from “a collection of human beings who have something in common” (Capistrano et al., 2005) and “*gemeinschaft*”- a state of close positive interaction based on kinship, local proximity, mental connection (Liepins, 2000), set of institutions (Fabricius et al., 2007) and geography (Koontz et al., 2004), to the more specific and informative “the degree of ‘common unity’ amongst social, economic and environmental stakeholders” (Ellsworth et al., 1997).

The distinction between (1) ‘*powerless spectator*’ (communities that have weak adaptive and governance capacity, do not have financial or technological options, and lack natural resources, skills institutions and networks), (2) ‘*coping actor communities*’ that (Fabricius et al., 2007) describe as ‘having the capacity to adapt, but are not managing social-ecological systems because of lack of leadership, of vision, of motivation and the typically short-term nature of their responses, and (iii) ‘*adaptive manager communities*’ that have both adaptive and governance capacity to sustain and internalize required change. Jentoft (1989)

suggests 'epistemic communities' (those centered on specific management issues or managing bodies, they can be made up of industry members, bureaucrats, journalists, scientists and others who come to know each other well, to learn whether and how much to trust each other, and to share common conceptions of problems and solutions, even if they may differ on specifics) as the appropriate definition here. So, the somewhat cumbersome, but hopefully insightful '*epistemic, adaptive manager communities*', best describes the 'communities' we shall refer to in the context of CB-ICM. The use of 'community', 'communities' and 'community-based organizations' will be used henceforth, with this definitional understanding.

2.1.2 The Processes of involving more than just Government Actors

Considering the many ways that governments may engage, involve or work together with communities, we first speak of ***citizen engagement***, (which is often depicted on various ladders or wheels of participation (see Section 2.2), among the lowest rungs or weakest spokes), which means increasing the voice and participation of citizens, thus making government more democratic (Armstrong & Lenihan, 1999). It is also defined as an interactive and iterative process of deliberation and partnerships among citizens, organizations and government officials with the purpose of contributing meaningfully to specific public policy decisions in a transparent and accountable manner (Health Council of Canada, 2006). This is a useful starting point.

Closely related to citizen engagement, but considered to be a slightly higher level of government-community relationship, is ***consultation***. Brown (1995) describes consultation as a process through which the views of all stakeholders are actively solicited for integration in planning and management, while decision making remains the responsibility of one or some of the parties. While consultation typically includes education and information sharing with the public (Marshall & Roberts, 1997) and can be an interactive and iterative process that seriously

elicits and considers ideas of clients and other stakeholders (Rodal & Mulder, 1993), the kinds of government-community partnerships we are discussing within community-based coastal management, go much further in approaching equal power relationships.

Perhaps **public involvement** takes us closer to our desired meaning. Public involvement has been defined generally as “a process for involving the public in the decision-making process of an organization” (Roberts, 1995; Marshall & Roberts, 1997). Fanning (2000) goes further by stating that the community must have shared in the setting of objectives and be affected by the outcome of the process, and Dalton (2006) insists that having an influence over final decisions is a key attribute of participatory processes. The ambiguity centers on the degree to which those involved in the process are able to influence, share, or control the decision making.

Another term universally used and defiantly misused – **participation** -- brings the public directly into the decision-making process (Marshall & Roberts, 1997). While the World Bank (1996) optimistically claims that stakeholders influence and share control over initiatives and the decisions and resources that affect them through participation, it does not specify the degree of influence and shared control. Morf (2005) counters that participation does not necessarily imply influence on decisions or outcomes. Perhaps the description of participation by Brown (1995) as “the process which facilitates dialogue between all actors, mobilizes and validates popular knowledge and skills, supports communities and their institutions to manage and control resources, and seeks to achieve sustainability, economic equity, social justice and maintain cultural integrity” can serve for our purposes here, despite its possibly overly-ambitious intended scope of impact. Oakley (1991) usefully distinguishes between participation as a ‘means’ (implying the use of participation to achieve some pre-determined goal or objective which is more important than the act of participation) and as ‘an end’, a process which unfolds over time and whose purpose is to develop and

strengthen the capabilities of people to intervene more directly in initiatives which may not have pre-determined measurable objectives, but which is an active and dynamic form which enables people to play an increasing role. We shall therefore define participation as both a means and an end (or objective) in community-based coastal management.

The term **collaboration** brings us deeper into the process of developing the social relationships between previously separate organizations needed to achieve desired goals (Foster-Fishman et al., 2001). Collaboration requires considerable sharing of risk and responsibility, as well as some 'giving up' of independence (or 'turf') in order to work towards common complementary goals (Gilbert, 2005). It also requires high levels of trust, considerable amounts of time, and a willingness to enhance the capacity of another for mutual benefit and a common purpose (Himmelman, 2001) so that they can accomplish objectives they are unable to achieve alone (Oliver et al., 2005; Whelan and Oliver, 2006), or that go beyond their individual visions of what is possible (Lasker et al., 2001; Koontz et al., 2004).

These processes of governments engaging, consulting, involving, participating, collaborating and/or sharing management responsibilities with citizens, the public or community-based organizations are now commonly applied through **multi-stakeholder processes**. Czempiel (1992) defines multi-stakeholder processes succinctly as approaches which attempt to integrate a broad range of people with competing interests, enabling them to work together toward a solution or objective beneficial to all. These are essentially consensus-driven processes of decision making requiring neutral facilitation and funding from government. A major strength of the process is that it brings together long-standing opponents or sectors with profoundly diverse interests, often with different values and world views (Himmelman, 2001).

Building on the concept of collaboration and tying it to multi-stakeholder processes, ***Community-based Environmental Management (CBEM)*** is an approach that centers on community interests playing an active and meaningful role in planning, managing, implementing and evaluating coastal resource management processes (Koontz et al., 2004). Fellizar (1993a,b) defines it as a process by which the people themselves are given the opportunity and/or responsibility to manage available resources, define their needs, goals and aspirations and make decisions affecting their well being. Pomeroy & Carlos (1996) note that CBEM is concerned with community control and management of productive resources. Leach et al., (1999) define CBEM as a process by which local groups or communities organize themselves with varying degrees of outside support so as to apply their skills and knowledge to the care of natural resources and environment while satisfying livelihood needs. Harvey et al. (2001) assert that it starts from the basic premise that people have the innate capacity to understand and act on their own problems. The common denominator is placing a premium on communities and the central roles they play in resource management (Rivera & Newkirk, 1997).

Koontz et al. (2004) emphasize that government-led CBEM need not be an oxymoron. In circumstances where the community is unorganized, governmental agencies can help stimulate and support collaboration. But governmental actors also must recognize the limits of their ability to control a legitimately community-based effort once it has developed. This is discussed in more detail in Chapters 5 and 6.

2.1.3 Management Dimensions

Next, we explore the variably-defined terms that can be grouped under 'the management dimensions' of CB-ICM (i.e., management, governance, co-management, and alternative service delivery). The central concept of ***management***, as defined by the Canadian Oxford Dictionary, is "the process or

an instance of managing or being managed”, but the Conference Board of Canada (2007) is more helpful in defining it as the process of organizing, regulating or being in charge of something. While governance (defined below) broadly concerns the processes, mechanisms and institutions of public decision making, management concerns the *means* for implementing those decisions (Thomas, 1999). Within this broad understanding of the term *management*, this thesis explores in some depth (Chapter 3 and subsequently) a long list of management *‘functions’* that research and experience have demonstrated to be the component parts of this broad term. These are outlined in Chapter 3 and serve as the basis for the case study analysis and the subsequent conclusions drawn in the final chapters.

The term ***governance*** became widely used in the 1990s, but it has not yet been clearly defined or widely understood. This presents a challenge as governance is the essence of the processes being explored in this thesis and the collaborative partnerships central to CB-ICM. Governance and government are the two intertwined, but distinct elements of the process of governing (Evans et al., 2006). Yet many still use governance and government inter-changeably, with troubling consequences. By using government in the place of governance, policy problems are implicitly linked to government. This places the onus on governments to ‘fix’ the problems, whereas alternative solutions may be found outside government that would more effectively address the problem (Plumptre and Graham, 1999). Government without governance cannot generate the local resources, support and energy needed to deliver outcomes in the complex policy environment of the 21st century. The two elements together can create a process of governing which can promote and sustain real policy progress (Evans et al., 2006).

Current use does not treat governance as a synonym for government, but ‘steering’ is a synonym for governance (Kooiman, 2000); that is, less government (or less rowing) but more governance (or more steering). Hubbard (2000) goes

further by positing that governance is the ability of a society to steer itself, that is, making the larger decisions about both direction and roles. Plumptre & Graham (2000) observe that governance is not only the process for determining where to go, but is concerned with who should be involved in deciding, and in what capacity. It opens one's mind to the possibility that groups in society other than government may have a stronger role in addressing problems.

Governance then, is a more encompassing phenomenon than government, because it embraces not only governmental organizations but also 'informal', non-regulatory mechanisms in a sphere of activity which functions effectively even though they are not endowed with formal authority (Levin, 1999). Governance is about governmental and non-governmental organizations working together (Jones & Little, 2000) in non-hierarchical and flexible alliances (Murdoch & Abram, 1998).

While government is thought of as an institution, 'governance' is seen by most observers as a process, and this is perhaps where the fundamental difference between the two terms now lies. It is a continuing process through which conflicting or diverse interests may be accommodated and cooperative action taken (Evans et al., 2006). The concept conveys the idea that public decisions rest less with hierarchically organized bureaucracies, but take place more in long-term relationships between key individuals located in a diverse set of organizations located at various territorial levels. Governance is about the way in which power is exercised; who has influence, who decides, and how decision-makers are held accountable (Plumptre and Graham, 2000).

The concept of governance, or the more popular term 'good governance' has its origins in the field of political sciences, and is currently being promoted as a means of achieving the goal of sustainable utilization of natural renewable resources such as fisheries resources (Chakalall et al., 1998), but is broader than fisheries management (Sissenwine & Mace, 2003). Good governance is to some

degree an end in itself (Plumptre & Graham, 2000). It is about politics, both formal and informal. It describes emerging forms of collective decision making at the local level which lead to the development of different relationships, not simply between public agencies, but between citizens and public agencies (Carlsson & Berkes, 2005; Evans et al., 2006). It is a process that takes place through the collective action of a variety of participants, all of whom retain some control over decision making or implementation (Koontz et al., 2004).

In sum, governance, as comprehensively defined by Czempiel (1992) is the capacity to get things done without the legal competence to command that they be done. This is distinguished from 'government' which distributes values authoritatively. While both governance and government refer to purposive behaviour, to goal-oriented activities and to systems of rule, government refers to activities backed by formal authority whereas governance refers to activities backed by shared goals that may or may not be derived from legally or formally-prescribed responsibilities. Rosenau and Czempiel (1992) shed further light on the differences by describing governance as a system of rule that works only if it is accepted by the majority (or at least by the most powerful of those it affects) whereas governments can function even in the face of widespread opposition to their policies. Thus, government is said to exercise rule while governance uses power.

Co-management is an approach to governance for which researchers and practitioners within the co-management literature have diverse definitions (see for example, Jentoft, 1986, 2000; Berkes, 2006; Adger et al., 2005; McCay & Jentoft, 1996; Duinker, 1998; Carlsson & Berkes, 2005; Pomeroy & Berkes, 1997; Berkes et al., 1991; Wright, 1998). Yandle (2003) and Pomeroy & Berkes (1997) encourage us to think of co-management as a spectrum of institutional arrangements in which management responsibilities are shared between the user and government. Yet McCay & Jentoft (1996) and Berkes (1994), describing co-management in its strictest sense, presume a legal framework that

requires governments to devolve some of their power to the partners and institutionalizes both autonomous and shared decision making. Its most common use in the fields of environmental management, ICM and natural resource management is as a process that involves a legal delegation of authority for local fisheries management.

Yet often in the literature reviewed, co-management is used to describe a wide variety of partnership arrangements that involve various degrees of the sharing of power, rights, responsibility and accountability between the government and local resource users, particularly with respect to the management of local fisheries resources. Duinker (1998) offers the helpful distinction between 'sector-based co-management' (in which government shares responsibility with a particular sector in the fishery, e.g., a specific gear type) and 'community-based co-management' (in which a community takes on responsibility for fishery management, with some degree of remaining government involvement). Yet many other authors (e.g., Berkes, 1986; Fanning, 2000; Carlsson and Berkes, 2005) do not restrict the term to such narrowly-defined natural resource management partnerships. The latter authors start from the assumption that co-management is a continuous problem-solving 'process', rather than a fixed state, involving extensive deliberation, negotiation and joint learning within problem-solving networks. Yet the legalistic implications remain.

The closely-related term ***alternative service delivery*** is described as a process of public sector restructuring designed to improve the delivery of service by sharing governance functions with individuals, corporations or community groups. It implies the relocation or delegation of some policy making, program design or program delivery powers outside of the agency that traditionally had exclusive responsibility for the production of a particular service (Langford, 1997; Institute for Research and Environment and Economy, 1996). In this sense, alternative service delivery can be equated with the legalistic definitions of co-management, and thus not directly applicable in this context.

2.1.4 Power Sharing Dynamics

As a central concept in social science and this thesis, **power** and **power sharing** are defined variably: from the ability of one actor or group of actors to impose (Cobb, 1993) or exert (Oliver et al., 2005) his or her will, influence or control on another, despite resistance (Whelan and Oliver, 2006); to the less overt 'application of action, knowledge and resources to resolve problems and further interests' (Adger et al., 2005; Armstrong & Lenihan, 1999). In fact, knowledge is often cited as a key resource in the exercises of power: it is used (negatively) by both dominant parties and by those resisting action (Adger et al., 2005; Margerum, 2002), and (positively) the wider its spread, the more power gets diffused (Armstrong & Lenihan, 1999).

The Canadian Oxford Dictionary defines power in several ways: (1) the ability to do something or anything, or to act upon a person or thing; (2) ability to act or affect something strongly; (3) capacity of producing some effect; (4) possession of control or command over others; (5) dominion; and (6) government. In the academic and bureaucratic experience of this author and others (e.g., Donaldson, 1994a,b), those inside governments have traditionally focused on (4), (5) and (6), while communities are more concerned with (1), (2) and (3). The difference in focus, therefore, often proves problematic when attempting to 'empower' communities. This premise of differing views among actors will be explored in detail through the case study analysis described in Chapter 3 and analyzed and interpreted in Chapters 4, 5 and 6.

Power sharing will typically be regarded as the end result of a collaborative problem-solving process rather than the starting point of a co-management decision-making process (Carlsson & Berkes, 2005). Power imbalances can be reduced by providing participant funding, and capacity building in negotiation

training and independent facilitation (Frame et al., 2004). Atkinson (1999) considers these key aspects of the empowerment process.

Albeit an imprecise and over-used term, **empowerment** is what Jentoft (2005) asserts co-management is all about. It has been characterized as the antithesis of paternalism and refers to the process by which power is gained, developed, seized, facilitated or given (Staples, 1990, Himmelman, 2001). An individual or group moves from a condition of relative powerlessness to relative power through the empowerment process (Staples, 1990; Cobb, 1993).

Like other terms defined above, empowerment can be an objective (McMillan et al., 1995), a process (Staples, 1990; Himmelman, 2001) and an outcome (Arigbede and Brown, 1995) of participatory processes. Jentoft (2005) defines empowerment as “a process through which people become strong enough to participate within, share in the control of, and influence events and institutions affecting their lives.” Yet Staples (1990) asserts that the process of empowerment is dynamic with no finished empowerment product. Himmelman (2001) cites an increase in community capacity to set priorities and control resources that expand self-determination, as the product.

But ‘to be empowered’ also refers to the state of possessing or controlling power, being able to act or prevent action (Cobb, 1993; Staples, 1990). The concept refers to the ongoing capacity of individuals and groups to act on their own behalf to achieve a greater measure of control over their lives and destinies. Thus, empowerment is egalitarian in nature, stressing the competence and the right of people to take charge of their own destinies. For the powerless, this entails a bottom-up process whereby they transform from passive or reactive subjects to active participants in the creation and implementation of the policies, decisions and processes that affect them. They are accorded basic respect, trust and dignity as capable individuals who are willing and able to take ownership and

responsibility for their own choices, decisions and actions (Staples, 1990; Donaldson, 1994a).

Communities define empowerment in multiple ways: being involved early in any decision-making process; having the opportunity to discuss ideas openly and without prejudice; being involved in, and understanding the decisions that are being made; having the resources and capacity to participate fully and effectively; being listened to; being part of determining the future; sharing responsibility; having access to relevant and timely information; having their knowledge valued and respected; and making decisions that may normally be made by government (Donaldson, 1994b; Cobb, 1993; Kearney et al., 2007). Venton (1997) reminds us that in exchange for more control, communities must assume more responsibility (in meeting government's expectations).

The term *partnership* too, is one of the most abused words in the contemporary administrative lexicon (Gilbert, 2005; Atkinson, 1999). If participants decide to share the power present in a collaborative relationship, then the relationship becomes one of partnership (Oliver et al., 2005; Arnstein, 1969). Bellehumeur (1998) adds that partnership is based on the principles of equality and shared responsibility.

Rodal and Mulder (1993) define a partnership as an arrangement between two or more parties who have agreed to work cooperatively toward shared and/or compatible objectives and in which there is: shared authority and responsibility (for the delivery of programs and services, in carrying out a given action or in policy development); joint investment of resources (time, work, funding, material, expertise, information); shared liability or risk-taking; and ideally, mutual benefits. Whelan and Oliver (2005) add that the participants in a partnership renegotiate the power present in the relationship to achieve goals that are desired by, or beneficial to, all whom may be affected.

This leads us to the implementation theatre for these principles, **collaborative environmental management (CEM)**. CEM has been described as a means to transcend political boundaries, manage environmental conflicts, and address complex problems that have not been solved by traditional means (Koontz et al., 2004). It may help build trust and foster improved relationships between formerly adversarial parties.

CEM is often described as a grassroots, bottom-up endeavour, the antithesis of government-directed management and regulation (Koontz et al., 2004). Typically, collaborative partnerships require some fundamental changes in the organizational culture and traditional values of the public sector. In particular, they require a new willingness to share authority and the development of a learning culture, that is, one that is more tolerant of error and able to benefit from it (Armstrong & Lenihan, 1999). It implies a joint decision-making approach to problem resolution where power is shared and stakeholders take collective responsibility for their actions and subsequent outcomes from those actions (Koontz et al., 2004). It is an iterative process of consensus building and implementation using stakeholder and public involvement (Margerum, 2002).

Delegation is the transfer from a principal (delegator) to an agent (delegate) of duties and sufficient means to enable the agent to discharge the duties to meet the principal's expectations (Venton, 1997). Such subordination does not mean inferiority, but rather accepting the principal's control by virtue of accepting remuneration for work done. Lowry (2002) emphasizes that delegation occurs when central government authorities transfer responsibility to semi-autonomous, sub-national agencies or authorities not wholly controlled by central government, but accountable to it in some fashion.

Where and when (non-legal) delegation occurs, the normative principle of **subsidiarity** – a concept prominent in Chapter 18 of Agenda 21³⁶ and with the

³⁶ Accessed at: <http://www.un.org/esa/sustdev/documents/agenda21/english/agenda21chapter18.htm>

European Union as articulated in the Maastricht Treaty³⁷ - proclaims that decisions affecting people's lives should be made by the lowest capable social organization (Noble, 2000; Otto-Zimmermann, 1994; McCay and Jentoft, 1996; Berkes, 2006), but with some controls at higher levels (Morf, 2005). Thus, subsidiarity implies delegation of power rather than just decentralization. McCay and Jentoft (1996) describe the main elements of subsidiarity as: the higher authority has the burden of proof about the need for centralization; it cannot simply claim that it is able to perform the task better than the lower level, it must show this to be true; realizing the principle by strengthening the capacity of the lower-level institutions to retain or acquire management responsibilities; and the idea of local autonomy. Local-level institutions should not be fully controlled by higher authorities (McCay and Jentoft, 1996).

Shared decision making means some power and control must be given up (Armstrong & Lenihan, 1999). It strives to bring together those with authority to make a decision (typically government), and those who will be affected by that decision (communities), to work together on an outcome that accommodates everyone's interests as much as possible. The desired outcome of the process is a recommendation to the appropriate statutory authority, except in the case of an assigned responsibility, where the desired outcome of the process is a decision. Shared decision-making does not affect the discretion or the legal authority of the participating governments.

2.1.5 Implications/Responsibilities around Management

Legitimacy results when a collaborative group is seen by those holding power and those participating in its broader sharing, as an appropriate and credible actor. Legitimacy (positively) affects the ability of a group to mobilize resources to implement plans and policies; groups out of step with the broader community may face difficulty in gaining support for their activities (Koontz et al., 2004). The

³⁷ Accessed at: <http://www.eurotreaties.com/maastrichttext.html>

more users are involved in the decision-making process, the more legitimate the process will be perceived (Fanning, 2000). It may also be defined as the degree of acceptance that the political regime enjoys among the community and vice-versa.

The definitions of **accountability** tend to be vague, incomplete or convoluted (Venton, 1997). At its core, accountability implies being held responsible (to somebody for something), liable (to be called on to render an account), blamed (when things go wrong) or answerable (the readiness to have one's actions questioned by responsible others). It is a central component of professionalism. Kreuter et al., (2000) find accountability useful for holding collaborative efforts to mutually agreed-upon standards of performance. We do know, however, that collaborative partnerships tend to blur traditional lines of accountability (Armstrong & Lenihan, 1999).

2.1.6 Summary

With clearer notions now of whom we mean by partners with government in community-based multi-stakeholder partnerships (epistemic adaptive manager communities) and the integration between strict government or community leadership (governance), we can now more effectively distinguish among the many other terms that are used so often (and variably) in this field. The more traditional processes of governments engaging, consulting, involving and participating with citizens and their organizations, while somewhat more democratic, respectful and informing, do not reflect the egalitarian spirit and intent of what we mean by power sharing in this context. Neither do the more extreme and legalistic approaches of delegation, alternative service delivery and co-management accurately reflect our intent. Yet the principle of subsidiarity leads us to a category of approaches (partnerships, empowerment, shared decision making, collaborative/community-based environmental management) that speak to governments giving up some control and independence, building

the capacity (e.g., knowledge, financial base) of their community-based partners to assume certain responsibilities, both parties sharing risk and responsibility, and building trust with community partners who can play a more active, meaningful and long-term role in accomplishing together what could not be achieved by either partner working alone. Such approaches increase the legitimacy of the partners and their joint process in the eyes of the participants and in those whom they represent, but in a collaborative setting that blurs the lines of accountability.

2.2 Pyramids, Ladders and Wheels of Participation

2.2.1 Introduction

The review of terminology in Section 2.1 highlights the fact that the relationship between governments and community-based organizations can take many forms, each with their own implications for collaborative management and power sharing. It is also true that the nature of this relationship may vary over time and with the needs and expectations of both communities and governments. King (1999) reflects the views of several authors (e.g., Arnstein, 1969; Biggs, 1989; Thomas, 1999) who conclude that the range of collaboration possible is seen as part of a continuum ranging from simple forms of information exchange or consultation through the joint working and the sharing of decisions. Others (e.g., Rodal & Mulder, 1993; Roberts, 1995; Marshall & Roberts, 1997; Lowry, 2002) suggest that the continuum can go further, all the way to devolved authorities.

During the history of its development and in the different contexts where it has been applied, participation has become loaded with ideological, social, political and methodological meaning, giving rise to a wide range of interpretations (Lawrence and Daniels, 1996). Rather than viewing these as competing with each other, typologies have been developed to understand the differences

between these interpretations and their associated approaches and methods, and the different contexts in which they are most appropriate (Reed, 2008).

In the preceding section, the case was made that governance is the essence of these government-community relationships. Delving deeper into this concept, Jentoft (2000) offers an insightful distinction between '*governance as governing*' and '*governing as governance*'. In the former model, the traditional governance approach may be imagined as a pyramid, with the governing system in the superior, commanding position and the system-to-be-governed in the subordinate, receiving role. The governing system is hierarchical and rigid, with the state at the apex. Authority and responsibility are centralized and leadership employs a top-down mechanism, with the emphasis on enforcement and control. The governing system is self-sufficient, and has clearly defined boundaries, which render it easily distinguishable from other systems. It is apparent who are the governors and the governed, as there is no double membership in the two systems. Conversely, the *governing as governance* model may be envisaged as an open system that forms a heterogeneous network – a political coalition – of more or less numerous and powerful stakeholder groups who are partly inside, partly outside the system. Governance consists largely of negotiating conflict, making compromises and building (temporary) consensus, and leadership is not so much about the exercise of authority as about political brokerage, where conflicts are not necessarily resolved.

Lowry (2002) expands on this by referring to '*devolved experimentation*', situations in which central authorities identify general goals, objectives and mandate or encourage sub-national units (or communities) to develop projects that address these general goals. This model is based on the premise that sub-national units have more knowledge about local resource issues and are therefore better able to design projects to address those issues. This model also assumes that local parties have or can acquire the capacity and resources to

develop these experimental or pilot projects that tailor national objectives to local conditions.

2.2.2 Ladders of Participation

Most students and practitioners of public involvement first became aware of this government-community power-sharing relationship through a seminal article by American planning theorist Sherry Arnstein (1969) in which she described a 'typology of citizen participation' that gives citizens varying degrees of power along a 'ladder' of citizen participation. In her ladder, she distinguished eight levels of public involvement that can greatly vary depending on the role and power of citizens in the decision-making processes (see Fig. 1). Rodal & Mulder (1993) emphasize that these categories are not rigid and there is considerable overlap among them, while Pretty et al., (1995) and Goetz and Gaventa (2001) note that numerous alternative terms have been suggested for the different rungs of these ladders.

Arnstein (1969) describes 'partnership' as the first rung in the ladder where power is in fact redistributed through negotiation between citizens and power-holders. The extent to which power is shared by the government increases as you proceed up the ladder through 'delegated power' and 'citizen control' – where all power lies with the citizens; a stage that Arnstein admits is unattainable in reality. Yet she also argued that "participation without distribution of power is an empty and frustrating process for the powerless." MacGregor (2000) highlighted her central message - that we need to be able to distinguish between participation that leads to citizen power and the kind of participation that can be co-opted and manipulated to support the desires of the power elite.

In the ensuing four decades, a plethora of citizen participation frameworks have been developed to help explain and describe the various levels of public participation possible in a democratic society. Each framework uses slightly

different terms and positioning to describe the various levels of participation possible. All generally describe a continuum of possibilities ranging from passive, token, or persuasive approaches at one end of the scale, to highly interactive and empowering approaches at the other. Educating, consulting and informing are found in the middle of most scales. All place collaborative approaches such as partnerships and joint planning processes much closer to the empowerment end of the continuum.

Arrangements on the latter half of the continuum may be seen to permit greater external empowerment, or the real sharing or transferring of decision-making power to promote self-efficacy among individuals, groups and organizations by involving them in decisions affecting them, and in the implementation of programs and the delivery of services that respond to their needs. Lawrence and Daniels (2006) propose 'transformative' participation as an alternative top rung of the ladder, emphasizing the idea that empowerment should lead to the transformation of the communities who are involved. In a more negative assessment, such sharing or transfer of responsibility may be perceived as the government's abdication or off-loading of responsibilities that it is no longer prepared or able to carry out (Rodal & Mulder, 1993).

Some typologies distinguish between the degrees to which stakeholders are engaged. Biggs' (1989) typology described the level of engagement as a relationship that can be 'contractual', 'consultative', 'collaborative' and 'collegiate'. Farrington (1998) distinguishes between participation that is 'consultative', 'functional' (i.e., enhancing project implementation through local labour and knowledge), or 'empowering'.

Reed (2008) notes that other typologies focus on the theoretical basis, essentially distinguishing between participation that is normative and/or pragmatic. Normative participation focuses on process, suggesting that people have a democratic right to participate in environmental decision making.

Pragmatic arguments focus on participation as a means to an end, which can deliver higher quality decisions. The contrast between these two types of participation has been conceptualized in many different ways. For example, Habermass' (1987) 'communicative action' theory suggests participation should be 'fair', representing the full range of relevant stakeholders and equalizing power between participants, in addition to being 'competent'. This distinction has also been conceptualized as the need for 'public acceptance' versus 'decision quality' (Renn et al., 1993; Webler, 1995; and Webler and Tuler, 2000), or 'political' versus 'technical' participation (Thomas, 1993; Beierle and Cayford, 2002; Innes & Booher, 2000; Ellsworth et al., 1997).

Rowe and Frewer (2000), IAP2 (2000) and Harvey et al., (2001) focus on the nature rather than the degree of engagement, identifying different types of public engagement by the direction that communication flows between parties. According to this view, information dissemination to passive recipients constitutes 'communication', gathering information from participants is 'consultation' and 'participation' is conceptualized as two-way communication between participants where information is exchanged in some sort of dialogue or negotiation. Consultations, partnerships and devolution may be regarded as points on a continuum, where the government organization is influenced by outside input but retains control and is fully involved in implementation at one end of the continuum, and re-distributes authority and responsibility for implementation to other entities at the other end of the continuum (Rodal & Mulder, 1993).

Focusing on the operational objectives of participation, Lynam et al. (2007) distinguished between 'diagnostic and informing', 'co-learning' or 'co-management' methods, and Tippett et al. (2007) considered the differences between methods to: inform; design active engagement processes; consult; deliver implementation of management plans; or to monitor and learn from the effectiveness of participatory practice. Other authors (e.g., Okali et al., 1994; Michener, 1998; Warner, 1997) support this view.

Alternatively, there have been a number of attempts to develop typologies on the basis of the objectives for which participation is used. For example, Okali et al. (1994) distinguished between 'research-driven' versus 'development-driven' participation. Similarly, Michener (1998) contrasted 'planner-centered' participation that is focused on outcomes with 'people-centered' participation, which builds capacity and empowers stakeholders to define and meet their own needs. Warner (1997) argued that neither of these categories adequately reflected the sort of sustainability objectives that participatory processes are commonly used to meet. Instead, he proposed a third category focused on building consensus, which he deemed necessary to achieve sustainability objectives.

2.2.3 Comparative typologies

Among the many typologies reviewed for this thesis, the six tabulated below represent the inherent diversity, each reflecting particular groups of similar typologies. From these we can see that public participation forms commonly used by planners can range from merely informing the public, to an agency's decision to full empowerment, with forms that allow for varying degrees of public impact between these two extremes. As the potential impact upon stakeholders increases, or as active or mobilized groups with competing views emerge, public education and dialogue become more important. Stakeholder collaborative processes are a step beyond public involvement, because they involve the participants in dialogue, education, and understanding of opposing positions. Such processes provide a structure within which stakeholders may negotiate amongst themselves to develop recommendations that represent their combined interests, most often through a consensus-building process. Those recommendations may then be presented to the final decision maker, typically a governing body or planning agency. In some situations, a representative of the final decision maker participates as one of the stakeholders (e.g., in the case of

ACAP – the case study used in this thesis and discussed in detail in Chapters 3 and 4 – government representatives serve as ‘Windows’ to the community), bringing the interests of the final decision maker into the negotiation process.

Figure 1 Ladders of Citizen Participation

| Arnstein (1969) | | Rodal & Mulder (1993) | | Berkes (2006) | IAP2 (2000) | Harvey et al. (2001) | Ellsworth et al. (1997) |
|--------------------------|---------------------|---|--|------------------------------|--|---|--|
| Degrees of citizen power | Citizen control | | Devolution (transfer of responsibility) | Community control | Empower | Community control | Self-determination |
| | Delegated power | Partnerships | Collaborative partnership (shared decision making) | Joint action | Collaborate | Delegated authority | Delegated authority |
| | Partnership | | Operational partnership (participation in design & delivery) | Partnership | Involve | Collaborative management | Joint planning |
| Degrees of tokenism | Placation | Consultation | Coordination mode (joint decision making) | Cooperation | Consult | Participation in planning (meaningful consultation) | Public consultation / Information feedback |
| | Consultation | | Consensus mode (joint agreement on solutions) | Consultation / Advisory role | | | |
| | Informing (One way) | | Debate mode (some scope to influence) | Informing / Communication | | | |
| Non-participation | Therapy | Briefing mode (listening, no impact on decisions) | Inform | | Non-participation (Government decides) | Education and awareness | |
| | Manipulation | Control mode (exclusive government) | | | | | |

2.2.4 Wheels of Participation

It is misleading, however, to assume that the highest ‘rung’ of participation is always the optimum level in every situation. The hierarchical nature of the ladder metaphor implies that higher rungs should be preferred over lower rungs, and much of the literature makes this assumption explicitly (e.g., Arnstein, 1969;

Johnson et al., 2004). However, different levels of engagement are likely to be appropriate in different contexts, depending on the objectives of the work and the capacity for stakeholders to influence outcomes (Richards et al., 2004; Tippett et al., 2007) and depending on the stage of the process the organization is in at the time (Marshall & Roberts, 1997). In any one coastal zone, many different levels and types of participation may be needed to fully satisfy all those concerned (Treby & Clark, 2004). The next step towards a more refined participatory model is a realization that participation is not static or necessarily linear (Treby, 1999).

Reed (2008) argues that to be successful, this process needs to consider how to engage the relevant stakeholders at the most appropriate time and in a manner that will enable them to fairly and effectively shape environmental decisions -- it is not enough simply to provide stakeholders with the opportunity to participate in decision making though; they must actually be able to participate. When decisions are highly technical, this may involve educating participants, developing the knowledge and confidence that is necessary for them to meaningfully engage in the process. For this reason, a non-hierarchical 'wheel of participation' has been suggested as an alternative metaphor that emphasizes the legitimacy of different degrees of engagement (Davidson, 1998; Treby, 1999; Treby & Clark, 2004).

The 'wheel' models of participation (e.g., Treby, 1999; Davidson, 1998; Richards et al., 2004) are flexible in their ability to bring new options into focus at different stages in the participation process, and draws on several of the participatory categories suggested by Arnstein (1969) and many of her latter-day typologists. With a circular model of participation, Treby & Clark (2004) posit that it is possible to move around the wheel to represent these changes of participation priority at different times and places, and in accordance with the prevailing cultural and economic needs or constraints. It can thus be argued that an essential basis for determining the optimum participation option is to recognize the context of the participants with respect to the problem. Davidson (1998)

warns that a participatory mismatch between the consultee and the consultant groups is one of the primary reasons for the failure of a participatory process.

Richards et al. (2004) and Treby & Clark (2004) argued strongly that in some fields, improved understanding of the technical issues involved is a necessary prerequisite to effective participation. This suggests that there may be a need to inform at a general level at the outset, then use this enhanced awareness to undertake preliminary consultation, and then possibly provide more advanced understanding based on the consultation findings. This kind of multi-phase approach can be effectively represented within the wheel model of participation, since there will be an optimum position on the wheel for each phase and each particular group. Two such models are presented in Figures 2 and 3, and, as is the case with the various ladder models discussed (employing different terminology and positioning), provides a basis for defining a multi-stage participatory process.

2.2.5 Squaring the Circle

Each of the typologies presented and discussed offer an alternative basis for distinguishing between the numerous available methods and approaches for stakeholder participation, and provide a foundation for selecting the methods that are likely to be most appropriate to the purpose of the work in a given context.

Through stakeholder participation, stakeholders and the wider society in which they live, learn from each other through the development of new relationships, building on existing relationships and transforming adversarial relationships as individuals learn about each others' trustworthiness and learn to appreciate the legitimacy of each other's views (Forester, 1999; Pahl-Wostl and Hare, 2004). Leeuwis and Pyburn (2002) and Stringer et al., (2006) argue that social learning may be one of a number of mechanisms that can deliver more pragmatic benefits from participation, with groups of people developing more creative solutions through reflective deliberation.

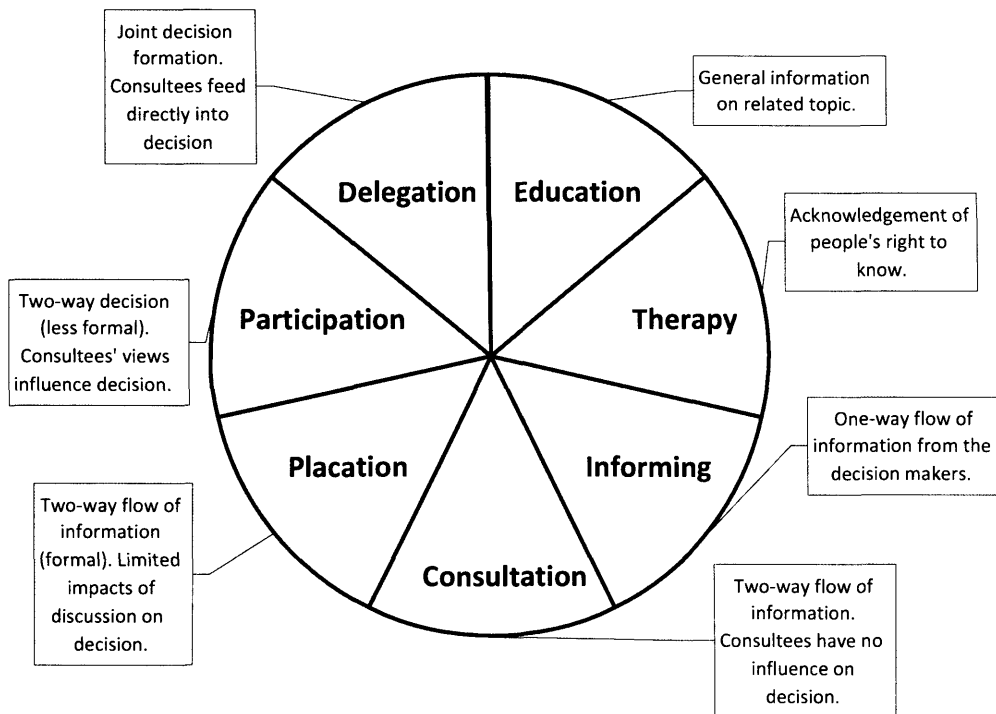


Figure 2: The Wheel of Participation (Treby, 1999)

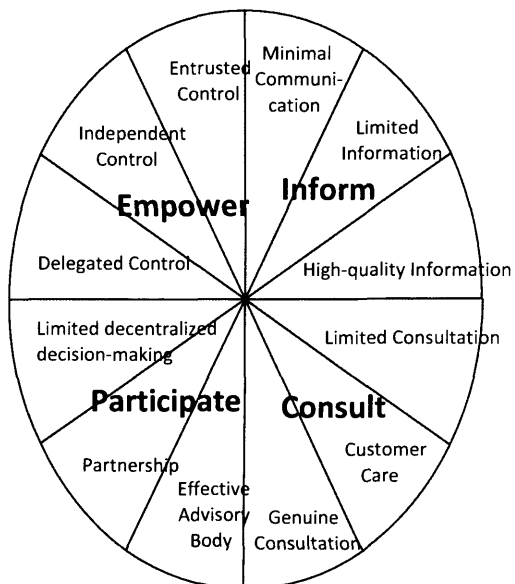


Figure 3: The Participation Wheel (Davidson, 1998)

There are, however, limits to community governance. Citizens and communities cannot simply be allowed to go 'their own way' within the partnership arrangements which comprise governance institutions; they must be linked into some form of coordination and mediation otherwise these partnerships fall apart. Thus, while they can be enrolled into programs of government, their incorporation is usually on acutely constrained terms (Murdoch & Abram, 1998). State abdication is, therefore, not an option. Government agencies and those who work within them have their own interests and concerns. They are therefore, stakeholders in their own right, and may be adamantly opposed to the idea of giving away their power (Jentoft, 2004). Hence, it is generally more appropriate to speak of *shifting* roles of government than *shrinking* roles of government as part of such changing relationships (Kooiman, 2000).

2.3 Summary

Semantic clarity and a solid understanding of the variety and appropriate forms of participation in government-community collaborative endeavours are fundamental to effective and meaningful partnerships. The next chapter applies this understanding to a specific case study and goes deeper into the meaning of and respective and shared responsibilities around a set of specific management functions which are characteristic of these collaborative partnerships.

Chapter 3 – Case Study Methodology

3.1 Introduction

This chapter describes the methodology adopted for primary data collection in this thesis's case study - an on-line survey and follow-on depth telephone interviews. The research objective is to gain insights from both government and community participants in the Atlantic Coastal Action Program (ACAP) - a long-standing community-based coastal management program in Atlantic Canada³⁸ - regarding their perceptions and preferences, over time, with respect to a set of management functions and lead roles particular to this program. The intention is to bring clarity and thereby contribute to improving the governance arrangement that guides the ACAP and to provide empirical evidence for similar government-community partnerships in ICM.

3.2 Suitability of Case Study – The Atlantic Coastal Action Program (ACAP)

The Atlantic Coastal Action Program (ACAP) is a long-standing community-based coastal management program in Atlantic Canada in which a regional office of the Canadian federal Environment Department (Environment Canada) has partnered with 16 independent watershed/estuary-based multi-stakeholder organizations to achieve environmental and sustainability results on place-based priority coastal ecosystems that neither government nor communities themselves could achieve on their own. The ACAP is described in more detail in Chapter 4, and the justification for choosing this case study for analysis is described below.

The ACAP was chosen as the case study for this research for reasons of relevance, practicality and the lessons it could offer to the international fraternity/sorority of community-based theorists and practitioners. Chapter 1

³⁸ Atlantic Canada is a term used to describe the four most eastern provinces of Canada – Nova Scotia, New Brunswick, Prince Edward Island, and Newfoundland & Labrador.

described a variety of community-based coastal management initiatives from around the world ranging from those directed and controlled by government (e.g., Honduras), those featuring central government delegation to municipalities (e.g., the Philippines), traditional resource management systems (e.g., Fiji), natural resource management partnerships (e.g., Maine lobster gangs), environmental restoration collaborations (e.g., Coastcare in Australia and South Africa), and the oft-cited fisheries co-management arrangements that are strictly limited to fisheries and involve legal power sharing (e.g., Sweden, Canada, Japan). These initiatives have been extensively reviewed and analyzed in the academic and professional literature and the functional relationships among the government and non-government actors are reasonably well understood. Much less has been written however, about the relationship and governance arrangements in place wherein government and communities 'share' planning and decision-making responsibilities, either implicitly or explicitly in a 'hybrid' governance system. Hybrid governance systems are described in Chapter 1 as coalitions of government and non-government actors and institutions who work together and share decision-making power in a combined top-down and bottom-up manner. This type of partnership is the focus of this thesis.

In terms of the relevance, practicality and lessons the ACAP case study could offer, the ACAP has been in continual operation for almost 18 years, largely with the same set of government and community actors and implemented consistently (but adaptively) according to the model originally adopted in the early 1990s. This has provided ample time for the governance relationships to evolve and be understood by the participants and the maturity of this program is rare in terms of similar initiatives and the length of time they have been in operation and development. This makes for a depth of experience that provides confidence in the analysis undertaken. The program is also managed by this investigator, which provides for informed and unique insights into the program's operation, dynamics and power relationships that would be difficult to discern from the outside. Questions around investigator bias are addressed under Section 3.10

(Ethical considerations). The investigator's role in ACAP also provided unique access to the participants for this case study and a motivated set of community and government actors that wish to better understand how the government-community relationship actually works and how it can be improved in the future. Further details on the evolution and functioning of the Atlantic Coastal Action Program are presented in Chapter 4.

3.3 The Case Study Approach

Case studies continue to be used extensively in social science research. Numerous authors (e.g., Creswell, 2003; Fink, 2003; Green et al., 1989; Maxwell, 1996, Yin, 1994) have noted that as a research strategy, the case study method is a frequent mode of thesis and dissertation research in many disciplines and fields including policy, political science and public administration research, community psychology and sociology, organizational and management studies. Overall, there is a significant trend toward appreciating the complexity of organizational phenomena, for which the case study may be the most appropriate research method (Fink, 2003). In general, case studies are the preferred strategy when "how" and "why" questions are being posed, when the investigator has little control over events, and when the focus is on a contemporary phenomenon within some real-life context. These criteria are directly applicable to this case study.

Yin (1989) describes the case study approach as a distinct form of empirical inquiry that: investigates a contemporary phenomenon within its real-life context; applies when the boundaries between phenomenon and context are not clearly evident; and in which multiple sources of evidence are used. The case study, like other research strategies, is a way of investigating an empirical topic by following a set of pre-specified procedures. As a research endeavour, the case study contributes uniquely to our knowledge of individual, organizational, social and political phenomena. In brief, the case study allows an investigation to retain the holistic and meaningful characteristics of real-life events, such as

organizational and managerial processes (Johnson and Onwuegbuzie, 2004). The case study is preferred in examining contemporary events, but when the relevant behaviours cannot be manipulated. Thus, the case study relies on many of the same techniques as history, but it adds two sources of evidence not usually included in the historian's repertoire: direct observation and systematic interviewing.

3.4 Justification for Approach Chosen

Of primary importance to the selection of appropriate case studies is the need to identify areas that are both representative of the overall study, as well as being of acknowledged importance to this research (Yin, 1989; 1994). In the case of this investigation, it was clear from the outset that very little documented procedures could be the subject of a desk study. Although several self-assessments and subjective 'lessons-learned' analyses have been undertaken on ACAP over the years (e.g., Donaldson, 1994a; Ellsworth, et al., 1997; Robinson, 1997; Hildebrand, 1997; McCleave et al., 2003; McNeil et al., 2006), none probed widely enough on the questions of governance or deeply enough on the range of specific management functions, to provide the insights required for this research. ACAP participants – from both government and the communities - were therefore identified as the main source of data concerning this program.

In order to contact most ACAP participants to gain the data required, there were two broad methodological options: a questionnaire survey and an interview schedule. Gordon (1969) considers the choice between these methods to be dependent upon the relative importance accorded to breadth and depth of analysis in a study, the resources available and the subject itself. When these criteria were applied to the data required, it was clear that using both was the appropriate method. When research goals, objectives and questions are general or exploratory in nature, a sequential design enables researchers to use the results from one phase to design and improve upon future phases. This can help to expedite and enhance knowledge generation (Creswell, 2003; Morgan, 1998).

Therefore, an on-line questionnaire followed by depth interviews was determined to be the most appropriate method to provide the data for this research.

3.5 Aims of the Survey

The aims of this data collection phase are to gain insights from government and community representatives of the Atlantic Coastal Action Program (ACAP) regarding their perceptions and preferences, over time, with regard to a set of management functions and lead roles particular to the program. The areas of investigation were identified through the review of an extensive literature (summarized in Chapter 1) and based on first-hand and long-term managerial experience by this investigator and his staff with the program.

3.6 Design Phase

The considerations for the design phase of this investigation included in-depth knowledge of the program in question and the time and resources available to undertake this work. The investigator in this case is one of the architects of the Atlantic Coastal Action Program and has been its government program manager for the past ten years. This provides intimate first-hand knowledge of the structure, dynamics and evolution of this community-based coastal management program and thus a clear sense of the factors that determine how it operates and adapts to experience and learning. The actual conduct of the on-line survey and follow-on interviews was contracted to a professional firm (Bristol Omnifacts Research³⁹) with considerable experience in the science and current approaches to these two data-gathering methodologies. Care was taken to clearly define the separation of the investigator's intellectual capital and contribution to the design of these instruments and the 'service' provided by the contracted firm. The terms of reference for the contract between the investigator and Bristol (see contract terms of reference in Appendix 1) carefully spelled out that the contractor would

³⁹ <http://www.bristolunexpected.ca/English/index/index.cfm?FldID=321>

provide all of the content and that Bristol would format the survey and interviews and administer them in close contact with the investigator. While some preliminary comments and data summaries were provided by the contractor, detailed analysis and interpretation of the data remained the responsibility of the investigator.

3.7 Population, Sample Size and Strategy

The Atlantic Coastal Action Program (ACAP) (as described in detail in Chapter 4) is limited in scope and application to the four Atlantic Provinces of eastern Canada and to 16 individual community-based organizations (CBOs). As two of these sites were only recently established⁴⁰, the sample population comprises the 14 longer-standing organizations, which in most cases have been in operation since 1992/1993⁴¹. Within the program, there are two specific categories of actors – government and community – and within these, sub-sets of actors who have varying degrees of involvement with and/or intimate knowledge of the program and in particular, to the dynamics of such a ‘shared management’ approach (i.e., those closest to the program on a day-to-day basis and those involved on a less frequent basis). The total number of individuals directly involved in ACAP is approximately 184. This number is comprised of: a total of 46 individuals within Environment Canada (all ACAP staff, all management personnel, the Windows for each of the 14 sites and all recent science project participants) and 138 from the ACAP community organizations (Executive Directors, program staff, Board of Directors’ members, project participants). In order to keep a balance between the two sets of actors, the total sample size (largely dictated by the more limited number of government actors) was set at 92 (50% of the total number of people directly involved in ACAP).

⁴⁰ The two new ACAP sites were established in 2006 in Labrador, the northern mainland territory of the Canadian province of Newfoundland & Labrador. These new ACAP sites were formally incorporated in 2007 and are presently getting organized and learning about the dynamics of ACAP.

⁴¹ The Sable Island Preservation Trust joined the ACAP in 1998, but is judged to have been involved for a sufficient period of time to provide informed and thoughtful input to the survey.

3.8 Research Methods

The strategy of investigation involved two phases: (1) an on-line survey of the broad sample of individuals from both government and ACAP community groups, and (2) follow-on semi-structured telephone interviews with a sub-set of the actors surveyed through questionnaire. All are considered to be 'knowledgeable partners' based on their two-to-ten years (or more) of involvement with ACAP. The definition of a knowledgeable partner used to guide interviewee selection was borrowed from Weiss et al. (2002) who described such an individual as "any partner who has interaction with other partners and is familiar with the work of the partnership, as well as its leadership, administration, resources, decision-making processes, and the challenges it faces." The specific interviewee selection criteria included: long-serving (but did not need to be sitting currently); deep knowledge of the process in question; solid record of active involvement; interested in the concepts being explored; and known to be honest, open, balanced and fair. All individuals selected to be surveyed and interviewed meet these criteria, based on first-hand knowledge by this investigator as the manager of the program and regular interaction with these individuals through the operation of the program.

This group of 92 individuals can be viewed as a type of purposive (Creswell, 2003) or purposeful (Maxwell, 1996) sample. This is because personal best judgement – based on the investigator's intimate involvement in the program as a designer and manager and in consultation with staff most directly involved in ACAP – was used to select the individuals that could contribute most to the study. It was also a type of convenience sample (Fink, 2003) because those who were available were surveyed. Additionally, all individual subjects can be considered "special respondents" (Gordon, 1969) because they were selected on the basis of their "unique position in the community, group, or institution being studied." They were unique because they were, in most cases, ACAP members with the longest records of involvement and who had the greatest level of insider knowledge about how their process functioned over time. This is in accordance

with Gordon's (1969) criteria that they also often had specialized information on the structural aspects of the process in question and were able to describe its formal and informal organization and power structures.

3.8.1 The On-line Survey

Due to the volume of information being sought for this first phase of investigation, it was concluded that a self-administered method of research was the best option to optimize the ability for a depth of thoughtfulness and contemplation necessary for meaningful responses. Within the self-administered method of research, there are several modes to choose from.

At one time, options for collecting primary data through market research were limited to self-completed postal (or mail) survey, door-to-door intercepts administered by interviewers using paper and pencils, and telephone interviews. The design, control, advantages and limitations of mail questionnaires have been dealt with extensively by numerous authors (e.g., Oppenheim, 1966; Goodstadt et al., 1977; Jones and Lang, 1980). In terms of self-administered surveys – which allow respondents more time to evaluate and contemplate answers before giving thoughtful, meaningful responses as opposed to top-of-mind, quick responses received in intercept and telephone surveying – mail-out surveys were once the best option. However, Feitelson (1991) and Futrell (1994) note that there are a number of well-documented practical challenges with the mail-out mode of data collection, all of which point to high costs per completed survey: low response rates, extended timeframes for data collection, high costs of print production and postal fees, and manual transcription of data from hard copy questionnaire into appropriate analysis software. There is little control of non-response rates and high probability of data entry errors using the mail-out mode of data collection. The increasing penetration of the on-line world, coupled with the development of computer-aided interviewing programs, prompted exploration and the establishment of on-line data collection in the late 1990s (Burke Interactive, 2000; Hogg, 2001a; Ilieva et al., 2002).

Two types of electronic or on-line-based surveys were developed: (1) pop-ups that appear as a user is navigating a website (web-based surveys), and (2) those that are sent directly to the intended participant which the user downloaded, completed and returned to the sender via e-mail (e-mail-based). While e-mail-based surveys allowed administrators to target specific individuals (which was necessary for this study), they did not provide an adequate level of anonymity necessary for participants to provide honest, unrestricted feedback. As a result, a hybrid of web-based and e-mail-based surveying was developed to allow researchers to control the distribution of the survey while facilitating anonymous participation. Studies by King & Miles (1995) and Stanton (1998) indicate that the respondents' candour is optimized when the respondents' anonymity is guaranteed.

Considering the advantages of on-line surveying, Hogg (2001b), Ilieva et al., (2002), and Wright (2005) all note: the speed of data collection (short response times); ability for researchers to control the sample (without directly participating in the administration); comparatively low cost to the researcher (no postage and printing costs and no involvement of interviewers) relative to mail-based surveys; access to individuals in distant locations (particularly in this case where the participants are spread over 4 provinces); the ability to reach difficult-to-contact participants (paid employees and volunteers with 'real' lives outside the program); questionnaire can be programmed so that responses can feed automatically into the data analysis software (which saves time and avoids data input errors); and more detailed and comprehensive information is typically collected electronically (versus mail).

Overall, people these days prefer to take surveys over the web. Burke Interactive (2000) found that, when given a choice between taking a survey over the internet or the telephone (another popular choice for surveying), as many as 90% of people with internet access will say that they would rather do it via the

Internet. This preference is rooted in the inherent interactivity of on-line surveys and respondents' ability to control the pace of their participation.

The potential disadvantages of electronic surveys as cited by Ilieva et al., (2002) and Wright (2005) include: the concern about confidentiality if the respondent has to reply directly to the administrator (this has been alleviated in this study by allowing participants to provide anonymous feedback via a URL link); uncertainty over the validity of the data (especially for open-ended questions), which remains true of all self-administered surveys; and concerns surrounding the design, implementation and evaluation of an on-line survey, all of which the contracted administrators of this project (Bristol Omnifacts) have tested and refined, and continue to assess and refine further as the on-line world evolves.

As has become common practice in on-line surveying, contact was initially established through personalized individual e-mails. E-mails were sent to ACAP members using an organizational contact list developed by the study project manager (this investigator). A total of 92 contacts were provided across 4 categories of members (23 members in each category). See Appendix 2 for contact list.

1. *Government Close – individuals within government who work with ACAP on a regular basis*
2. *Government Less-Involved – individuals within government who work with ACAP on a limited basis*
3. *Community Close – individuals from the community who work with ACAP on a regular basis*
4. *Community Less-Involved – individuals from the community who work with ACAP on a limited basis*

The e-mail invitation contained a unique URL link to the web-based, secure questionnaire. Having a unique link serves two important purposes: (1) to control

who and how many people can access and complete the survey, and (2) to allow survey administrators to maintain control of the survey including quota management and tailoring appropriate reminder messages.

It is widely accepted (Virtual Surveys Ltd., 2001a,b; Wright, 2005) that shorter survey lengths reduce the number of respondents who discontinue the survey before reaching the end. It is also recognized that giving respondents some guidance about the length of the survey (i.e., running percentage-complete bar on each page) will decrease survey drop-out. Because of the length of this survey (12 question categories and 90 specific questions asked over two time frames), the introduction to the survey noted the expected length for completion and provided information about the option of completing the survey in multiple sessions to decrease respondent fatigue (see Appendix 3 for the complete survey).

3.8.1.1 Pilot Survey

Prior to the full survey, a pilot survey was undertaken. A pilot survey is “a small-scale trial before the main investigation, intended to assess the adequacy of research design and the instruments to be used for data collection (Virtual Surveys Ltd., 2001a). The on-line survey schedule was conducted in October, 2007 according to a two-stage process outlined by Virtual Surveys Ltd., (2001b). First, the survey schedule was examined critically by this researcher and then the survey was practiced with a suitable test group. The pilot case study helps investigators to refine their data collection plans with respect to both the content of the data and the procedures to be followed (Ilieva et al., 2002; Wright, 2005). The rationale for pre-testing includes determining respondents’ interests, discovering whether the questions have meaning to the respondents, checking for respondent modification of questions, examining question continuity and flow and experimenting with question sequencing and patterning (i.e., rotating) (Cooper and Emory, 1995). As such, this provided important feedback on the

design, clarity, content and structure of the survey. Minor changes to the design and content of the survey, as appropriate, were then made.

The survey pre-test was sent to 8 randomly-selected members from across the 4 categories; 3 completed the task. While a limited test group, the pre-test served to evaluate comprehension and flow of the survey. Following each section, the pre-test asked participants to provide written feedback on any challenges or difficulties they encountered in responding to the preceding questions. The pilot survey prompted several minor changes to the intended methodology, including the ordering, wording and style of certain questions. This served to strengthen the survey.

3.8.1.2 The On-line Survey

According to Virtual Surveys Ltd (2001b) and Hogg (2001b), virtual surveys should run for at least one week, thus allowing potential respondents enough time to participate in the survey. It is important to note that different types of people might respond to surveys at different times of the week. For example, weekends tend to generate responses from individuals using their home computers, while weekdays are better for people using work computers. As the survey population is comprised of both those employed by government and the CBOs (Environment Canada staff and Windows, ACAP Executive Directors) who tend to work regular weekday schedules from offices, and community-based volunteers (ACAP Board members, project participants) who are more likely to access a survey from their home computers on the weekend, the survey was accessible for 9 days in total.

The fully-launched survey remained open from October 16th to October 24th 2007. One reminder was sent on October 19th to only those members who had not yet finished the survey. Reminder e-mails can be useful for generating more survey

completions and potentially reducing non-response error⁴². However, multiple reminders have the potential to annoy individuals invited to participate in the survey and some might regard them as “spam”. Participation rates were a very satisfactory 48%.

| | Sent | Completed | % Participation |
|--------------------------|-------------|------------------|------------------------|
| Government Close | 23 | 15 | 65% |
| Government Less-Involved | 23 | 5 | 22% |
| Community Close | 23 | 15 | 65% |
| Community Less-Involved | 23 | 9 | 39% |
| TOTAL | 92 | 44 | 48% |

Data collection was monitored and supervised from Bristol Omnifacts’ CAWI (Computer-Aided Web Interviewing)–equipped central data collection facilities. Online survey data was periodically reviewed during data collection for patterns of response that indicate potential issues with respondent attentiveness or understanding such as all “Don’t Know” answers to a particular series of questions. No such cases were identified. Data was checked and cleaned to ensure that all respondents answered all questions for which they qualified. There was no need to re-contact any participants to populate any missing data.

At the heart of this survey are the management functions inherent to programs of this nature (as discussed in Chapter 1) and the Atlantic Coastal Action Program in particular. Figure 4 below outlines the categories and specific management functions that were tested through the initial survey. There are 12 categories of questions in this survey. Each category has between 4 and 15 specific questions to answer, for a total of 90 questions. A definition of each category is provided at the beginning of each section. These 12 categories of questions and the specific management functions within each were identified through experiential

⁴² Non-response error occurs when the opinions of those initially responding to a questionnaire differ from the opinions of those who do not respond.

knowledge of the program by this investigator and informal discussions with both the government and community actors in ACAP during several of the program's annual workshops. While no formal record of these discussions can be cited, there is consensus (confirmed subsequently through the administration of the survey) that the listing is both comprehensive (if not exhaustive) and reflective of the scope and depth of the management dimensions of this program.

Figure 4 Management Functions in ACAP

| Management Functions in ACAP | |
|---|--|
| <p>1. Strategic Planning: <i>is an organization's process of defining its long-term goals and intended future outcomes and then identifying the best approach for achieving them. It is a road map to lead an organization from where it is now to where it would like to be in five, ten or twenty years.</i></p> | |
| <ul style="list-style-type: none"> • Vision setting for individual ACAP organizations | <ul style="list-style-type: none"> • Management plan development |
| <ul style="list-style-type: none"> • Issue identification for the community | <ul style="list-style-type: none"> • New ACAP site selection |
| <ul style="list-style-type: none"> • Priority setting for individual ACAP organizations | <ul style="list-style-type: none"> • Determining the ACAP Program's future |
| <ul style="list-style-type: none"> • Determining desired outcomes/results for individual ACAP geographic area of focus | <ul style="list-style-type: none"> • Program monitoring, review, evaluation and reporting for the <u>ACAP program overall</u> |
| <ul style="list-style-type: none"> • Project selection (annual & multi-year) | <ul style="list-style-type: none"> • Program monitoring, review, evaluation and reporting for <u>individual ACAP organizations</u> |
| <p>2. Financial Management: <i>encompasses the two core processes of resource management and finance operations.</i></p> | |
| <ul style="list-style-type: none"> • Securing core financial operational support for the <u>ACAP program overall</u> | <ul style="list-style-type: none"> • Allocating funds (from all sources) to priorities |
| <ul style="list-style-type: none"> • Securing core financial operational support for <u>individual ACAP organizations</u> | <ul style="list-style-type: none"> • Financial accountability (tracking, reporting, auditing and evaluation, return on investment) for the <u>ACAP program overall</u> |
| <ul style="list-style-type: none"> • Securing infrastructure support (office, phones, computers, etc.) | <ul style="list-style-type: none"> • Financial accountability (tracking, reporting, auditing and evaluation, return on investment) for <u>individual ACAP organizations</u> |
| <ul style="list-style-type: none"> • Securing project funding and preparing project applications (other sources of funds) | |
| <p>3. Organizational Management: <i>is concerned with the structure and functioning of an organization.</i></p> | |
| <ul style="list-style-type: none"> • Establishing group structure and process | <ul style="list-style-type: none"> • Planning for sustainability of ACAP |

| | |
|--|--|
| for individual ACAP organizations | program |
| • Develop by-laws and terms of reference for each ACAP organization | • Building trust among stakeholders |
| • Establishing values and ethics for the <u>ACAP program overall</u> | • Project management for each ACAP organization |
| • Establishing values and ethics for <u>individual ACAP organizations</u> | • Strengthening community capacity to engage in local governance |
| • Planning for individual ACAP site sustainability | |
| <p>4. Human Resources Management: <i>is the function within an organization that deals with issues related to people such as hiring, compensation, performance management, organizational development, safety, wellness, benefits, employee motivation, communication, administration and training.</i></p> | |
| • Volunteer recruitment and recognition in each ACAP organization | • ACAP 'Windows' management and care for the <u>program overall</u> |
| • Hiring and firing in each ACAP organization | • ACAP 'Windows' management and care for the <u>individual ACAP organization</u> |
| • Compensation benefits negotiation in each ACAP organization | • Individual ACAP organization's Board of Directors' management and care |
| • Training and skills development in each ACAP organization | • Conflict avoidance and resolution in each ACAP organization |
| • Meeting OSH (Occupational Safety & Health) requirements in each ACAP organization | • Career development (e.g., youth) in each ACAP organization |
| • Mentoring of staff within each ACAP organization | • Performance appraisal in each ACAP organization |
| • Mentoring other similar groups (e.g. other watershed-based groups) | • Exit strategies for staff in each ACAP organization |
| • Orientation for new staff and volunteers in each ACAP organization | |
| <p>5. Partnership Management: <i>is an organization's process of creating and maintaining a cooperative relationship between people or groups who agree to share responsibility for achieving specific goals.</i></p> | |
| • Securing, building and maintaining partnerships at the <u>individual ACAP organization level</u> | • Building and maintaining trust among stakeholders |
| • Securing, building and maintaining partnerships at the <u>provincial level</u> | • Plan and convene <u>individual ACAP Annual General meetings</u> |
| • Securing, building and maintaining partnerships at the <u>Atlantic region level</u> | • Plan and convene <u>Atlantic Annual General meetings</u> |
| <p>6. Knowledge Management and Generation: <i>is the process of enabling individuals, teams and entire organizations to collectively and systematically create, share and apply knowledge, to better achieve their objectives.</i></p> | |
| • Setting science priorities at local ACAP level | • Data and information management |
| • Setting science priorities within government | • Evaluation of results (peer review of projects) |
| • Designing scientific studies at the local | • Communicating results to the public |

| | |
|--|--|
| ACAP scale | |
| • Conducting the science | • Communicating results to the scientific community |
| • Monitoring and data collection | • Science-management integration |
| <p>7. Networking: <i>is the process through which information is shared, collaborative activities are formed and participants feel a part of a greater whole.</i></p> | |
| • Sharing experiences and approaches with <u>local ACAP stakeholders</u> | • Linking beyond individual sites for regional collaborative efforts |
| • Sharing experiences and approaches with <u>similar groups</u> in the Atlantic region | • Hosting workshops and conferences |
| • Sharing experiences and approaches with those in <u>government</u> | • Convening the 'ACAP family' for networking and sharing experiences |
| • Convening partners (current and potential) | |
| <p>8. Media Relations and Engagement: <i>involves working directly with persons responsible for the editorial (news and features), public service and sponsored programming products of mass media. It refers to the relationship that an organization develops with journalists.</i></p> | |
| • Determining messages, tone and target audiences | • Advocating change through media |
| • Approving and issuing press releases | • Organizing media events |
| • Serve as spokespersons for community | |
| <p>9. Community-Stakeholder Relations and Civic Engagement: <i>are individual and collective actions designed to identify and address issues of public concern. Civic engagement means working to make a difference in the civic life of our communities and developing the combination of knowledge, skills, values and motivation to make that difference. It means promoting the quality of life in a community, through both political and non-political processes.</i></p> | |
| • Representing the community's goals and objectives | • Engaging the public in getting involved |
| • Education / outreach on broad environmental issues | • Reporting to the public on activities and accomplishments of the ACAP organization |
| • Education / outreach on local issues and priorities | |
| <p>10. Political Relations: <i>describe the relationship between the community organizations and the elected officials of the governments of Canada. They are developed and nurtured to communicate priorities and influence policy direction.</i></p> | |
| • Advocating for locally-identified priorities and needs | • Influencing government policy at the <u>provincial</u> level |
| • Securing political support for identified priorities | • Influencing government policy at the <u>federal</u> level |
| • Influencing government policy at the <u>municipal</u> level | |
| <p>11. Government (bureaucratic) Relations: <i>describe how community organizations work with and influence the bureaucratic levels of government and their coordination functions.</i></p> | |
| • Inter-departmental (federal) coordination | • Promotion of ACAP model throughout Canada |

| | |
|--|--|
| • Inter-governmental (federal-provincial-municipal) coordination | • Influencing the direction of Integrated Coastal Management in Canada |
| • Ensuring program integrity and sustainability at the <u>local ACAP level</u> | • Promotion of ACAP model internationally |
| • Ensuring program integrity and sustainability for the <u>ACAP program overall</u> | |
| <p>12. Regulatory Compliance / Enforcement: <i>is either a state of being in accordance with established guidelines, specifications or legislation or the process of becoming so.</i></p> | |
| • Encouraging compliance at the local ACAP level | • Providing incentives for compliance at the local level |
| • Enforcement of laws and regulations at the local ACAP level | • Rewarding compliance at the local level |

For each management function to be tested, the survey participants were asked to express two opinions for each management function:

The first criterion was their perception of where, for each management function, they felt the lead responsibility vests in one of the following categories:

- (i) Exclusive government lead/responsibility
- (ii) Government lead with community support
- (iii) Community lead with government support
- (iv) Exclusive community lead/responsibility

The second selection criterion was their perception of where they feel the lead does and should vest over time:

- (i) At the present time (2007)
- (i) In the future (5-10 years hence)

The sample population was also broken down into two broad categories – government and community – and further refined by the degree of ‘closeness’ of the respondent to the program (i.e., core staff, close associates or Board members, project participants).

3.8.2 Choosing Depth Interviews

While closed-ended, self-completed surveys (such as the on-line survey completed in Phase one of the study) are very effective at identifying consistencies and commonality in responses, they are not as effective in providing a depth of information. As Gubrium and Holstein (2001) state, each type has its distinct style, methods, advantages, and limitations. Each uses and builds on our commonsense knowledge about talking to others. Each type of interviewing uses our common cultural wisdom about people, places, manner, and contexts.

In describing the guidelines for choosing from the various qualitative research techniques, Gubrium and Holstein (2001) and Kumar (2005) note that if one is interested in questions of greater depth, where the knowledge sought is often taken for granted and is not readily articulated by most members, where the research question involves highly conflicted emotions, where different individuals or groups involved in the same line of activity have complicated, multiple perspectives on some phenomenon, then in-depth interviewing is likely the best approach.

Depth interviews (also called In-Depth Interviews) involve an interviewer and an informant (or participant) discussing a particular subject matter area or topic with greater detail than is possible in a traditional survey or even focus groups. Because of the intimate one-on-one nature of depth interviews, there is greater opportunity to establish mutual trust which inevitably leads to greater disclosure. The information shared usually concerns very personal matters, such as an individual's self, lived experience, values and decisions, occupational ideology, cultural knowledge or perspective (Gubrium & Holstein, 2001). Or as Kothari (2005) finds, they are designed to discover underlying motives and desires. The semi-structured personal interview format was chosen for the depth interviews as it balances the rigidity of the structured interview which involves the use of a set of predetermined questions and of highly standardized techniques for recording

and follows a rigid procedure laid down, asking questions in a form and order prescribed with the adaptability of the unstructured interview which is characterized by a flexibility of approach to questioning... (and does) not follow a system of pre-determined questions (Kothari, 2005)

Gubrium and Holstein (2001) cite the following generic advantages of the interview method: the depth of data available through interviews is generally greater than other methods; interviews provide the opportunity to gauge the strength of feeling amongst respondents; interviews allow answers to be substantiated through recourse to examples or documents; and interviews are likely to deliver a higher response rate than a postal or on-line questionnaire survey as respondents are less likely to be discouraged by a lengthy questionnaire. Kumar (2005) adds additional advantages as being: more appropriate for complex situations (opportunities to prepare respondent before asking sensitive questions or to explain complex ones); useful for collecting in-depth information (can use probing to understand responses better); information can be supplemented; questions can be explained (less likely it will be misunderstood; can repeat, or rephrase); and has wide application (can be used with almost any type of population).

However, Kumar (2005) and others also note that certain elements of the interview methodology have the potential to detrimentally influence the quality of the data collected. The limitations of the interview method (and how this study addressed them) can be summarized as: the interviewer may affect the data collected in a variety of ways, including the perception of the interviewer held by the interviewee (in terms of social and physical characteristics) (note: in this case, not having the program manager, who is also the investigator conduct the interviews overcame this potential challenge); the power relations between the interviewer and interviewee (note: this factor was removed by employing a neutral, professional consultant); and the act of recording the interview (note: professional contractor again); the interviewee may feel constrained by their

knowledge that they are the subject of research (note: this study was discussed on several occasions with the ACAP population and their expectations of the overall objectives and their role were confirmed); interviewing requires specific skills, particularly to set the interviewee at ease and develop a rapport between interviewer and interviewee (note: Bristol Omnifacts Research has noted credentials in this regard); and the degree to which the interviewee feels comfortable may affect their willingness to divulge information (note: sixteen years of direct interaction with this group has clearly demonstrated that they are not shy about expressing their opinions). Further, the noted importance and benefits of this research to the future of the program in question inspired an open and thoughtful expression of views.

Kumar (2005) notes additional disadvantages of the interview methodology as: time-consuming and expensive (note: contracting this work saved considerable time that was not available to the researcher and the expense was accepted by the sponsoring department as a wise investment in the future of the program); quality of data depends upon the quality of interaction and interviewer (note: all interviews were conducted by a professional research consultant); quality of data may vary when many interviewers are used (note: all interviews in this study were conducted by the same individual); researcher/interviewer may introduce a bias (note: consultant was an objective, professionally-trained research professional with no stake in this research or the governance of ACAP).

Because the primary way a researcher can investigate an organization, institution or process is through the experience of the individual people who make up the organization or carry out the process (Seidman, 1998), interviews were deemed to be an appropriate method of collecting data in this regard. Although the self-administered on-line survey was concerned with the same topic, it was thought that the data it would generate would not provide the rich descriptions of experience, and overall level of detail, that were desired and which is possible through interviews.

3.8.2.1 The Depth Interview Schedule

An interview guide or protocol (Creswell, 2003) (Appendix 4) ensured that all interviewees were asked similar questions on common themes. The interview schedule was designed to build upon or extend insights that emerged from the preceding on-line survey. Questions remained flexible and open-ended to allow adaptation and probing during each unique interview. Due to geographic restraints, the investigator opted to have these interviews conducted via telephone. Attention was given to ensuring that the interview population was drawn from across the four categories of respondents (i.e., individuals within government who work with the ACAP on a regular basis ["government close"], individuals within government who work with ACAP on a limited basis ["government less close"], individuals from the community who work with ACAP on a regular basis ["community close"], and individuals from the community who work with ACAP on a limited basis ["community less involved"]). Participation rates in each category ranged from 50%-100% with a total interview population of 16.

As a result of the findings of the on-line survey in Phase One, fifteen (15) management functions were chosen to be explored in greater depth during the one-on-one telephone interviews. These questions were selected based on a detailed analysis of the responses to the phase one survey and those questions that elicited intriguing, but still ambivalent responses were flagged for follow up in interviews and then refined to elicit more in depth responses. For example, where the survey results showed a split between the preferred responsibility being either "exclusively government lead/responsibility" or "government lead, with community support", participants might be asked whether or not government had a role to play in the function and, if so, what that role might entail. Participants were read the function and provided with a small amount of context from the results of the on-line survey to guide their response. Responses ranged

from philosophical to very tactical and specific and are reflected in detail in Chapter 4.

Contact was initialized through personalized individual emails. E-mails were sent to a select subset of ACAP members using an organizational contact list provided by the study project manager. Twenty-four members across 4 categories of members were initially contacted (12 members in each “government” and “community” category). One member contacted felt their level of knowledge of the program was insufficient to provide meaningful response and declined participation. As a result, another contact was added to the list, bringing the total to 25 members being invited to participate. Interviews were scheduled at the mutual convenience of the ACAP member and the interviewer. Members were asked to set aside 45 to 60 minutes for the conversation. Actual conversations lasted from 45 to 80 minutes in length. A pre-test was conducted with 4 participants. Minor adjustments were made to the discussion guide following the pre-test, including some wording in the probing notes, adding clarification for several questions, and integrating questions on the strengths and weaknesses of the program into other areas of the discussion. Interviews were conducted between December 19, 2007 and January 11, 2008⁴³ and resulted in participation from approximately two-thirds of the members contacted (64%), a very satisfactory result. The following table outlines the participation rate for each category of member:

| | Sent | Completed | % Participation |
|--------------------------|-------------|------------------|------------------------|
| Government Close | 11 | 7 | 64% |
| Government Less-involved | 2 | 1 | 50% |
| Community Close | 10 | 6 | 60% |
| Community Less-involved | 2 | 2 | 100% |
| Total | 25 | 16 | 64% |

⁴³ This was a time period that the interview subjects agreed in advance (through consultation) would be most appropriate, as the Christmas holiday period is a slower time for them in terms of project activity and other administrative responsibilities.

During the interviews, probes were used where there was a need to elicit additional clarification or elaboration on a particular issue, before moving on to the next. A variety of probes were used such as silent probes (i.e., a neutral probe which encourages the person to continue), encouragement (i.e., a verbal remark that indicates that the interviewer wishes the person to continue), and elaboration (i.e., a request for the person to tell more about the same topic, or about a topic discussed earlier in the interview) (as per Gordon, 1969). Adjustments were periodically made to the interview guide to accommodate the unique character and flow of each interview.

3.9 Analysis

Because the sample sizes of both phases of the study are small, the results are largely qualitative in nature, thus permitting primarily subjective comparisons between sub-sets of the respondents. The detailed results are reported and discussed in Chapter 4.

3.10 Ethical Considerations

Perhaps the main ethical concern in this investigation is the fact that the principal investigator is also the government manager of the ACAP program. Further, the exploration of an improved governance arrangement for this government-community collaboration will have direct bearing on the future of this program and the sustainability of the ACAP community organizations. The use of a contracted professional research firm to structure and administer the on-line survey and telephone interviews was a function of available time and resources and was employed to remove any biases that the dual role of investigator and program manager might introduce. The time available to conduct the interviews was severely limited by the investigator's full-time employment as a government manager and frequent trainer in ICM internationally, and the required financial resources were budgeted for, given the importance of this investigation to Environment Canada and the research and practitioner community.

3.11 Summary

Overall, the participation rate in the two components of this case study research – the initial on-line survey and the follow-on telephone interviews – produced very good results: 48% for the survey and 64% for the interviews.

The depth of knowledge and insight gained is substantial. Although this program had operated for over 16 years at the time of the survey and interviews (in 2007), with many of the same participants, the explicit articulation about 'how this program works' from a governance perspective and concerning respective and shared responsibilities for a suite of management functions had not occurred. Thus, the data and insights gained through this two-phased investigation will prove extremely valuable for the Atlantic Coastal Action Program specifically and to the wider community of those designing, practicing and evaluating community-based coastal management in other settings around the world.

A 'bonus' benefit of conducting this research is that the participants, by being aware of the research objectives and having the opportunity to reflect upon and offer their perspectives on the various questions about 'their' program, gained renewed excitement for the program at a time when its future is increasingly uncertain due to shifts in the government agency sponsoring the program.

Chapter 4 provides a more detailed description of the Atlantic Coastal Action Program case study, including its origins, evolution, objectives and activities. The relationship between the government sponsor of the program (Environment Canada) and the ACAP community-based organizations is also described. This is followed by a detailed analysis of the results from both the initial on-line survey and the follow on interview schedule. Each of the 12 categories of management functions tested for in the survey are analyzed and discussed in turn, followed by the same approach for the interview results. Broad observations and detailed analyses are summarized and conclusions drawn from the combined data.

Chapter 4 – Case Study – The Atlantic Coastal Action Program, Canada

4.1 Introduction

Chapter 3 provided an introduction to and overview of the Atlantic Coastal Action Program (ACAP), the case study in this thesis. This chapter provides more details on the program's origins, objectives, evolution, structure and the nature of its government-community relations. The results of the initial on-line survey and follow-on interview schedule with the key actors in ACAP are then presented and discussed in some detail. The patterns of responses from the sample population are then presented and conclusions drawn, both for the future of this community-based program and for similar initiatives worldwide.

4.2 Description of the Atlantic Coastal Action Program

The Atlantic Coastal Action Program (ACAP) is a community-based program initiated by Environment Canada in 1992 to empower Atlantic Canadians to restore and sustain watersheds and adjacent coastal areas (Barchard et al., 1993). At the time of writing, the 'ACAP Family' is a network of 16 place-based, community-driven watershed/estuary-based ecosystem initiatives located throughout the four Canadian Atlantic provinces of Nova Scotia, New Brunswick, Prince Edward Island, and Newfoundland & Labrador (Fig. 5). Each one of these non-profit organizations operates independently, but is formally linked under the umbrella of ACAP. With over 18 years of experience in ACAP, there are a number of important insights and lessons learned that derive from day-to-day operation and objective analysis.

Since its beginning in 1992, ACAP has been both a *program* and a *process*, or new way of doing business (Donaldson, 1994a,b). ACAP 'the program' is one of six large ecosystem initiatives across Canada funded through Environment

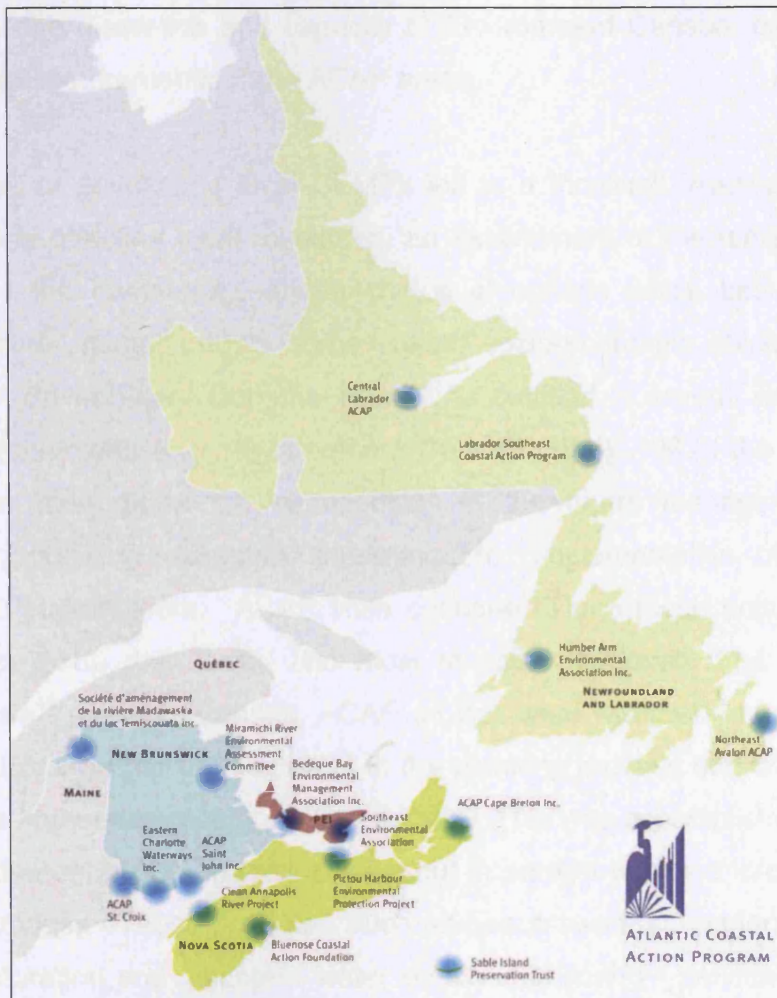
Canada to conserve and protect priority ecosystems⁴⁴. McCleave et al., (2003) and Robinson (1997) describe ACAP 'the process' as a new way of doing business for government and communities alike. The model is characterized as open and transparent, highly consultative, based on sharing (of resources, information, skills) and shared decision making, largely by consensus, and held together by a close and trusting relationship among the department, the community-based organizations participating in the program and the many partners that comprise the communities of interest and of place (McNeil et al., 2006).

'Community' in the context of ACAP does not refer solely to traditional geographical or political conceptions. Community in this instance refers to what Ellsworth et al., (1997) characterize as the degree of 'common interest and unity' amongst social, economic and environmental stakeholders. The institutional actors in the local ACAP organizations include: municipalities, businesses and industries, universities and colleges, federal and provincial government agencies, non-government organizations, First Nations and environmental groups. Citizens at large also participate and thousands of volunteers and youth are engaged on local priorities (McCleave et al., 2003).

Perhaps the most important ingredient in keeping the ACAP organizations functioning is a capable and respected community coordinator (or Executive Director) who, significantly, is hired not by government, but by the local organizations (Robinson, 1997). The coordinators and several project and administrative staff are the only paid individuals in the ACAP process at the community level; all other participants are volunteers. Each ACAP organization is managed by a multi-stakeholder Board of Directors, all of whom participate as volunteers (Ellsworth et al., 1997).

⁴⁴ Environment Canada's other large ecosystem initiatives include: The St. Lawrence River Action Plan, the Great Lakes Action Plan, the Western Boreal Ecosystem Initiative, the Georgia Basin Action Plan and the Northern Ecosystem Initiative <http://www.ec.gc.ca/ecosyst/backgrounder.html>

Figure 5 – Map of ACAP Site Locations



ACAP has existed through three multi-year phases (ACAP-1 – 1992-1997; ACAP-2 – 1998-2002; and ACAP-3 – 2003-2008). The fiscal year 2009-2010 is a transition year during which the future of the program is being assessed and determined. In the first phase of ACAP, the program focused on Environment Canada providing core funding, helping the communities to build their capacity for local leadership, developing Comprehensive Environmental Management Plans (CEMPs), and undertaking projects in the areas of knowledge generation, capacity building and action. Each ACAP organization received an initial allocation of \$50,000 CDN per annum for five years, primarily for the hiring of a coordinator to be appointed by each local organization and setting up an office.

Subsequently, additional funding (currently at ~ \$80K CDN/year) has been allocated at the discretion and capacity of Environment Canada, depending on the individual requirements of the ACAP areas.

The process of developing local CEMPs led to a thorough investigation of the critical issues affecting local resources, an assessment of the remedial options available to the community, and a choice of options which best served the primary environmental and in some cases, socio-economic objectives of the community (Environment Canada, 1997). As outlined in several early program guidance documents (e.g., Environment Canada, 1992, 1993), the CEMPs are intended to help guide the communities in the future management of the ecosystem, outlining expected timeframes for implementation of plans and responsible stakeholders. ACAP sites continue to use these documents as a roadmap to guide their work, and most re-visit and update their plans on a regular basis⁴⁵. In some cases, ACAP groups were resistant to spend such a long period of time (up to five years) in the planning process and wanted to see some more immediate results for their efforts. This was accomplished through a variety of demonstration projects carried out in parallel with and informed by the planning process. These projects - such as beach sweeps, riparian and coastal habitat restoration and volunteer water quality monitoring - provided an 'action' component to this initial phase of ACAP which made the groups more visible and relevant in their communities (McCleave et al., 2003).

In Phases 2 and 3 of the program, the emphasis shifted from the gathering of baseline data and the development of the CEMP, into implementation through projects with specific deliverables, growing the program to include new sites⁴⁶

⁴⁵ Melanie Corkum, A/ACAP Coordinator, pers. Comm., 2008.

⁴⁶ Two new sites were established in Labrador in 2006/07. The selection of the location for the new sites and agreement to have the total budget stretched (and thus having individual sites' total annual financial support reduced) to include two new partner organizations, was made through a consensus among the ACAP program managers and the existing ACAP organizations.

and larger ecosystem initiatives⁴⁷, and broadening the focus on sustainable communities. The annual funds provided by Environment Canada were used for the delivery of projects in the areas of knowledge generation, capacity building, direct action and the advancement of science. Ellsworth et al., (1997) explain that the rationale for providing this type of funding was that it would help to prepare communities to make informed decisions by increasing their knowledge and capacity to tackle complex issues related to the environment. It also includes the formation of a variety of partnerships between communities, governments, non-government organizations, academia and industry required to develop and implement common solutions. McNeil et al., (2006) report that these partnerships and capacity-building efforts consistently demonstrate the value of a community-based approach and produce results on an ecosystem basis.

Evaluations of the program (e.g., Environment Canada, 1997) reveal that the ACAP organizations have become experts, by necessity, at obtaining both cash and in-kind (or volunteer) contributions from local partners, industry and other government departments. On average, they are able to leverage from four to six times the money invested by Environment Canada (Environment Canada, 1997). The money is invested in local communities and benefits those same communities. The dedication of volunteers among the ACAP communities is a major reason for achieving this result. Projects that would not have been possible in the past have become a reality through volunteerism and in-kind contributions associated with the community-based approach (McNeil et al., 2006).

⁴⁷ As the program has evolved, and expectations from the government sponsor grew to apply the model on larger ecosystem scales, Environment Canada support has been provided to two 'sub-regional-scale' ecosystem initiatives (i.e., the Bay of Fundy Ecosystem Partnership <http://www.bofep.org/> and the Southern Gulf of St. Lawrence Coalition on Sustainability <http://www.coalition-sgsl.ca/index.php>), in which the ACAP organizations in those ecosystems participate with many others and the objectives of multi-stakeholder environmental management are applied.

4.3 Origins and Motivation for Program Establishment

ACAP was established in response to both an increasing concern by the public about the environmental quality and sustainability of the Atlantic coastal zone and their growing demand to be more actively and meaningfully involved in the decisions that affect their future⁴⁸. This is consistent with the motivation in most other community-based programs around the world, as discussed in Chapter 1. Before the establishment of ACAP in 1992, the most commonly held viewpoint within government was that problems, information needs and optimal solutions were 'known' by government experts and the challenge was to convince others of what they already knew (Donaldson, 1994a). Communities, for their part, sometimes looked to government for answers to their local questions, and yet were often disappointed when the response did not appear to fit their circumstances. ACAP changed this mental model that both government and communities had of each other (Robinson, 1997). Through ACAP, local citizens, Environment Canada staff, and other government and non-government stakeholders came together as peers to discuss concerns, exchange ideas, and negotiate their own interests. Realistic solutions have been developed and implemented that meet communities' environmental concerns, as well as their economic and social goals (McCleave et al., 2003). Many of the solutions go well beyond the immediate scope of any single department or level of government, thus requiring an integrated approach. Donaldson (1994b) describes ACAP as an innovative attempt to overcome the litany of sectorally-oriented and government-controlled planning and management initiatives traditionally practiced in Atlantic Canada and elsewhere.

Credit for the inspiration for ACAP can be shared jointly and equally by both government and communities. Government was increasingly recognizing that it could not achieve broad and ambitious societal objectives on its own (Environment Canada, 1992). At the same time, communities were expressing a

⁴⁸ Atlantic Coastal Action Program <http://atlantic-web1.ns.ec.gc.ca/community/acap/default.asp?lang=En&n=085FF7FC-1>

strong willingness, indeed demand, to be more directly involved in the planning and decision-making processes that affect their lives and to being in much stronger control of their own destinies (Environment Canada, 1993). Thus, ACAP was established to build the capacity of community-based ecosystem partnerships throughout Atlantic Canada so that they could assume the lead in determining their own long-term goals and environmental priorities, build multi-sectoral partnerships in their communities, and undertake direct action to address local issues that constrain the sustainability of their watersheds and adjacent coastal areas (Barchard et al., 1993).

Most of the coastal communities involved in ACAP were identified at the outset of the program as 'hot spots' or areas of concern (Environment Canada, 1992). The character of these communities is varied, ranging from urban settings with heavy pollution of harbours (e.g., St. John's, NL and Saint John, NB), to areas with traditional industries associated with pollution (e.g., Sydney, NS, Pictou, NS, Humber Arm, NL), to areas with runoff from heavily fertilized and chemically treated farmland (e.g., Annapolis River, NS; Bedeque Bay, PEI, Cardigan Bay, PEI). The diversity of character is reflected in the priority issues of concern of each ACAP group. McNeil et al. (2006) report that in most cases, Environment Canada and the ACAP organizations share the same goals and vision for the environment.

For these ACAP groups to operate within the community-based model, they needed to work with local businesses and industries to solve pollution problems, rather than rail against them. As Donaldson (1994b) states, in many ways, this is a departure for environmental groups, who most often work at odds with industry in an 'us-versus-them' adversarial approach. ACAP takes a different tack by bringing industry to the table and attempting to reach consensus on how to address issues together. Many ACAP groups in fact, have representatives from

local industries⁴⁹ sitting on their Board of Directors and in some cases, serving in leadership positions. These members represent many sectors including farming, fishing, aquaculture, pulp and paper processing, manufacturing and more.

4.4 Program Objectives

ACAP was founded on two basic premises (Environment Canada, 1992, 1993). The first is that complex coastal issues cannot be resolved without a holistic, inclusive, participatory, ecosystem-based approach that can influence the behaviours that impact negatively on environmental quality and community sustainability. Second, that most solutions to environmental and natural resource management issues will not be effective unless the range of participants in coastal governance is expanded to include all those with a stake in the decisions that are taken concerning coastal resources and uses and that stakeholders are provided with the capacity and the opportunity to take ownership of issues and responsibility for their solution. The program is founded on a strong vision, ambitious mission and an innovative approach, as described below.

The Vision⁵⁰

ACAP envisions Atlantic Canada as a prosperous, diversified region of healthy, vibrant, sustainable, coastal communities that will retain their livelihoods for generations to come.

The Mission

ACAP helps communities to define common objectives for environmentally appropriate use of their resources and to develop plans and strategies that will help achieve them.

The Approach

In the past, the development of government-formulated coastal zone management plans have met with limited success since these plans were not community driven. The ACAP process represents a great step forward in the involvement of community interests. Indeed, the **fundamental basis for ACAP is the recognition that local communities are the best and most effective proponents for effective action leading to sustainable development.**

⁴⁹ 'Local' industries involved in ACAP and represented on various Boards of Directors include small business owners, medium-sized enterprises, and large international corporations located in the communities (e.g., J.D. Irving Ltd., Neenah Paper Inc., and Weyerhaeuser).

⁵⁰ Accessed at: <http://atlantic-web1.ns.ec.gc.ca/community/acap/default.asp?lang=En&n=17F60AA9-1>

ACAP is noted (McNeil et al., 2006; Robinson, 1997; McCleave et al., 2003) for shared priority setting and program delivery, with strong emphasis on knowledge generation about local ecosystems, including science, capacity building among the partners and actions that both prevent and remediate environmental problems.

4.5 Relationship between Government and the Community-based Organizations

Power sharing between Environment Canada and the incorporated ACAP groups is informal and evolutionary in nature. In ACAP, the traditional role of government is shared with the local organizations that are established in each coastal ecosystem. Instead of government departments being the lead actors that set policy and priorities, the community organizations are empowered to assume this function at the local scale and the government agencies become partners in responding to their identified needs (Environment Canada, 1993). Clearly then, ACAP is not strictly a government program. Neither is it a strictly community program. Together, government and communities have developed shared goals, the ACAP organizations have assumed a strong leadership role in their communities, and undertake the necessary activities on the ground. This is consistent with the definitions of a hybrid governance approach, as described in Chapters 1 and 2.

Environment Canada is the federal government sponsor of the program and a partner in each of the ACAP initiatives. Like other partners, the federal government participates in direction setting, issues identification and the selection of appropriate responses to issues and priorities on a par with other participants. Government (at least EC) is 'a part of' as opposed to 'apart from' the community (Ellsworth et al., 1997). Interestingly, by participating in this strategic manner, the federal government is in effect achieving departmental objectives and desired results, such as improvements in air and water quality, characterization and remediation of toxic contaminants, habitat protection and

restoration, weather and environmental prediction, and understanding and preparing for the predicted impacts of climate change. Like other partners, Environment Canada participates in those projects that are consistent with its mandate and objectives (McNeil et al., 2006). Environment Canada and ACAP partners sign annual Contribution Agreements, through which the department commits to project funding, provision of technical, scientific, networking and program support from within the department but importantly, does not dictate priorities or specific projects. In return for this sharing of power, the community partners contribute resources, volunteer efforts and action projects, and produce results that contribute to a great many departmental objectives (McCleave et al., 2003).

When ACAP was conceived and designed (late 1980s and early 1990s respectively), the community-based model offered a very different approach to environmental management in Canada. The traditional, top-down form of governance, where programs are developed by various levels of government and organized along sectoral lines with minimal citizen input to the design and delivery, had not been fully effective in addressing complex and inter-connected ecological, social and economic issues in the Atlantic region (Environment Canada, 1993). The community-based approach provided a new framework of governance which allowed the public to have more meaningful involvement in decision making. It would involve all sectors (governments, industry, communities, academics, citizens) working together towards a common vision of sustainability (Donaldson, 1994a). This approach would address issues in a holistic manner, involving interested stakeholders from the very beginning of the process to identify priority issues and agree on common solutions. This required a change from a corporate culture of hierarchical, linear program delivery, to one of horizontal, or team delivery; shifting from the command-and-control model to one of enabler and facilitator, and re-directing existing programs and resources to support community-identified priorities (Ellsworth, et al., 1997). In other words, the government had to give up much of its control.

A formal link to each ACAP site is maintained through the presence of an EC 'Window'⁵¹. Barchard et al., (1993) note that the Windows provide a link between the groups and EC staff and management, as well as with other government departments. Most of the Windows have had a long relationship with their ACAP sites which has led to a firm level of understanding and cooperative working relationships. McNeil et al., (2006) reported that many of the staff serving as Windows have been recognized by the ACAP communities as being truly committed to the community-based concept. The Windows themselves, by the same token, claim that being connected to a community group helps them to 'ground' their work and maintain a connection with the communities that they serve. Many report that "being an ACAP Window is the most interesting and rewarding parts of their careers."

Although the program has now operated and evolved over 18 years or so, and the government-community relationship has worked well, the governance structure under which the partners operate has never been clearly articulated. Regular discussions and debates at the annual ACAP Conferences⁵² have demonstrated that the government and community actors may have different views on the nature of the relationship, respective responsibilities and the ways it has developed and must continue to evolve. The partners agreed that it was time to bring clarity to this, both for the government and community actors involved and for those observing the process, either watching or waiting to get in, or considering its accomplishments and effectiveness for consideration in other coastal areas. Thus, this thesis was inspired by these important questions and a

⁵¹ ACAP 'Windows' are EC-Atlantic staff, from all Branches, who serve as the departmental liaison for one site over the long term. They provide a 'face' for the department in these communities; this has proven to be one of the strengths of this initiative. Windows sit as ex-officio members of the local Boards of Directors to facilitate the flow of information on priorities and desired results from the department to the communities and from the communities back to the department's policy and program leads.

⁵² At least once per year, sometime twice, the entire ACAP 'family' (EC ACAP staff, management and, Windows; ACAP Executive Directors and Board Presidents) convene (rotationally) in one of the 16 ACAP sites to share approaches and lessons learned, discuss multi-site opportunities, or engage in collaborative strategic planning for the program overall.

desire to bring greater clarity to the power-sharing governance arrangement in this program.

But what do we mean by 'governance'? As discussed in Chapter 2, there is clearly a difference between 'government' and 'governance' (see, Evans et al., 2006; Czempiel, 1992). Both refer to purposive behaviour, to goal-oriented activities, and to systems of rule. In its simplest sense, governance is the capacity to get things done without necessarily, the legal competence - that is, authority derived from legally or formally prescribed responsibilities - to command that they be done. Governance is thus a system of rule, backed by shared goals, that works only if it is accepted by the majority. Conversely, Government's activities are backed by formal authority and it distributes value authoritatively. Thus, government is said to exercise 'rule', while governance uses 'power' (Rodal and Mulder, 1993).

So what, then, is the government-community relationship or governance structure in ACAP? Is the relationship one of client-service provider? Are they partners in the true sense of the word? Are they truly sharing power? The results of both the initial on-line survey and follow-on depth interviews shed significant light on these questions. The following sections of this chapter describe and discuss the findings from this case study investigation and provide the context for the conclusions presented in this and subsequent chapters.

4.6 The survey of Key Informants

4.6.1 The On-line Survey Results:

The section that follows presents and discusses the results, first of the on-line survey, followed by the results from the interview schedule. The combined results are then analyzed together and discussed and conclusions are drawn and highlighted. For each section of the questionnaire, ACAP members, both community and government, were asked first for their opinion on how various



functions are currently operating (community-led, government-led or a combination) and how they want to see those functions operating 5 to 10 years in the future. Statements were rotated from one survey to the next (i.e., statement “a” appeared first on survey #1, statement “b” appeared first on survey #2 and so on) to give each statement an equal chance of appearing first (see instructions in Appendix 3). Following each section, respondents were given an opportunity to provide additional feedback about that sections’ topic.

Each of the 12 categories of management functions explored in this case study is discussed in sequence below. They include: (1) Strategic planning; (2) Financial management; (3) Organizational management; (4) Human resources management; (5) Partnership management; (6) Knowledge management and generation; (7) Networking; (8) Media relations and engagement; (9) Community-Stakeholder relations and civic engagement; (10) Political relations; (11) Government (bureaucratic) relations; and (12) Regulatory compliance and enforcement.

One important finding from these data that is fundamental to understanding where and how government and community actors view these management functions and related responsibilities is that there was no clear pattern of differences of views between the community and government actors surveyed and only a slight difference among them in the interviews. Variations in responses are inconsistent across the four categories of participants (i.e., ‘government close’, ‘government less close’, ‘community close’ and ‘community less close’). No concrete or universal conclusions can be drawn about the differences in preferences of views from one group compared to the other three. Thus, the categorization of surveyed and interviewed actors in the four categories did not produce data that would distinguish preferences among government or community or those ‘close to’ or ‘less close to’ the program. The next sections present and interpret the results from the on-line survey by each of

the twelve categories, followed by a discussion of some overall findings and conclusions. Chapter 5 will examine these findings in even more detail.

4.6.1.1 STRATEGIC PLANNING

Strategic planning was described to survey participants as “an organization's process of defining its long-term goals and intended future outcomes and then identifying the best approach for achieving them. It is a road map to lead an organization from where it is now to where it would like to be in five, ten or twenty years.” A series of ten functions were assessed in this category. The data show (Fig. 6) that the majority of these functions are seen to be community-led with some involvement from government, both currently and looking ahead 5 to 10 years. There were some shifts from where the responsibility lies now to where they see it moving in the future for five of the functions.

Nearly half of all respondents prefer three functions to be led exclusively by the community, while nearly as many or more likewise feel that government support is acceptable for these same three functions as long as it is led by the community. These functions include: (1) Vision setting for individual ACAP organizations [6a]⁵³; (2) Issue identification for the community [6b]; and (3) Priority setting for individual ACAP organizations [6c]. In addition, there are some functions that most members agree should be run by the community but supported by the government: (1) Determining desired outcomes/results for individual ACAP geographic areas of focus [6d]; (2) Project selection (annual and multi-year) [6e]; (3) Management plan development [6f]; and (4) Program monitoring, review, evaluation & reporting for individual ACAP organizations [6j].

The data show that the following functions are preferred to be led by government with support coming from the community: (1) New ACAP site selections [6g]; (2)

⁵³ Square-bracketed Number/letter references such as this and throughout refer to the accompanying table for each section.

Determining the ACAP Program's future [6h]; and (3) Program monitoring, review, evaluation & reporting for the ACAP program overall [6i].

Desired shifts in responsibility exist for the following functions: (1) Project selection (annual and multi-year) [6e] – more members want this to be exclusively community-led, but the majority still feel the responsibility should be shared with the government; (2) New ACAP site selections [6g] – fewer members feel this should be exclusively government-led in the future; a greater number want it to be community-led with government support, but most see it being government-led with community support; (3) Determining the ACAP program's future [6h] – fewer see this being exclusively led by the government, more want it to be community-led with government support, but most want it to be government-led with community support; (4) Program monitoring, review, evaluation and reporting (overall) [6i] – whereas about one-third of members feel this function is currently handled exclusively by government, less than 10% want to see this continue into the future. Instead, there is a push for more community involvement, mostly in a support role for government; and (5) Program monitoring, review, evaluation and reporting (individual sites) [6j] – members want to see a shift away from a government lead on this function, and there is even stronger appetite for it to be led by the community (with government support). The detailed results are presented below in Figure 6.

FIGURE 6. SUMMARY OF STRATEGIC PLANNING RESULTS

| | | CURRENT | FUTURE | |
|--|---------------------------|---------|--------|-----|
| (a) Vision setting for individual ACAP organizations | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | - | 5% | 5% |
| | Comm. Lead, Gov't Support | 45% | 52% | 7% |
| | Exclusive Comm. Lead | 52% | 43% | -9% |
| (b) Issue identification for the community | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | - | 5% | 5% |
| | Comm. Lead, Gov't Support | 39% | 45% | 6% |
| | Exclusive Comm. Lead | 59% | 50% | -9% |
| (c) Priority setting for individual ACAP organizations | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | - | 5% | 5% |
| | Comm. Lead, Gov't Support | 52% | 52% | n/c |

| | | | | |
|--|---------------------------|-----|-----|------|
| | Exclusive Comm. Lead | 43% | 43% | 0% |
| (d) Determining desired outcomes/results for individual ACAP geographic area of focus | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 7% | 11% | 4% |
| | Comm. Lead, Gov't Support | 68% | 68% | n/c |
| | Exclusive Comm. Lead | 23% | 20% | -3% |
| (e) Project selection (annual & multi-year) | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 5% | 9% | 4% |
| | Comm. Lead, Gov't Support | 68% | 57% | -11% |
| | Exclusive Comm. Lead | 20% | 34% | 14% |
| (f) Management plan development | Exclusive Gov't Lead | 2% | - | -2% |
| | Gov't Lead, Comm. Support | 9% | 14% | 5% |
| | Comm. Lead, Gov't Support | 59% | 59% | n/c |
| | Exclusive Comm. Lead | 25% | 27% | 2% |
| (g) New ACAP site selection | Exclusive Gov't Lead | 30% | 11% | -19% |
| | Gov't Lead, Comm. Support | 57% | 64% | 7% |
| | Comm. Lead, Gov't Support | 2% | 18% | 16% |
| | Exclusive Comm. Lead | - | 7% | 7% |
| (h) Determining the ACAP Program's future | Exclusive Gov't Lead | 25% | 9% | -16% |
| | Gov't Lead, Comm. Support | 50% | 57% | 7% |
| | Comm. Lead, Gov't Support | 18% | 30% | 12% |
| | Exclusive Comm. Lead | 5% | 5% | n/c |
| (i) Program monitoring, review, evaluation & reporting for the ACAP program overall | Exclusive Gov't Lead | 32% | 7% | -25% |
| | Gov't Lead, Comm. Support | 61% | 75% | 14% |
| | Comm. Lead, Gov't Support | 5% | 16% | 11% |
| | Exclusive Comm. Lead | 0% | 2% | 2% |
| (j) Program monitoring, review, evaluation & reporting for individual ACAP organizations | Exclusive Gov't Lead | 2% | - | -2% |
| | Gov't Lead, Comm. Support | 25% | 11% | -14% |
| | Comm. Lead, Gov't Support | 55% | 70% | 15% |
| | Exclusive Comm. Lead | 16% | 18% | 2% |

4.6.1.2 FINANCIAL MANAGEMENT

The financial management section was introduced in the survey guide as “encompassing the two core processes of resource management and financial operations”. A total of seven functions were explored under this category. Compared to the strategic planning category, the responsibility structure for these functions is more varied and, overall, there is a greater emphasis on allowing the communities to lead these functions. Members indicated that two functions were, and should continue to be, led exclusively by the community: (1)

Securing infrastructure support (office, phones, computers, etc) [7c]; and (2) Allocating funds (from all sources) to local priorities [7e].

The following financial management functions are preferred to be led by the community but with some desire for government support: (1) Securing core financial operational support for individual ACAP organizations [7b]; (2) Securing project funding and preparing project applications [7d]; and (3) Financial accountability for individual ACAP organizations [7g]. Finally, members prefer two functions to be government-led (with support from the community): (1) Securing core financial operational support for ACAP program overall [7a]; and (2) Financial accountability for ACAP program overall [7f].

The preferred responsibility-structure now, compared to the future, has shifted for four of the aforementioned functions: (1) Securing core financial operational support for the ACAP program overall [7a] – whereas this is currently seen to be exclusively led by the government, members want to see this move to being more community-involved; (2) Securing core financial operational support for individual ACAP organizations [7b] – in the future, members would like to see the community take control of this function, with backing from the government; (3) Allocating funds to priorities [7e] – there is a stronger desire for this function to be handled exclusively by the community in the future; and (4) Financial accountability for the ACAP program overall [7f] – while the majority of members see this functioning as a government-led responsibility with community support, there appears to be a move to more community involvement. The detailed results are presented below in Figure 7.

FIGURE 7. SUMMARY OF FINANCIAL MANAGEMENT RESULTS

| | | CURRENT | FUTURE | |
|--|---------------------------|---------|--------|------|
| (a) Securing core financial operational support for the ACAP program overall | Exclusive Gov't Lead | 59% | 34% | -25% |
| | Gov't Lead, Comm. Support | 34% | 48% | 14% |
| | Comm. Lead, Gov't Support | 2% | 18% | 16% |
| | Exclusive Comm. Lead | - | - | n/c |
| (b) Securing core financial operational support for individual ACAP organizations | Exclusive Gov't Lead | 11% | 7% | -4% |
| | Gov't Lead, Comm. Support | 39% | 20% | -19% |
| | Comm. Lead, Gov't Support | 34% | 57% | 23% |
| | Exclusive Comm. Lead | 11% | 16% | 5% |
| (c) Securing infrastructure support (office, phones, computers, etc.) | Exclusive Gov't Lead | 7% | - | -7% |
| | Gov't Lead, Comm. Support | 2% | 9% | 7% |
| | Comm. Lead, Gov't Support | 30% | 34% | 4% |
| | Exclusive Comm. Lead | 57% | 57% | n/c |
| (d) Securing project funding and preparing project applications (other sources of funds) | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 5% | 5% | n/c |
| | Comm. Lead, Gov't Support | 41% | 50% | 9% |
| | Exclusive Comm. Lead | 52% | 45% | -7% |
| (e) Allocating funds (from all sources) to priorities | Exclusive Gov't Lead | 5% | - | -5% |
| | Gov't Lead, Comm. Support | 9% | 7% | -2% |
| | Comm. Lead, Gov't Support | 39% | 32% | -7% |
| | Exclusive Comm. Lead | 43% | 61% | 18% |
| (f) Financial accountability (tracking, reporting, auditing and evaluation, return on investment) for the ACAP program overall | Exclusive Gov't Lead | 32% | 23% | -9% |
| | Gov't Lead, Comm. Support | 52% | 57% | 5% |
| | Comm. Lead, Gov't Support | 7% | 18% | 11% |
| | Exclusive Comm. Lead | 2% | - | -2% |
| (g) Financial accountability (tracking, reporting, auditing, evaluation, return on investment) individual ACAP organizations | Exclusive Gov't Lead | 2% | 2% | n/c |
| | Gov't Lead, Comm. Support | 5% | 2% | -3% |
| | Comm. Lead, Gov't Support | 48% | 52% | 4% |
| | Exclusive Comm. Lead | 43% | 43% | n/c |

4.6.1.3 ORGANIZATIONAL MANAGEMENT

Organizational Management was presented to survey participants as being “concerned with the structure and functioning of an organization”. A total of nine functions were evaluated in this section.

For the most part, government is seen in a supporting role in this area of program governance. However, most members agree that two functions are best led by the government, but with support from the community: (1) Establishing values and ethics for the program overall [8a]; and (2) Planning for sustainability of the

program [8f]. The responsibility shifts slightly for the following functions, with the community taking the lead role with government providing support: (1) Planning for individual ACAP site sustainability [8e]; (2) Building trust among stakeholders [8g]; and (3) Strengthening community capacity to engage local governance [8i].

Moving further toward community-ownership of organizational management functions are the following, which survey participants say could either have government support or be exclusively handled by the community: (1) Establishing group structure and process for individual ACAP organizations [8a]; and (2) Establishing values and ethics for individual ACAP organizations [8d]. Finally, the majority of ACAP members agree that two functions should be handled exclusively by the community: (1) Developing by-laws and terms of reference for each ACAP organization [8b]; and (2) Project management for each ACAP organization [8h].

Comparing the current situation to the future, there are two functions for which members have indicated they would like to see change (two other shifts of $\pm 10\%$ occurred but responsibility preference did not change): (1) Establishing group structure and process for individual ACAP organizations [8a] – while still within a 10% variation, members' responses indicate that they would like to see this function shift from being led exclusively by the community to having support from the government; and (2) Establishing values and ethics for individual ACAP organizations [8d] – this shift mirrors the one above, but with members being even more closely split on whether this function should be handled exclusively by the community, or shared in part with government. These results are tabulated below in Fig. 8.

FIGURE 8. SUMMARY OF ORGANIZATIONAL MANAGEMENT RESULTS

| | | CURRENT | FUTURE | |
|--|---------------------------|---------|--------|-----|
| (a) Establishing group structure and process for individual ACAP organizations | Exclusive Gov't Lead | 2% | - | -2% |
| | Gov't Lead, Comm. Support | 9% | 5% | -4% |
| | Comm. Lead, Gov't Support | 30% | 50% | 20% |
| | Exclusive Comm. Lead | 52% | 43% | -9% |
| (b) Develop by-laws and terms of reference for each ACAP organization | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 5% | 9% | 4% |
| | Comm. Lead, Gov't Support | 32% | 30% | -2% |
| | Exclusive Comm. Lead | 59% | 59% | n/c |
| (c) Establishing values and ethics for the ACAP program overall | Exclusive Gov't Lead | 9% | 5% | -4% |
| | Gov't Lead, Comm. Support | 50% | 57% | 7% |
| | Comm. Lead, Gov't Support | 27% | 34% | 7% |
| | Exclusive Comm. Lead | 5% | 5% | n/c |
| (d) Establishing values and ethics for individual ACAP organizations | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | - | 2% | 2% |
| | Comm. Lead, Gov't Support | 39% | 50% | 11% |
| | Exclusive Comm. Lead | 55% | 48% | -7% |
| (e) Planning for individual ACAP site sustainability | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 2% | 5% | 3% |
| | Comm. Lead, Gov't Support | 64% | 61% | -3% |
| | Exclusive Comm. Lead | 32% | 34% | 2% |
| (f) Planning for sustainability of ACAP program | Exclusive Gov't Lead | 16% | 7% | -9% |
| | Gov't Lead, Comm. Support | 64% | 57% | -7% |
| | Comm. Lead, Gov't Support | 18% | 32% | 14% |
| | Exclusive Comm. Lead | - | 5% | 5% |
| (g) Building trust among stakeholders | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 14% | 11% | -3% |
| | Comm. Lead, Gov't Support | 57% | 59% | 2% |
| | Exclusive Comm. Lead | 25% | 27% | 2% |
| (h) Project management for each ACAP organization | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 2% | - | n/c |
| | Comm. Lead, Gov't Support | 30% | 36% | 6% |
| | Exclusive Comm. Lead | 64% | 64% | n/c |
| (i) Strengthening community capacity to engage in local governance | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 9% | - | n/c |
| | Comm. Lead, Gov't Support | 48% | 68% | 20% |
| | Exclusive Comm. Lead | 36% | 32% | -4% |

4.6.1.4 HUMAN RESOURCES MANAGEMENT

As per the survey, "Human Resources Management is the function within an organization that deals with issues related to people such as hiring, compensation, performance management, organization development, safety,

wellness, benefits, employee motivation, communication, administration, and training.” Survey participants evaluated fifteen functions within this subject matter.

It is clear from the data that the community plays the largest role in this area, with participants agreeing that 10 of the 15 functions should be handled exclusively by the community, including: (1) Volunteer recruitment and recognition in each ACAP organization [9a]; (2) Hiring and firing in each ACAP organization [9b]; (3) Compensation benefits negotiation in each ACAP organization [9c]; (4) Meeting OSH requirements in each ACAP organization [9e]; (5) Orientation for new staff and volunteers in each ACAP organization [9h]; (6) Individual ACAP organizations’ Board of Directors’ management and care [9k]; (7) Conflict avoidance and resolution in each ACAP organization [9l]; (8) Career development in each ACAP organization [9m]; (9) Performance appraisals in each ACAP organization [9n]; and (10) Exit strategies for staff in each ACAP organization [9o].

Survey participants are divided on how two functions should be handled; about half feel the functions should be exclusively community-led while the other half feels that government should provide support to the communities. Currently, both of these functions appear to be handled exclusively by the communities. These functions include: (1) Mentoring staff within each ACAP organization [9f]; and (2) Mentoring other similar groups [9g]. The responsibility for the remaining three functions should, the data show, be shared between community and government: (1) Training and skills development in each ACAP organization [9d] – most members prefer this to be handled by communities with support from the government, but about one-third feel it should continue to be exclusively the responsibility of the community; (2) ‘ACAP Windows’ management and care for the individual ACAP organization [9j] – members are almost evenly divided on whether this should be led by the community and supported by the government or visa-versa; and (3) ‘ACAP Windows’ management and care for the program

overall [9i] – this is the only human resources management function that swings to the responsibility of the government. Half of the respondents feel this function should be supported by the community in the future (as opposed to the majority who currently view this as being handled exclusively by government).

In terms of changes between the current situation and looking ahead 5 to 10 years, there are six functions that see shifts of more than 10 percentage points. However, only one of these changes translates to a shift in responsibility ('ACAP Windows' management and care for the program overall [9i]). The shifts do indicate some appetite for members to share the responsibility of some functions with government, perhaps on a limited basis. For the most part, members seem pleased with the governance of this dimension of the program. See Figure 9 below.

FIGURE 9. SUMMARY OF HUMAN RESOURCES MANAGEMENT RESULTS

| | | CURRENT | FUTURE | |
|---|---------------------------|---------|--------|-----|
| (a) Volunteer recruitment and recognition in each ACAP organization | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 2% | - | -2% |
| | Comm. Lead, Gov't Support | 5% | 25% | 20% |
| | Exclusive Comm. Lead | 86% | 75% | 11% |
| (b) Hiring and firing in each ACAP organization | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | - | 2% | 2% |
| | Comm. Lead, Gov't Support | 5% | 5% | n/c |
| | Exclusive Comm. Lead | 84% | 93% | 9% |
| (c) Compensation benefits negotiation in each ACAP organization | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 5% | 5% | n/c |
| | Comm. Lead, Gov't Support | 7% | 14% | 7% |
| | Exclusive Comm. Lead | 73% | 82% | 9% |
| (d) Training and skills development in each ACAP organization | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 7% | 5% | -2% |
| | Comm. Lead, Gov't Support | 55% | 66% | 11% |
| | Exclusive Comm. Lead | 30% | 30% | n/c |
| (e) Meeting OSH (Occupational Safety & Health) requirements in each ACAP organization | Exclusive Gov't Lead | 2% | - | -2% |
| | Gov't Lead, Comm. Support | 5% | 5% | n/c |
| | Comm. Lead, Gov't Support | 7% | 32% | 25% |
| | Exclusive Comm. Lead | 70% | 64% | -6% |
| (f) Mentoring of staff within each ACAP organization | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 5% | - | -5% |
| | Comm. Lead, Gov't Support | 27% | 45% | 18% |

| | | | | |
|---|---------------------------|-----|-----|-----|
| | Exclusive Comm. Lead | 61% | 55% | -6% |
| (g) Mentoring of other similar groups (e.g. Other watershed-based groups) | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 7% | 5% | -2% |
| | Comm. Lead, Gov't Support | 34% | 43% | 9% |
| | Exclusive Comm. Lead | 48% | 43% | -5% |
| (h) Orientation for new staff and volunteers in each ACAP organization | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | - | - | n/c |
| | Comm. Lead, Gov't Support | 18% | 32% | 14% |
| | Exclusive Comm. Lead | 77% | 68% | -9% |
| (i) 'ACAP Windows' management and care for the program overall | Exclusive Gov't Lead | 43% | 27% | 16% |
| | Gov't Lead, Comm. Support | 34% | 50% | 16% |
| | Comm. Lead, Gov't Support | 11% | 11% | n/c |
| | Exclusive Comm. Lead | - | 5% | 5% |
| (j) 'ACAP Windows' management and care for the individual ACAP organization | Exclusive Gov't Lead | 11% | 5% | -6% |
| | Gov't Lead, Comm. Support | 41% | 36% | -5% |
| | Comm. Lead, Gov't Support | 34% | 43% | 9% |
| | Exclusive Comm. Lead | 2% | 11% | 9% |
| (k) Individual ACAP organization's Board of Directors' management and care | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | - | 2% | 2% |
| | Comm. Lead, Gov't Support | 23% | 32% | 9% |
| | Exclusive Comm. Lead | 73% | 66% | -7% |
| (l) Conflict avoidance and resolution in each ACAP organization | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 2% | 2% | n/c |
| | Comm. Lead, Gov't Support | 23% | 27% | 4% |
| | Exclusive Comm. Lead | 61% | 70% | 9% |
| (m) Career development (e.g., youth) in each ACAP organization | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 2% | 2% | n/c |
| | Comm. Lead, Gov't Support | 32% | 36% | 4% |
| | Exclusive Comm. Lead | 61% | 61% | n/c |
| (n) Performance appraisal in each ACAP organization | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 2% | 5% | 3% |
| | Comm. Lead, Gov't Support | 9% | 11% | 2% |
| | Exclusive Comm. Lead | 80% | 84% | 4% |
| (o) Exit strategies for staff in each ACAP organization | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 2% | 2% | n/c |
| | Comm. Lead, Gov't Support | 11% | 16% | 5% |
| | Exclusive Comm. Lead | 77% | 80% | 3% |

4.6.1.5 PARTNERSHIP MANAGEMENT

Partnership Management was described in the survey as “an organization’s process of creating and maintaining a cooperative relationship between people or groups who agree to share responsibility for achieving specific goals.” A total of six functions were presented to survey participants. Like Human Resources

Management, many of these functions are handled by the community, but collaboration from government is more common. Only one function falls to the exclusive responsibility of the community: (1) Planning and convening individual ACAP Annual General Meetings [10e]. ACAP members are divided on whether two functions should be handled exclusively by the community or with some support from the government: (1) Securing, building and maintaining partnerships at the individual ACAP organization level [10a]; and (2) Building and maintaining trust among stakeholders [10d].

The other three functions are seen to be collaborative in nature: (1) Securing, building and maintaining partnerships at the provincial level [10b] – this should be led by the community but supported by the government. Compared to now, 14% of ACAP survey participants shifted to preferring this structure in the future, away from it being solely the responsibility of the community; (2) Securing, building and maintaining partnerships at the Atlantic region level [10c] – like the previous function, there is also a shift to this function being handled by communities but supported by government, but this time it was a shift away from more government responsibility; and (3) Plan and convene Atlantic Annual General Meetings [10f] – this is the only function that members feel should be handled mostly by the government (see Fig. 10). It is interesting to note in regard to the AGMs, however, that the planning for these events is, in practice, much more collaborative. This is discussed further in Chapter 5.

FIGURE 10. SUMMARY OF PARTNERSHIP MANAGEMENT RESULTS

| | | CURRENT | FUTURE | |
|---|---------------------------|---------|--------|------------|
| (a) Securing, building and maintaining partnerships at the individual ACAP organization level | Exclusive Gov't Lead | - | - | <i>n/c</i> |
| | Gov't Lead, Comm. Support | 2% | 5% | 3% |
| | Comm. Lead, Gov't Support | 48% | 45% | -3% |
| | Exclusive Comm. Lead | 45% | 50% | 5% |
| (b) Securing, building and maintaining partnerships at the provincial level | Exclusive Gov't Lead | - | - | <i>n/c</i> |
| | Gov't Lead, Comm. Support | 11% | 18% | 7% |
| | Comm. Lead, Gov't Support | 41% | 55% | 14% |
| | Exclusive Comm. Lead | 41% | 27% | -14% |
| (c) Securing, building and maintaining partnerships at | Exclusive Gov't Lead | 5% | 2% | -3% |
| | Gov't Lead, Comm. Support | 34% | 27% | -7% |

| | | | | |
|--|---------------------------|-----|-----|------|
| the Atlantic region level | Comm. Lead, Gov't Support | 36% | 55% | 19% |
| | Exclusive Comm. Lead | 18% | 16% | -2% |
| (d) Building and maintaining trust among stakeholders | Exclusive Gov't Lead | - | 2% | 2% |
| | Gov't Lead, Comm. Support | 14% | 9% | -5% |
| | Comm. Lead, Gov't Support | 34% | 45% | 11% |
| | Exclusive Comm. Lead | 41% | 41% | n/c |
| (e) Plan and convene individual ACAP Annual General Meetings | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 18% | 7% | -11% |
| | Comm. Lead, Gov't Support | 14% | 23% | 9% |
| | Exclusive Comm. Lead | 66% | 70% | 4% |
| (f) Plan and convene Atlantic Annual General Meetings | Exclusive Gov't Lead | 2% | - | -2% |
| | Gov't Lead, Comm. Support | 61% | 56% | -5% |
| | Comm. Lead, Gov't Support | 27% | 34% | 7% |
| | Exclusive Comm. Lead | 7% | 10% | 3% |

4.6.1.6 KNOWLEDGE MANAGEMENT & GENERATION

Participants read in the survey that Knowledge Management and Generation “is the process of enabling individuals, teams and entire organizations to collectively and systematically create, share and apply knowledge, to better achieve their objectives.” Ten functions were explored in this area of governance.

According to members, knowledge management and generation is a collaborative effort. The bulk of the responsibility for leading these functions falls to the community with government providing support throughout. This is true of the following functions: (1) Setting science priorities at local ACAP level [11a]; (2) Designing scientific studies at the local ACAP scale [11c]; (3) Conducting the science [11d]; (4) Monitoring and data collection [11e]; (5) Data and information management [11f]; (6) Evaluation of results (peer review of projects) [11g]; (7) Communicating results to the public [11h]; (8) Communicating results to the scientific community [11i]; and (9) Science-management integration [11j]. Members prefer that one function be led by government with community support: (1) Setting science priorities within government [11b].

This section has some of the largest differences between current responsibility structure and desired structure in the future, indicating a need for change to becoming more collaborative: (1) Setting science priorities within government

[11b] – this function is currently being handled exclusively by government according to over half of the members. In the future, more than 80% want the community to have some involvement; (2) Monitoring and data collection [11e] – although the responsibility function preference does not change for the majority of members, there is an increase in interest for government to become involved in this aspect of the program; (3) Data and information management [11f] – like monitoring and data collection, members seek more collaboration with government and less sole-responsibility here; (4) Evaluation of results (peer review of projects) [11g] – again, more members want this to become/continue to be led by the community and supported by government; (5) Communicating results to the public [11h] – this is one of the largest shifts from current to future responsibility structure. Whereas almost half of the participants feel this function is currently handled exclusively by the government, less than one-quarter want it to continue this way. Likewise, two-thirds (up from one-third) want the government to support this function; and (6) Communicating results to the scientific community [11i] – as noted in previous changes, members who feel this function is being handled exclusively by the community want to see a shift to having support from the government. These results are tabulated below in Figure 11.

FIGURE 11. SUMMARY OF KNOWLEDGE MANAGEMENT AND GENERATION RESULTS

| | | CURRENT | FUTURE | |
|--|---------------------------|---------|--------|------|
| (a) Setting science priorities at local ACAP level | Exclusive Gov't Lead | 5% | - | -5% |
| | Gov't Lead, Comm. Support | 5% | 7% | 2% |
| | Comm. Lead, Gov't Support | 61% | 59% | -2% |
| | Exclusive Comm. Lead | 27% | 34% | 7% |
| (b) Setting science priorities within government | Exclusive Gov't Lead | 52% | 18% | -34% |
| | Gov't Lead, Comm. Support | 41% | 68% | 27% |
| | Comm. Lead, Gov't Support | 2% | 14% | 12% |
| | Exclusive Comm. Lead | - | - | n/c |
| (c) Designing scientific studies at the local ACAP scale | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 5% | 2% | -3% |
| | Comm. Lead, Gov't Support | 84% | 82% | -2% |
| | Exclusive Comm. Lead | 9% | 16% | 7% |
| (d) Conducting the science | Exclusive Gov't Lead | 2% | - | -2% |
| | Gov't Lead, Comm. Support | 14% | 9% | -5% |

| | | | | |
|---|---------------------------|-----|-----|------|
| | Comm. Lead, Gov't Support | 68% | 77% | 9% |
| | Exclusive Comm. Lead | 14% | 14% | n/c |
| (e) Monitoring and data collection | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 7% | 7% | n/c |
| | Comm. Lead, Gov't Support | 55% | 68% | 13% |
| | Exclusive Comm. Lead | 36% | 25% | -11% |
| (f) Data and information management | Exclusive Gov't Lead | 2% | - | -2% |
| | Gov't Lead, Comm. Support | 11% | 23% | 12% |
| | Comm. Lead, Gov't Support | 55% | 68% | 13% |
| | Exclusive Comm. Lead | 27% | 9% | -18% |
| (g) Evaluation of results (peer review of projects) | Exclusive Gov't Lead | - | 2% | 2% |
| | Gov't Lead, Comm. Support | 30% | 27% | -3% |
| | Comm. Lead, Gov't Support | 48% | 64% | 16% |
| | Exclusive Comm. Lead | 18% | 7% | -11% |
| (h) Communicating results to the public | Exclusive Gov't Lead | 5% | - | -5% |
| | Gov't Lead, Comm. Support | 11% | 14% | 3% |
| | Comm. Lead, Gov't Support | 36% | 66% | 30% |
| | Exclusive Comm. Lead | 45% | 20% | -25% |
| (i) Communicating results to the scientific community | Exclusive Gov't Lead | 5% | 5% | n/c |
| | Gov't Lead, Comm. Support | 20% | 20% | n/c |
| | Comm. Lead, Gov't Support | 55% | 68% | 13% |
| | Exclusive Comm. Lead | 18% | 7% | -11% |
| (j) Science-management integration | Exclusive Gov't Lead | 5% | - | -5% |
| | Gov't Lead, Comm. Support | 30% | 32% | 2% |
| | Comm. Lead, Gov't Support | 48% | 48% | n/c |
| | Exclusive Comm. Lead | 9% | 9% | n/c |

4.6.1.7 NETWORKING

“Networking was described to the survey participants as the process through which information is shared, collaborative activities are formed and participants feel a part of a greater whole.” Seven dimensions of networking were explored in the survey. As was the case with Knowledge Management and Generation, most functions within the Networking category were assessed as needing to be collaborative between government and community. The only case where members are divided on their assessment is with the following function: (1) Sharing experiences and approaches with local ACAP stakeholders [12a]. Most members feel that this function is currently being handled exclusively by the community, but there is a desire for this to become more collaborative with government providing support in the future.

The data show that the following five functions should also be community led with government support: (1) Sharing experiences and approaches with similar groups in the Atlantic Region [12b]; (2) Sharing experiences and approaches with those in government [12c]; (3) Convening partners (current and potential) [12d]; (4) Linking beyond individual sites for regional collaborative efforts [12e]; and (5) Hosting workshops and conferences [12f]. And, although there is a desire for this function to be handled by the community (with government support), the majority of members continue to agree that the following function should be led by the government with support from the community: (1) Convening the 'ACAP family' for networking and sharing experiences [12g]. These results are summarized below in Figure 12.

FIGURE 12. SUMMARY OF NETWORKING RESULTS

| | | CURRENT | FUTURE | |
|---|---------------------------|---------|--------|------------|
| (a) Sharing experiences and approaches with local ACAP stakeholders | Exclusive Gov't Lead | - | - | <i>n/c</i> |
| | Gov't Lead, Comm. Support | 2% | 5% | 3% |
| | Comm. Lead, Gov't Support | 27% | 43% | 16% |
| | Exclusive Comm. Lead | 66% | 52% | -14% |
| (b) Sharing experiences and approaches with similar groups in the Atlantic Region | Exclusive Gov't Lead | - | 2% | 2% |
| | Gov't Lead, Comm. Support | 20% | 16% | -4% |
| | Comm. Lead, Gov't Support | 61% | 64% | 3% |
| | Exclusive Comm. Lead | 14% | 18% | 4% |
| (c) Sharing experiences and approaches with those in government | Exclusive Gov't Lead | 5% | 2% | -3% |
| | Gov't Lead, Comm. Support | 45% | 39% | -6% |
| | Comm. Lead, Gov't Support | 41% | 52% | 11% |
| | Exclusive Comm. Lead | | 5% | 5% |
| (d) Convening partners (current and potential) | Exclusive Gov't Lead | - | - | <i>n/c</i> |
| | Gov't Lead, Comm. Support | 14% | 11% | -3% |
| | Comm. Lead, Gov't Support | 48% | 57% | 9% |
| | Exclusive Comm. Lead | 25% | 30% | 5% |
| (e) Linking beyond individual sites for regional collaborative efforts | Exclusive Gov't Lead | - | - | <i>n/c</i> |
| | Gov't Lead, Comm. Support | 23% | 23% | <i>n/c</i> |
| | Comm. Lead, Gov't Support | 45% | 68% | 23% |
| | Exclusive Comm. Lead | 23% | 9% | -14% |
| (f) Hosting workshops and conferences | Exclusive Gov't Lead | 2% | 5% | 3% |
| | Gov't Lead, Comm. Support | 34% | 20% | -14% |
| | Comm. Lead, Gov't Support | 52% | 61% | 9% |
| | Exclusive Comm. Lead | 9% | 14% | 5% |
| (g) Convening the 'ACAP family' for networking and sharing experiences | Exclusive Gov't Lead | - | - | <i>n/c</i> |
| | Gov't Lead, Comm. Support | 77% | 52% | -25% |
| | Comm. Lead, Gov't Support | 16% | 41% | 25% |
| | Exclusive Comm. Lead | 5% | 7% | 2% |

4.6.1.8 MEDIA RELATIONS & ENGAGEMENT

Survey participants were provided with the following definition for Media Relations and engagement: “It involves working directly with persons responsible for the editorial (news and features), public service and sponsored programming products of mass media. It refers to the relationship that an organization develops with journalists.” Five aspects of this topic were evaluated.

As the only subject-area with consistent assessments across all functions, members are stating that media relations and engagement are (and should continue to be) exclusively led by the community. These functions include: (1) Determining messages, tone and target audiences [13a]; (2) Approving and issuing press releases [13b]; (3) Serve as spokespersons for the community [13c]; (4) Advocating change through the media [13d]; and (5) Organizing media events [13e]. Despite the majority agreeing on this preferred responsibility structure, there is an appetite for government to become more involved in four of the functions (excluding “approving and issuing press releases”). For these four functions, 23% to 34% would like government to provide a supporting role. Figure 13 summarizes these survey results below.

FIGURE 13. SUMMARY OF MEDIA RELATIONS AND ENGAGEMENT RESULTS

| | | CURRENT | FUTURE | |
|---|---------------------------|---------|--------|-----|
| (a) Determining messages, tone and target audiences | Exclusive Gov't Lead | 2% | - | -2% |
| | Gov't Lead, Comm. Support | 2% | 5% | 3% |
| | Comm. Lead, Gov't Support | 18% | 32% | 14% |
| | Exclusive Comm. Lead | 73% | 64% | -9% |
| (b) Approving and issuing press releases | Exclusive Gov't Lead | 5% | - | -5% |
| | Gov't Lead, Comm. Support | - | 5% | -5% |
| | Comm. Lead, Gov't Support | 14% | 18% | 4% |
| | Exclusive Comm. Lead | 77% | 77% | n/c |
| (c) Serve as spokespersons for community | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | - | - | n/c |
| | Comm. Lead, Gov't Support | 9% | 23% | 14% |
| | Exclusive Comm. Lead | 86% | 77% | -9% |
| (d) Advocating change | Exclusive Gov't Lead | - | - | n/c |

| | | | | |
|-----------------------------|---------------------------|-----|-----|------|
| through media | Gov't Lead, Comm. Support | 2% | - | -2% |
| | Comm. Lead, Gov't Support | 14% | 32% | 18% |
| | Exclusive Comm. Lead | 80% | 68% | -12% |
| (e) Organizing media events | Exclusive Gov't Lead | 2% | - | -2% |
| | Gov't Lead, Comm. Support | 2% | 5% | 3% |
| | Comm. Lead, Gov't Support | 14% | 34% | 20% |
| | Exclusive Comm. Lead | 77% | 61% | -16% |

4.6.1.8.1 COMMUNITY-STAKEHOLDER RELATIONS & CIVIC ENGAGEMENT

As described in the survey, “Community-Stakeholder relations and civic engagement are individual and collective actions designed to identify and address issues of public concern. Civic engagement means working to make a difference in the civic life of our communities and developing the combination of knowledge, skills, values and motivation to make that difference. It means promoting the quality of life in a community, through both political and non-political processes.” Five functions were evaluated in this section of the survey.

Survey participants feel that these functions are the responsibility of the community, either exclusively, or in conjunction with government support. They indicated that the following two functions should continue to be led exclusively by the community although some have a desire to enlist government support in the future: (1) Representing the community’s goals and objectives [14a]; and (2) Engaging the public in getting involved [14d]. There is a more equal divide between members who feel the two following functions should be exclusively community-led and those who feel they should be community-led with government support: (1) Education/outreach on local issues and priorities [14c]; and (2) Reporting to the public on the activities and accomplishments of the ACAP program [14e]. The only function in this section that the majority of members agree should be led by the community and supported by the government is: (1) Education/outreach on broad environmental issues [14b]. Throughout these statements, there is an appetite for an increase in government support. These results are tabulated below in Fig. 14.

FIGURE 14. SUMMARY OF COMMUNITY-STAKEHOLDER RELATIONS AND CIVIC ENGAGEMENT RESULTS

| | | CURRENT | FUTURE | |
|--|---------------------------|---------|--------|------|
| (a) Representing the community's goals and objectives | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 2% | 2% | n/c |
| | Comm. Lead, Gov't Support | 16% | 30% | 14% |
| | Exclusive Comm. Lead | 75% | 68% | -7% |
| (b) Education / outreach on broad environmental issues | Exclusive Gov't Lead | 2% | - | -2% |
| | Gov't Lead, Comm. Support | 16% | 14% | -2% |
| | Comm. Lead, Gov't Support | 43% | 57% | 14% |
| | Exclusive Comm. Lead | 34% | 30% | -4% |
| (c) Education / outreach on local issues and priorities | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | - | - | n/c |
| | Comm. Lead, Gov't Support | 36% | 52% | 16% |
| | Exclusive Comm. Lead | 59% | 48% | -11% |
| (d) Engaging the public in getting involved | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 2% | 2% | n/c |
| | Comm. Lead, Gov't Support | 18% | 43% | 25% |
| | Exclusive Comm. Lead | 75% | 55% | -20% |
| (e) Reporting to the public on activities and accomplishments of the ACAP organization | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 9% | 11% | 2% |
| | Comm. Lead, Gov't Support | 41% | 41% | n/c |
| | Exclusive Comm. Lead | 48% | 48% | n/c |

4.6.1.9 POLITICAL RELATIONS

The following description was included at the beginning of this section of the survey: "Political Relations describe the relationship between the community organizations and the elected officials of the governments of Canada. They are developed and nurtured to communicate priorities and influence policy direction." Participants were asked to evaluate five functions within this topic.

Currently, most members feel that four of these five functions are handled exclusively by the community. There is a desire for change in this area of governance, with shifts in all functions toward being community-led but with government support. The only function that remains as being exclusively community-led is: (1) Advocating for locally-identified priorities and needs [15a].

Survey participants are divided on the responsibility structure for the following three functions (either exclusively community-led, or community-led with government support): (1) Securing political support for identified priorities [15b]; (2) Influencing government policy at the municipal level [15c]; and (3) Influencing government policy at the provincial level [15d]. The only function that most participants agree should include support from government is: (1) Influencing government policy at the federal level [15e]. Overall, only a small proportion of participants feel that any of these functions should be led by government; the majority feels that the responsibilities should lie with the community with support from government in some cases. See Figure 15 below for the detailed results.

FIGURE 15. SUMMARY OF POLITICAL RELATIONS RESULTS

| | | CURRENT | FUTURE | |
|--|---------------------------|---------|--------|------|
| (a) Advocating for locally-identified priorities and needs | Exclusive Gov't Lead | - | - | n/c |
| | Gov't Lead, Comm. Support | 7% | 7% | n/c |
| | Comm. Lead, Gov't Support | 18% | 36% | 18% |
| | Exclusive Comm. Lead | 70% | 57% | -13% |
| (b) Securing political support for identified priorities | Exclusive Gov't Lead | 2% | - | -2% |
| | Gov't Lead, Comm. Support | 16% | 11% | -5% |
| | Comm. Lead, Gov't Support | 23% | 43% | 20% |
| | Exclusive Comm. Lead | 52% | 45% | -7% |
| (c) Influencing government policy at the municipal level | Exclusive Gov't Lead | 2% | 2% | n/c |
| | Gov't Lead, Comm. Support | 9% | 2% | -7% |
| | Comm. Lead, Gov't Support | 23% | 48% | 25% |
| | Exclusive Comm. Lead | 64% | 48% | -16% |
| (d) Influencing government policy at the provincial level | Exclusive Gov't Lead | 2% | 2% | n/c |
| | Gov't Lead, Comm. Support | 20% | 14% | -6% |
| | Comm. Lead, Gov't Support | 25% | 45% | 20% |
| | Exclusive Comm. Lead | 45% | 39% | -6% |
| (e) Influencing government policy at the federal level | Exclusive Gov't Lead | 11% | 7% | -4% |
| | Gov't Lead, Comm. Support | 23% | 20% | -3% |
| | Comm. Lead, Gov't Support | 32% | 50% | 18% |
| | Exclusive Comm. Lead | 27% | 23% | -4% |

4.6.1.10 GOVERNMENT (BUREAUCRATIC) RELATIONS

As per the survey, "Government (Bureaucratic) Relations describe how community organizations work with and influence the bureaucratic levels of

government and their coordination functions.” Seven functions were presented and evaluated.

The majority of the responsibilities for these functions are collaborative in nature, with government taking the lead. This includes: (1) Inter-departmental (federal) coordination [16a]; (2) Inter-governmental (federal-provincial-municipal) coordination [16b]; (3) Ensuring program integrity and sustainability for the ACAP program overall [16d]; (4) Promotion of the ACAP model throughout Canada [16e]; (5) Influencing the direction of Integrated Coastal Management in Canada [16f]; and (6) Promotion of ACAP model internationally [16g]. Members prefer the following function to be led by the community and supported by the government: (1) Ensuring program integrity and sustainability at the local ACAP level [16c].

Throughout this section on government/bureaucratic relations, many of the survey participants who viewed the functions as being exclusively led by the government indicated that this is not how they'd like to see the functions handled in the future. There are changes in the preferred responsibility structure in the future for all functions: (1) Inter-departmental (federal) coordination [16a] – there is an increased interest in community taking part in this function in the future whereas most members feel it is currently a role that is exclusively handled by government; (2) Inter-governmental (federal-provincial-municipal) coordination [16b] – the shift is similar to the function above, but is larger, with over one-third of the members wanting the responsibility to shift such that the community can play a support role while this is led by the government; (3) Ensuring program integrity and sustainability at the local ACAP level [16c] – opinions about who is currently handling this program are divided, but looking ahead, members migrate toward the idea of this function being handled by the community with government support; (4) Ensuring program integrity and sustainability for the ACAP program overall [16d] – about one-quarter of the survey participants believe this function is currently handled exclusively by the government; but they would rather see more

community involvement in the future; (5) Promotion of the ACAP model throughout Canada [16e] – there is a substantial push for more involvement from the community, despite the fact that the majority would still like to see this led by the government; (6) Influencing the direction of Integrated Coastal Management in Canada [16f] – as above, there is a desire among some for the community to take more control of this function in the future, but the majority continues to believe it should be led by the government; and (7) Promotion of ACAP model internationally [16g] – again, there is a significant push away from government exclusively leading this function toward more community involvement in the future. These results are detailed below in Fig. 16.

FIGURE 16. SUMMARY OF GOVERNMENT (BUREAUCRATIC) RELATIONS RESULTS

| | | CURRENT | FUTURE | |
|--|---------------------------|---------|--------|------|
| (a) Inter-departmental (federal) coordination | Exclusive Gov't Lead | 52% | 34% | -18% |
| | Gov't Lead, Comm. Support | 25% | 45% | 20% |
| | Comm. Lead, Gov't Support | 9% | 18% | 9% |
| | Exclusive Comm. Lead | 2% | - | -2% |
| (b) Inter-governmental (federal-provincial-municipal) coordination | Exclusive Gov't Lead | 36% | 11% | -25% |
| | Gov't Lead, Comm. Support | 25% | 59% | 34% |
| | Comm. Lead, Gov't Support | 23% | 27% | 4% |
| | Exclusive Comm. Lead | 2% | - | -2% |
| (c) Ensuring program integrity and sustainability at the local ACAP level | Exclusive Gov't Lead | 5% | 2% | -3% |
| | Gov't Lead, Comm. Support | 16% | 16% | n/c |
| | Comm. Lead, Gov't Support | 48% | 68% | 20% |
| | Exclusive Comm. Lead | 30% | 14% | -16% |
| (d) Ensuring program integrity and sustainability for the ACAP program overall | Exclusive Gov't Lead | 25% | 7% | -18% |
| | Gov't Lead, Comm. Support | 59% | 61% | 2% |
| | Comm. Lead, Gov't Support | 11% | 32% | 21% |
| | Exclusive Comm. Lead | - | - | n/c |
| (e) Promotion of ACAP model throughout Canada | Exclusive Gov't Lead | 20% | 7% | -13% |
| | Gov't Lead, Comm. Support | 64% | 52% | -12% |
| | Comm. Lead, Gov't Support | 9% | 36% | 27% |
| | Exclusive Comm. Lead | - | 2% | 2% |
| (f) Influencing the direction of Integrated Coastal Management in Canada | Exclusive Gov't Lead | 23% | 9% | -14% |
| | Gov't Lead, Comm. Support | 55% | 55% | n/c |
| | Comm. Lead, Gov't Support | 11% | 34% | 23% |
| | Exclusive Comm. Lead | 2% | - | -2% |
| (g) Promotion of ACAP model internationally | Exclusive Gov't Lead | 23% | 9% | -14% |
| | Gov't Lead, Comm. Support | 64% | 57% | -7% |
| | Comm. Lead, Gov't Support | 7% | 30% | 23% |
| | Exclusive Comm. Lead | 2% | 2% | n/c |

4.6.1.11 REGULATORY COMPLIANCE & ENFORCEMENT

Participants read the following definition of this final category of Regulatory Compliance and Enforcement: “(it) is either a state of being in accordance with established guidelines, specifications or legislation or the process of becoming so.” Four areas were evaluated in the survey.

As in most previous sections of this study, survey participants prefer a collaborative approach to these four functions. Members were divided on whether it should be government or community that takes the lead (with the other party providing support) in two areas: (1) Providing incentives for compliance at the local level [17c]; and (2) Rewarding compliance at the local level [17d]. Survey participants lean toward community leadership for the following function: (1) Encouraging compliance at the local ACAP level [17a]; but they lean toward government leadership for: (2) Enforcement of laws and regulations at the local ACAP level [17b].

When comparing participants’ responses to who is “currently” responsible for the function, to their responses to who should be responsible “in the future”, it is clear that some changes are desired: (1) Encouraging compliance at the local ACAP level [17a] – there is less desire for this to be solely the responsibility of either government or community, and rather a stronger preference toward collaboration between the two; (2) Enforcement of laws and regulations at the local ACAP level [17b] – currently, most members feel this function is exclusively led by government. In the future, they want community to provide some support; (3) Providing incentives for compliance at the local level [17c] – like the first function, members want to shift away from sole-responsibility to shared responsibility; and (4) Rewarding compliance at the local level [17d] – the desired changes for this function echo the first and third function in the list, with a greater emphasis on collaboration. These results are presented below in Fig. 17.

FIGURE 17. SUMMARY OF REGULATORY COMPLIANCE AND ENFORCEMENT RESULTS

| | | CURRENT | FUTURE | |
|---|---------------------------|---------|--------|------|
| (a) Encouraging compliance at the local ACAP level | Exclusive Gov't Lead | 14% | 2% | -12% |
| | Gov't Lead, Comm. Support | 20% | 36% | 16% |
| | Comm. Lead, Gov't Support | 36% | 55% | 19% |
| | Exclusive Comm. Lead | 14% | 2% | -12% |
| (b) Enforcement of laws and regulations at the local ACAP level | Exclusive Gov't Lead | 45% | 23% | -22% |
| | Gov't Lead, Comm. Support | 32% | 61% | 29% |
| | Comm. Lead, Gov't Support | 2% | 9% | 7% |
| | Exclusive Comm. Lead | 11% | 2% | -9% |
| (c) Providing incentives for compliance at the local level | Exclusive Gov't Lead | 18% | 7% | -11% |
| | Gov't Lead, Comm. Support | 30% | 48% | 18% |
| | Comm. Lead, Gov't Support | 23% | 39% | 16% |
| | Exclusive Comm. Lead | 14% | 2% | -12% |
| (d) Rewarding compliance at the local level | Exclusive Gov't Lead | 16% | 7% | -9% |
| | Gov't Lead, Comm. Support | 30% | 43% | 13% |
| | Comm. Lead, Gov't Support | 16% | 41% | 25% |
| | Exclusive Comm. Lead | 20% | 2% | -18% |

4.7. Key Findings from the Survey

The detailed survey results reported above for each of the 12 categories of management functions, provide for some intriguing trends in how the various government and community actors see the program operating today and how they see it in the future. Although the data could not discern any significant differences in views among the four categories of actors, there are a number of overall findings that the sample population of both community and government actors provides.

(1) Variations in responses are inconsistent across the four categories of participants. Also, the margin of error is large for the small populations. Thus, no concrete or universal conclusions can be made about differences in preferences of one group compared to another. However, tables in Appendix 4 break down the responses into the four types of participants.

(2) A good mixture of people with varying roles and responsibilities within ACAP participated in the survey. As summarized in the Methodology section of this

report, most of the respondents were categorized as being “close” to the program, and were about equally split between the government side of ACAP and the community side of the program. Participants included Executive Directors, Environment Canada Windows, Board of Directors and Advisory Council members, office staff and management, and project participants. Over half of the participants have been involved with ACAP for 10 years or longer, giving confidence in the foundation of their opinions.

(3) Government is seen to be playing a collaborative and/or supportive role to the community both now, and into the future. Only four out of eighty-three functions were assessed as currently being led exclusively by the government, including: (1) Securing core financial operational support for the program overall (under the Financial Management); (2) Setting science priorities within government (under Knowledge Management & Generation); (3) Interdepartmental (federal) coordination (under Government/Bureaucratic Relations); and (4) Enforcement of laws and regulations at the local ACAP level (under Regulatory Compliance and Enforcement). However, looking ahead to the future, members have not collectively identified any function they would like to be solely handled by the government. Instead, there is a push toward even closer collaboration between community and government.

(4) The survey participants felt that the majority of responsibility lies with the community. They prefer that more than two-thirds of the functions be handled either exclusively by the community, or be led by the community with some degree of support coming from the government. For the remaining functions, the preference is for government to take the lead, but for the community to continue to be involved and provide input and support.

(5) Human Resource Management functions (at the local level) should be handled by communities. It is clear that the community plays the largest role in

this area, with members agreeing that ten of the fifteen functions explored in this survey should be handled exclusively by the community.

(6) Survey participants prefer Knowledge Management & Generation and Networking functions to primarily be the responsibility of the communities with support coming from government. Responses to nine of the ten Knowledge Management & Generation functions and six of the seven functions asked in the Networking section indicate that the majority of participants chose this responsibility structure. In many of these cases, this is a shift away from being handled exclusively by communities for a number of members.

(7) Media Relations & Engagement is seen to be consistently the sole responsibility of the community, both now and into the future. However, there is increasing interest in government providing some support here.

(8) Radical, universal changes to the governance of the ACAP program are not felt to be necessary in the future. Shifts in the responsibility structure tend to be small. Larger shifts generally communicate the need for more collaboration between community and government.

(9) It is not often that more than 50% to 65% of members agree on the responsibility structure for functions as they currently exist and/or how they should exist into the future. This means that there are differing opinions and ideas among members about governance of the program. These nuances should be explored further in phase two of the study, the interview schedule.

4.8 The Interview Schedule

4.8.1 Defining Responsibility Structures

As discussed in the Methodologies section in Chapter 3, while close-ended, self-completed surveys - such as the on-line survey completed in Phase One of this case study - are effective at identifying consistencies and commonality in responses, they are not as effective in providing a depth of information. Gubrium and Holstein (2001) and Kumar (2005) note that if an investigator is interested in questions of greater depth, where the knowledge sought is not readily articulated by most members, where the research questions involve highly conflicted emotions, where different individuals or groups involved in the same line of activity have complicated, multiple perspectives on the same phenomenon, then in-depth interviewing is considered to be the best approach. This is certainly the case with the Atlantic Coastal Action Program. Depth interviews (also called In-Depth Interviews) involve an interviewer and an informant discussing a particular subject matter area or topic with greater detail than is possible in a traditional survey or even a focus group (Kothari, 2005). Because of the intimate one-on-one nature of depth interviews, there is greater opportunity to establish mutual trust which inevitably leads to greater disclosure. That is, they are designed to discover underlying motives and desires.

The semi-structured personal interview format was chosen for the depth interviews in this second phase of the case study research as it balances the rigidity of the structured interview with the semi-structured interview which is characterized by a flexibility of approach to questioning, and is not constrained by a strict system of pre-determined questions. The limitations of the interview methodology and the potential biases that could have been introduced by having this investigator (who is also the government program manager for ACAP) conduct the interviews, have been explained in Chapter 3.

Based on the findings of the on-line survey in Phase One, fifteen specific management functions were chosen to be explored in greater depth during the

one-on-one telephone interviews (see Appendix 5 for the Telephone Interview Schedule). These questions, plus several more that were not related to specific management functions but were felt to be relevant to this research, were selected based on those survey questions that elicited intriguing, but still ambivalent responses. For example, if the survey results showed a split between the preferred responsibility being either “exclusively government lead/responsibility” or “government lead, with community support”, participants were asked whether or not government has a role to play in the function and, if so, what that role might entail. Ten out of the twelve management categories tested for in Phase One included follow-up questions that would be usefully explored in more depth through the interview schedule. Participants were read the function and provided with a small amount of context from the results of the on-line survey to guide their response. Responses ranged from philosophical to very tactical and specific.

The next part of this chapter summarizes the perspectives of the sixteen (government and community) individuals who participated in these interviews. The questions included: (1) Issue identification for the community, and (2) Priority setting for individual ACAP organizations (Strategic Planning); (3) Securing project funding and preparing project applications and (4) financial accountability for individual ACAP organizations (Financial management); (5) Mentoring of other watershed-based groups (Human resources management); (6) Securing, building and maintaining partnerships at the individual ACAP organizational level, and (7) Building and maintaining trust among stakeholders (Partnership management); (8) Sharing experiences and approaches with local ACAP stakeholders (Networking); (9) Media Relations and engagement (all sub-questions as a group); (10) Reporting to the public on activities and accomplishments of the ACAP organizations (Community-Stakeholder relations and civic engagement); (11) Influencing government policy at the municipal level and (12) at the provincial level and (13) Securing political support for identified priorities (Political relations); (14) Communities taking on a greater lead

responsibility (Government/Bureaucratic relations); and (15) Rewarding compliance at the local level (Regulatory compliance and enforcement). Additional questions related to (1) Communities taking on more responsibilities; (2) Legally transferring responsibilities to communities; (3) Relationships and the future of ACAP (divided into community and government members' responses⁵⁴); and (4) what they see as opportunities and barriers, were also asked.

4.8.1.1 Issue Identification for the Community (Strategic Planning)

According to results obtained from the on-line survey under the category of Strategic Planning, most respondents preferred that most functions be handled collaboratively between the government and community actors and institutions. But there were two areas in particular that presented considerable variability in the preferred responsibility structures; issue identification for the community (this discussion) and priority setting for individual ACAP organizations (discussed in 4.8.1.2). That is, just less than 60% of the ACAP members who responded felt that the function of identifying issues for the individual communities is currently being handled exclusively by the communities themselves. Looking ahead, about 10% would like this situation to change in the future, with government becoming more involved (45% feel government should provide support to communities in the future).

The data from the interviews show that community and government members alike agree that communities are the most attuned with the individual needs and situations in which they operate. There was common agreement that individual sites are the most effective at highlighting issues, but many recognized that government can play at least a small role. The respondents felt that the role of government should be of a hands-off advisory and informational nature. They felt that this could entail highlighting national issues, providing context and providing

⁵⁴ This is one area where differences in opinion between the community and government representatives interviewed were discernably different and patterns could be identified.

scientific knowledge to help direct the identification process, but should not dictate which types of issues should have greater weight. Where community issues appear to be aligning with national governmental priorities, the opportunities to share and learn from one another broaden naturally, but it was noted that communities should have a large amount of autonomy in the task overall with a smaller amount of input from government.

4.8.1.2 Priority Setting for Individual ACAP Organizations (Strategic Planning)

Both currently and in the future, members are divided on whether the community should lead the function of setting priorities for their individual organizations, or if government should play a supportive role with a slight favour in the data toward government being involved (52% to 43%). Similar to the previous function, the task of setting priorities for individual sites falls predominantly to the communities since they know their individual jurisdictions better than any other body. Also, it was pointed out in the interviews that the program was designed to give individual groups the independence to make decisions about what is best for their communities. However, the interviewees felt that the government partners (along with other partners) could and should continue to share information, knowledge and context to the issues that are being considered. The shared view of the government and community actors interviewed is that Government has a larger-picture perspective and can help coordinate individual priority-setting to be aligned (when and where possible) with other ACAP sites and other regional programs.

4.8.1.3.1 Securing project funding and preparing project applications (Financial Management)

Fifty-two percent of members surveyed felt that the tasks of preparing applications and securing funding from sources other than ACAP are currently being led exclusively by the communities (41% see the communities leading but with government support). Looking ahead, there were a small number of people who want to see more support in this task, but members are still divided on

whether or not government should be involved. This question was explored more deeply in the interviews.

The role that government might play in this task was seen as one of administrative support and guidance. Both community and government ACAP members agree that it is the community's responsibility to acquire funding from outside the ACAP program, and that the more successful they are in their applications, the more successful they will be in acquiring the funds. Support from government can include providing information about funding opportunities that might come across the desk of the ACAP Office in Dartmouth, opening doors and making connections where plausible or logical (i.e., where relationships already exist), providing context or background, or providing guidance on proper verbiage or language to produce a strong proposal. It was recognized that smaller or newer sites (e.g., the two sites in Labrador that were only established in 2006) may still need more support than the established and mature sites. Interview participants felt that the bulk of the work is up to the communities themselves with government providing guidance when requested by the communities.

4.8.1.4 Financial accountability (tracking, reporting, auditing and evaluation, return on investment) for individual ACAP organizations (Financial Management)

Again, members were divided in the survey on whether financial accountability for individual ACAP organizations is led exclusively by communities (43%) or if government is providing support in this function (48%). The group is similarly divided on what should occur in the future, with 52% feeling government should provide support to the communities, and 43% feeling communities should lead the function exclusively. This question too, was explored with the interview participants to tease out underlying bases for their opinions.

The data indicate that the division is likely caused by varying degrees of interpretation of this function. From the perspective of the accounting and reporting work that is required for financial accountability, it is solely the responsibility of the communities to keep record of where and how they spend their money and report back to the office in Dartmouth (as per the conditions specified in their annual Contribution Agreements). Government has put checks and balances in place which must be followed and adhered to, although there was some debate about whether those existing checks and balances are too strict or not strict enough. From the perspective of the overall accountability of the funds, interviewees recognized that government has the responsibility to report to the public on how their funds are being used. In that respect, it is a joint effort. This idea will be discussed again under the heading “Community-Stakeholder Relations and Civic Engagement” (Section 4.8.1.10).

4.8.1.5 Mentoring of other similar groups (e.g. other watershed-based groups) (Human Resources Management)

Survey participants are split on whether the function of mentorship for community groups outside the ACAP family is one that should be the responsibility of the communities exclusively, or whether the government could or should play a supportive role (tied at 43%) in the next five to ten years.

Exploration of this function in the interviews created some discussion about resources and funding, and whether the ACAP sites can (due to capacity issues) or should extend themselves to other local watershed groups. From the community perspective, other local groups are competing for the same non-ACAP money as the ACAP sites and there is concern that mentoring these other groups may dilute ACAP’s strong position as “the #1 group in their region.” The data indicate that most respondents feel that government’s role in this function might be to identify and/or connect the groups and make a request of the ACAP site to provide assistance. In return for specific and significant mentoring tasks, the site would anticipate funding from government to cover expenses. An

additional perspective is that government (Environment Canada) can provide basic safety and protocol instruction (i.e. field training) to other local groups who can act as additional resources for the local ACAP program. Overall, government's role can support and facilitate mentoring with limited hands-on involvement.

4.8.1.6 Securing, building and maintaining partnerships at the individual ACAP organization level (Partnership Management)

Survey participants were divided on two of the partnership management functions, the first of which deals with partnerships at the local level. Currently, 48% of members feel government is providing support while another 45% feel that communities are handling it on their own. In the coming years, preferences are still split, with the percentages changing to 45% to 50% respectively.

As was discussed previously under the heading "Strategic Management", it was reiterated in the interviews that communities know themselves and those living in their local areas better than anyone else, and that the function of building and maintaining partnerships is best handled by the communities themselves. A broadly expressed view is that "partnership management is a dynamic and personal function that would not work as a government-imposed program." This is not to say, however, that government does not have a role to play. The support that government can offer – which might be offered at the community's request – involves broad networking tasks such as opening doors, adding an increased level of validity to the organization and the program, and acknowledging and respecting the voices of potential and existing partners. Interview participants felt that government members may play a somewhat bigger role when the partnership extends beyond the local community. One functional suggestion was for the provision of meeting spaces and/or refreshments for community/partner meetings. Overall, ACAP Windows can be sounding boards for communities, offering advice and helping to strengthen approaches when requested.

4.8.1.7 Building and maintaining trust among stakeholders (Partnership Management)

The second partnership function that created division from the ACAP members in the survey was the function of building and maintaining trust among the various stakeholders. Currently, 41% of members feel communities are handling this role, while 34% feel government is lending support (another 14% feel the function is being led by government and supported by communities). Looking ahead, 41% still believe that communities should be exclusively responsible for building and maintaining trust with their stakeholders, while 45% believe government should be involved in a supportive role.

The interview participants expressed that the term and the function of “trust” is something difficult to plan for and evaluate since trust is built mutually during every interaction with a partner. Most interview participants indicated that, since the community groups typically have more regular, day-to-day interaction with their stakeholders, trust really begins with the community members themselves. They indicated that involving government can have two differing impacts: it can add validity and legitimacy to the program, or it can carry baggage of past experiences and incite criticism and scepticism. It was also pointed out that government is a stakeholder as well, so – if they are at the table – they are building relationships and trust anyway. The interviewees indicated that government can participate where appropriate by having open and honest exchanges of information with boards, for example.

4.8.1.8 Sharing experiences and approaches with local ACAP stakeholders (Networking)

Most ACAP members in the survey feel the function of sharing ACAP experiences and approaches with local stakeholders is currently being handled exclusively by the community (66%, compared to 27% who feel government is collaborating with communities by providing support). In the future, 43% of members want communities to continue to lead the function, but with support

from government (52% want communities to continue handling the function exclusively).

Overall, the interview results indicate that there is a sense that greater communication will lead to greater awareness and understanding of the unique strengths of ACAP. Despite the acknowledged value of sharing experiences and approaches with local stakeholders, it was also acknowledged that groups are currently not excelling in this area. They indicated that it might help to have government provide guidance and outline expectations for addressing this function. Interview participants noted that resource materials used to present the strengths and experiences across all ACAP sites are needed to communicate the value of the program beyond their own communities; this is another possible place that government can assist. It was also expressed that government can facilitate the exchange of information by assisting in setting up meetings and/or presentations. At least one government member believes that “they have no role to play in this function”, and that “sites have been established for 16 years or more so they should handle the function independently.” If communities set up meetings or presentations independently, government could attend but only if invited. It was also pointed out that government would have a more logical role to play with regional stakeholders as opposed to community-based stakeholders.

4.8.1.9 Media Relations and Engagement (all functions)

According to the survey, the responsibility for media relations and engagement lies solely with the communities for all functions explored. These functions have been handled by communities themselves with little involvement of government. As the results of Phase 1 showed, there is an increase in the percentage of ACAP members who prefer for each media function to be led by the communities, but with support from government in the future.

Rather than asking about each function independently, the interview questioning was related to the overall trend for more support from government for media

relations and engagement. There were some specific ways respondents thought government could assist including: utilizing some of the exceptional media capabilities of Environment Canada personnel, providing regular media training, giving access to an individual who can field questions about media relations (a non-financial resource), and checking on things such as facts, titles and governmental terms.

Additionally, there was a view expressed that government might be best used at the regional, national and international levels to promote unified messages about the program to new groups that individual community sites cannot currently reach. Locally, however, respondents felt that the communities are best suited to continue with media relations functions due to their unique knowledge of their market, their position with their local ACAP community, and the context they can provide. It was also pointed out that communities have greater freedom in media relations and engagement as they are not restricted by government bureaucracy and approval processes. Also, participants felt that government should keep a healthy distance so they do not take the well-deserved recognition away from the members within the communities who are responsible for the success of their program.

4.8.1.10 Reporting to the public on activities and accomplishments of the ACAP organization (Community-Stakeholder relations and civic engagement)

The survey data indicated that currently, 48% of members feel that communities are solely handling the task of reporting on activities and accomplishments of the ACAP program to the public. Another 41% believe that government is currently providing support to communities (who are leading the function). In the next five to ten years, expectations do not change. This ambivalence in the survey results inspired a more thoughtful exploration through the interviews. As participants were divided on the responsibility for this function, they were asked whether this

function should be handled exclusively by the communities or if there should be government support.

The interview participants indicated that the function of reporting to the local public on local ACAP's activities and accomplishments should primarily be the responsibility of communities themselves while communicating program-wide accomplishments and activities should involve Environment Canada. Government can either initiate or support these larger communications initiatives (depending on the nature of the information and the audience being targeted). Interview participants felt that government would be better positioned to present unified and consistent messages about the program overall to the broader public.

There was a sense expressed that more effort should be put toward promoting and increasing awareness of the program overall. Tactically, this could be improvements and maintenance of a central website along with updates to individual sites that may not be regularly maintained. Although tools for communication may currently exist, it was acknowledged that the practice of regular communications to the broader public is not consistent or institutionalized.

4.8.1.11 Influencing government policy at the municipal and provincial level (Political Relations)

The survey data indicated that there is an increasing interest in the federal government becoming involved in the task of influencing *municipal* government policy in the future; currently, 23% of members believe government is playing a support role but 48% want to see government providing support in the future. There was also an increased interest expressed in government assisting communities in the task of influencing *provincial* government policy (an increase from 25% who responded this way currently, to 45% desiring the responsibility structure in the future).

The interview participants recognized that there are legal, jurisdictional and ethical issues around the federal government (Environment Canada) getting involved in provincial and municipal politics. They expressed that while communities are looking for support from government, government cannot be seen to be “playing favourites” to ACAP over another program. Although there have been some efforts to date in engaging these two levels of government, relationships between federal and provincial levels of government are not always conducive to productive collaboration.

In terms of influencing specific policies, interview participants thought that there may be opportunities for government to influence municipalities and provinces if the federal priorities are aligned with the community’s interests. Also, there may be some topics or issues that are universal and can be supported by ACAP’s government members such as investment in sewage treatment or water quality. Additionally, some government members acknowledged that Environment Canada can provide education and guidance on the structures of the various levels of government, the processes and responsibilities; they can essentially work in the background to put communities in the best position to make the most impact but should not be seen as being overtly influential.

4.8.1.12 Securing political support for identified priorities (Partnership Management)

The increased interest in government providing support to the communities also extends to the area of securing political support for issues that have been identified as priorities. The survey data showed that currently, 52% believe that communities are leading this function exclusively and 23% believe government is providing support. In the future, 45% believe communities should be handling the function, while 43% believe government should be involved in a support role.

The topic of political support was also one that created debate in the interviews about the appropriateness of federal government involvement and the care with

which any group must proceed in this arena. It was pointed out in the interviews that ACAP sites cannot lobby the government⁵⁵ so instead they educate and inform their local and provincial governments on issues and initiatives. Because communities do not operate in a bureaucratic fashion, there can sometimes be greater flexibility in all functions including this one. Again, if the priority is a federal one, participants felt that Environment Canada can become involved in opening doors and facilitating discussions, proceeding with care to coordinate any independent efforts with the various community groups that may be proceeding in the same direction. Both community and government actors recognized the importance of being non-partisan in any political relations in which they may engage. Most respondents in the “government” category felt that this function should be in the hands of the communities.

4.8.1.13 On community taking greater lead/responsibility (Government/Bureaucratic Relations)

Across the various functions in the category of government or bureaucratic relations, the survey participants indicated an increased interest in communities having greater involvement, whether it is to provide support to government, or to lead (either exclusively or with support *from* government).

The uncertainty over the future of the program (see Section 4.8.1.15) and the desire by some for communities to take greater responsibility for the program overall, mean that there are a number of members who are interested in the community having greater involvement in the bureaucratic processes (e.g., promotion of the program or bringing strategic issues to light with their government partners). Many of the community members have been involved with the program since its inception (confirmed through the initial questions asked in the survey) and have a large volume of knowledge and experience with the functioning of ACAP.

⁵⁵ This is stated in the individual ACAP organizations’ legal constitutions and in the annual Contribution Agreements that Environment Canada signs with the ACAP partners.

There are significant concerns expressed by both government and community members that communities becoming too involved “in the business of government” might be detrimental to the relationship between government and community as “turf wars” might result if the lines are becoming blurry. Community members acknowledge that they do not have the skills to “move in and take over”, but the message they are trying to make is that they would like greater opportunity for input and consultation in the functioning and future of the program. This, combined with the complexity and bureaucracy of government, means that the majority of interview participants were of the opinion that government should continue to lead the more complex bureaucratic relations, but collaboration and partnership with communities is logical in some areas. They thought that community members could potentially have greater involvement in their own communities and on smaller scales.

4.8.1.14 Rewarding compliance at the local level (Regulatory Compliance and Enforcement)

The online survey indicated that the responsibility assignment for the function of recognizing and rewarding compliance within the community is unclear. Looking ahead, 43% believe the government should lead the function with support from the community, and 41% believe the community should lead with support from the community.

The interviews with members strengthened the finding that community and government ACAP members must work together to reward local compliance. The slight preference is that individual organizations should take the lead for local activities related to local initiatives at least optically: they gain credibility with the recipient of the reward/recognition and they gain credibility within the community. However, since community groups are not in the business of laws and enforcement, information from the government regulatory body about positive actions is important. Because communities do not have much in the way of tangible resources to produce significant monetary prizes, the rewards would

likely come in other forms such as public recognition⁵⁶. Environment Canada can also play a role in the recognition through activities such as posting short notes about the reward/recognition on the website (which the department does on its ACAP website).

4.8.1.15 Additional Lines of Inquiry

In addition to the specific categories of management functions explored in the preceding questions, a series of additional topics were explored with the interview population. These included questions around (1) communities taking on even more responsibilities; (2) legally transferring responsibility to communities; (3) the evolving government-community relationship (at a time when the program is being forced to change); and (4) opportunities and barriers. This section is followed by a summary of overall observations and findings.

4.8.1.15.1 Communities taking on more responsibility

Interview participants were asked to comment on an overall sense of there being a desire for communities to take on greater responsibility. The drivers for this shift are related to the uncertainty of the program in the future. They expressed the view that since community and government members alike are not sure what ACAP will look like down the road, a logical option for survival involves the ACAP organizations becoming even more self-sustaining. While the evolution toward greater sustainability seems to be a logical part of the maturity process and most are supportive of this direction, a few voiced concerns about letting communities “fly solo” since government also provides valuable non-financial support and advice and direction upon which community groups continue to rely. Several interviewees also noted that the program previously allowed communities to be more autonomous in the past, but that the move to centralization in Ottawa is removing some of the community’s independence.

⁵⁶ One of the groups reported an initiative in which they attempted to catch people and organizations ‘doing something right’ (e.g., recycling, protecting habitat on their properties) and giving on-the-spot recognition.

4.8.1.15.2 Legally transferring responsibility to communities

Participants were also asked about the idea of formally delegating responsibility for management functions to the communities, which would involve a legal transfer of responsibility. No participants could readily identify a situation or function where it would make sense for responsibility to be legally shifted to communities. One respondent indicated that media relations might be possible to be delegated to the individual communities, but overall, participants thought that legal delegation implies a complex arrangement for a situation that has been working relatively well thus far. There were also concerns expressed about how or why this would occur and what it would mean for the future of the relationship. The “family” approach to ACAP has worked well because of its sharing, collaborating, collective partnership. The relationship between the two groups would likely change significantly, with doors closing and much of the “organic ebb and flow” ceasing to exist.

It was noted that delegating responsibility also means delegating the corresponding funding, but it was understood that government would still require accountability on how funds are used. Management functions such as enforcement and compliance are examples of those that would be quite expensive to fund. Government would also need to include a strong system of checks and balances to ensure responsibilities are being up-held, meaning that communities would continue to be accountable to government. Those interviewed felt strongly that imposing the necessary structure of checks and balances might lead to an increased need for administrative resources and decrease in the community groups’ flexibility and that this might impede the groups’ ability to respond to the accountability requirements of other non-EC funding partners. It was also expressed that legally shifting responsibility would also blur the lines between community and government in such a way that communities might lose their credibility as an independently-operating body. The overall perspective to the idea of legally transferring management responsibilities

to communities is: “if it’s not broke, don’t fix it”. This is not to say that there could not be further discussion about how this idea might possibly be modified.

4.8.1.15.3 Relationships and the Future of ACAP

4.8.1.15.3.1 Community members

From the community perspective expressed in the interviews, the relationship between community groups and Environment Canada (EC) is positive in many ways. Respondents indicated that EC is a valuable resource that provides access to knowledge that they would otherwise not have, it has been a constant and guiding partner in the relationship, and has given advice and offered alternative perspectives and ideas. Personal relationships between the individual community sites and the ACAP office in Dartmouth are felt to be generally strong with good communication, mutual respect and “creative tensions” (as described by one community member); differing opinions and perspectives between members can be very rewarding when shared and considered within a respectful context. Another community member described EC as “a light spot in the federal government” and noted that strong, warm friendships have been built.

The relationship is, however, currently evolving, with increased bureaucratic and administrative requirements and longer decision-making processes. Some feel that decision-making processes have changed from a very collaborative approach to an “us-versus-them” hierarchical situation. There is a push and pull between EC increasing its control and the sites maintaining their flexibility.

Community members were also asked to comment on the relationships between Executive Directors and members of their boards of directors. Across many sites, it was reported that the boards rely on the expertise of their Executive Directors and usually avoid micromanaging. Typically, the EDs provide information to their board, the board engages in debates and discussion and then makes final decisions by consensus on smaller items and voting on larger decisions. On day-

to-day decisions such as staffing or small financial decisions, Executive Directors are given the autonomy to act in the best interest of the group.

4.8.1.15.3.2 Government members

From the perspective of government members interviewed, the relationship between themselves and community members is mutually respectful and beneficial with open lines of communication between the individual sites and the ACAP office in Dartmouth and the Windows. There is recognition that the connection with the ACAP community groups results in EC's reach being multiplied, facilitating a greater volume of positive work than the department could do on its own. The idea of a multi-disciplinary approach means that a diverse group of people get to work together in ways that traditionally might not occur. The relationship was described as a trusting partnership, and that members have like-minded goals and views and share similar passions. Government members have been cognizant of the need to respect community capacity and give communities the space they need to function effectively.

The interviewees consistently acknowledged that the recent stress on all parties relating to funding delays and uncertainty about the future of the program has caused a dip in the sense of partnership and level of trust between the two groups. Also, because EC has encouraged communities to work relatively independently on locally-defined initiatives, EC does not have the authority to step in and help ensure all sites are succeeding equally (some sites are thriving while others are maintaining the status quo or might be struggling).

A number of government members interviewed felt they were not knowledgeable enough to provide more than a cursory impression of the relationship between the Regional ACAP office in Dartmouth and Environment Canada Headquarters in Ottawa. Those who did comment felt that the recent shift from regional to centralized structure has been challenging. Additionally, there was the

impression that EC Headquarters does not fully understand or appreciate the nature of ACAP since it is a different model and is small relative to other national or regional initiatives across Canada.

4.8.15.4 Opportunities and Barriers

Asked to think about the future of ACAP, interview participants were invited to offer their opinions about the opportunities and barriers that are facing the program. One of the most commonly noted opportunities is for ACAP to share perspectives on its strong network, unique approach and the program's successes with other jurisdictions regionally, nationally and internationally. The ACAP approach can be expanded to other areas, giving the program a higher profile. Some community members noted that they have had success in their diversification and putting themselves in a self-sustaining position, which they want to teach to other groups. Another opportunity identified is the increasing importance and value placed on environmental responsibility. The topic is higher-profile than ever before and is not losing steam and this may mean increased awareness, openness and aptitude for tackling new, possibly larger-scale issues and projects.

Several members also mentioned the establishment of "ACAP Inc.", a regional network of ACAP sites to share information and purchase supplies/products cooperatively to help save money. ACAP Inc. is still in the inception stages, but those who support the idea believe it may be a solution for a number of issues facing the ACAP sites⁵⁷.

The barriers that members anticipate encountering in ACAP's future mainly relate to their uncertainty about the future of the program. Some feel there is a

⁵⁷ The ACAP Executive Directors met together in Halifax in early August, 2009 (with some financial support from EC) to further develop this concept and are preparing a proposal to submit to Environment Canada and other government departments later in the year. Sheldon Peddle, Executive Director, Humber Arm ACAP Inc., pers. Comm., August 12, 2009.

perception nationally that ACAP is a relatively small program that is not overly valuable, and may be misunderstood from a federal perspective. A recent re-organization within Environment Canada also has led to uncertainty about the priorities of the new senior managers and whether those individuals will continue to support ACAP as it currently exists or if changes will be made to the program and/or the funding structure. There are also concerns that ACAP is being “reigned in” by Environment Canada and that the program will become “just another government program” with increased restrictions and protocol to follow. In the opinions of several members, this would mean less flexibility of the program, which is strongly felt to be one of the unique characteristics of the program and a point of pride for members.

Despite the confidence some have in their ability to carry on regardless of changes to the program, a loss or reduction of annual EC funding would create significant stresses on the individual sites, and smaller or newer sites (that may not have had an opportunity to establish themselves, such as the two new sites in Labrador) could end up closing. Decreases in funding from Environment Canada would also mean increased competition for other sources of funds. Increased competition for funding would mean increased competition between individual ACAP sites which could create tensions between groups that should instead be focused on collaboration and cooperation.

Both community and government members noted that – while there is a great deal of loyalty and legacy within the program – there is the perception that a lengthy involvement in the program might result in fairly strong resistance to change by some members. As the program continues to evolve, members may have varying degrees of difficulty removing their personal ties to the program and viewing change objectively. As one member noted, “resistance to change is human nature.” So many people have taken personal interest in the success of the program and feel passionately about the work that is being done that it is logical that any significant transformations will be difficult.

4.8.16 Key Findings (Depth Interviews):

(1) Generalizations are difficult to make, even within the subset categories of “government” and “community”. Each participant’s view of the program and the current situation is shaped by their experiences and personal interactions, so blanket statements become difficult; exceptions almost always existed across participants.

(2) Each community site is unique, as are the individual members of the ACAP family. Each member brings unique experiences, talents and opinions to the ACAP program. Many people are very committed to the program and their work, and have a passion to see ACAP continue to succeed. They feel a great deal of ownership and responsibility to the continued success of the program as it matures and evolves. Many partners strongly believe in the ACAP model as a different, innovative, effective approach to community-based environmental issues with much to teach to other jurisdictions.

(3) The community sites enjoy a great deal of autonomy, which is one of the elements that seems to make the program so successful. Participating partners also recognized that the program is rather organic and evolves with the personalities of the parties involved. For example, if a Board of Directors is highly engaged and involved, the focus might shift more toward the community as long as that board continues to be active.

(4) Government has the challenging job of striking the delicate balance between structure and process, while still facilitating autonomy and flexibility in the program. Government has been, and can continue to be, successful in providing administrative support and structure to the community sites. Communities acknowledge and appreciate the plentiful access to resources and expertise that government partners can provide, and recognized this as a strength in the

partnership. Imposing overt structure on the program would remove a large portion of what was described as making the program unique and successful.

(5) To most, ACAP is neither a community program nor a government program. To most, ACAP is a collaborative program that is directed by the community and supported by government, who provide structure and funding. In its current state, several noted that the program could not exist without the resources and funding from Environment Canada, nor without the hands-on, practical involvement of the community members; the relationship is interdependent. There are some who feel that government should be “reigning-in” the communities to push the program in a new direction (i.e., increase direct and inflexible alignment with core government priorities).

(6) Good communication and strong relationships were deemed by most partners to be the largest strengths among and across all levels of ACAP (Environment Canada, ACAP Dartmouth office, Windows, Board of Directors and Executive Directors). The many strong partnerships and personal connections (as well as healthy tension) between partners were noted as being the glue that keeps the program together, especially during times of uncertainty.

(7) The ongoing uncertainty of the future of ACAP creates anxiety. There are concerns that ACAP will lose its uniqueness and become ‘just another government program’, or that government will cease to support it completely. This has led some community sites to increase their level of independence (by seeking other sources of funding and resources, for example), while others feel community groups should band-together to create strength in numbers to ensure the sustainability of the program. The sites that have matured and become fairly independently functioning seem to have less anxiety about their future.

(8) Ideals for the ACAP into the future are varied. Partners are divided on whether the individual community organizations should move toward a more

independent model (with less reliance upon government resources) or whether they should continue to work within the ACAP framework. All acknowledge that change is on the horizon, that there is no single clear direction that they all should follow, and gaining a consensus would be near impossible.

4.8.17 Summary

It is clear from the combined results of the initial on-line survey and follow-on interviews with the community and government actors in ACAP that the relationship that has evolved between the government and community actors and institutions is mature and that respective and shared roles and responsibilities have been sorted out over time. This research has confirmed many of the assumed lead responsibilities for functions and shed new light on how the actors see this relationship continuing to evolve in the future. Chapter 5 explores these trends in more detail and puts them in context with the related literature and experiences from similar programs worldwide.

Chapter 5 – Power Sharing Roles and Responsibilities

The distribution of responsibility for carrying out key functions in a collaboration reflects the extent of power-sharing among the partners.

Rodal and Mulder, 1993

5.1 Introduction

This chapter builds on the results of the case study analysis in Chapters 3 and 4 and places these research findings within the context of a broad academic, grey and professional literature on government-community collaboration from several diverse disciplines. The objective is to discern the underlying nature of power sharing roles and responsibilities in this thesis's subject area of focus – government-community hybrid governance partnerships. More specifically, the role of government in these relationships will be explored, examining the roles of government institutions and actors, the motivation for shifting roles for government in community-based management, and how the case study data support this trend. The specific management functions that government is willing and able to share, the perspectives, behaviours and attitudes that are required in such a shift, and the government capacity, commitment and accountability implications in such power sharing relationships is discussed, with summary conclusions drawn from this analysis. These are further explored and concluded in the final Chapter 6.

Many different authors (e.g., Koontz et al., 2004, Armstrong and Lenihan, 1999, Bellehumeur, 1998, Langford, 1997, Rodal and Mulder, 1993, Treby and Clark, 2004, Plein et al., 1998), from a variety of disciplines (e.g., fisheries co-management, environmental planning, forestry management, public sector management), have written extensively about the general nature of government and community collaboration, but significantly less on the appropriate distribution of responsibilities therein. Thus, there is still much to be learned in this regard.

This literature is replete with the sense that the role of government is changing as society becomes better 'articulated' – in that many more centres of authority and responsibility are emerging, close to those who, as Margerum (2002) describe, are most affected by particular issues. As a result, there is less scope for government to continue to be an authoritative ruler, and compelling reasons for government's role to become more one of what Boss (2003) describes as 'coordinator and broker' in meeting the needs of society. As Rodal and Mulder (1993) state, this development makes partnership arrangements a natural option. Government can still continue to be a leader in its facilitative role and retain substantial decision-making authority for policy development, if it establishes effective formal and informal mechanisms for engaging stakeholders and encouraging wide ownership in seeking out solutions.

There is also a sense within government that its agenda is overloaded – that it does not have the resources or expertise needed to address some major issues and that it has taken on some activities which can probably be better accomplished with, through or by, others (Langford, 1997). At the same time, there is a heightened awareness among citizens that government is there to serve them, both as guarantor of the larger political process and as a provider of services. Citizens expect government to be more responsive to their concerns and they expect to have a more direct role in governance (Venton, 1997). Thomas (1999) posits that it's about re-aligning the fit that is, moving away from representative structures and towards those that are more directly participatory.

Given that the traditional role of government is as expert, manager, enforcer, etc. (see Figure 18); collaboration implies significant changes in the way that governmental agencies and actors engage in environmental management. To some, it may be paradoxical to imagine a governmental

role in collaborative environmental and coastal management as anything other than what Koontz et al., (2004) describe as “getting in the way” or “getting out of the way.” After all, collaborative environmental management often is described as a grassroots, bottom-up endeavor—the antithesis of government-directed management and regulation (Oakley, 1991). But governments rarely leave the picture entirely; in fact, they often play a central role in the creation or development of a collaborative effort (Murdoch and Abram, 1998).

The ‘governance hybrid’ model⁵⁸ that is the focus of this thesis, speaks to the need for community, but most importantly government institutions and actors, to make some fundamental shifts in the ways in which they perceive themselves and are perceived by the other parties. Equally, they must change the ways in which they behave and interact with each other, and the expectations that they hold for their partners. The resources they bring to the partnership and their shared goals and objectives at the local coastal ecosystem scale are also evolving. These premises are explored in the sections that follow.

5.2 The Role of Government

Governments must accept that they cannot and should not do everything and that what they do, need not be done by them alone.

Armstrong and Lenihan, 1999

⁵⁸ Coalitions that include representation from the public sector are ‘governance hybrids’, mixing non-government and government decision-making power in representing diverse stakeholders or constituencies (Himmelman, 2001). Moore and Koontz (2004) claim that the hybrid model combines the best of both models (government-directed and citizen-directed) and is recommended for most watersheds.

5.2.1 Institutions and Actors

While this thesis broadly categorizes two main groups of actors – government and community – there are important sub-sets within these groups. Government must be seen both as institution and actor, each with its own set of roles, responsibilities and accountabilities (Lasker et al., 2001; Hudson and Hardy, 2002; Robinson, 1997). Governmental actors and institutions, together or separately, constitute governmental roles in a particular collaborative effort. Governmental actors and institutions are also interdependent, in that actors shape institutions and institutions shape actors (Koontz et al., 2004).

Government as institution is the structures, processes, rules and norms of the administrative state (Armstrong and Lenihan, 1999), while government as actor, is the flesh-and-blood employees, who take action within the context of institutions. Communities too, can be sub-divided in this way (Lasker et al., 2001); community as institutions (community-based organizations) and the even more diverse component actors (in the case of ACAP, Executive Directors, Board of Directors members, field staff, non-governmental partners, volunteers, etc.) that are characteristic of these multi-stakeholder collaborations. This analysis, however, is focused on the role of government in these partnerships.

Governmental actors in community-based collaborative coastal management are both bound by institutional constraints and enabled (to varying degrees) to interpret and communicate government priorities and perspectives to their community partners. Donaldson (1994a) asserts that organizations that seek to empower coastal communities need to empower their staff first. There needs to be a degree of trust in those staff that are

prepared to take risks to achieve goals and staff need to know that managers can be trusted to support them when necessary.

Institutional commitment to partnership working is more likely to be sustained where there is individual commitment to the venture from the most senior levels of the respective organizations. Without this, Hudson and Hardy (2002) claim that it is possible that the efforts of partnership enthusiasts holding middle and lower-level positions will become marginalized and perceived as unrelated to the 'real' core business of each separate agency. In this sense, the level of involvement of organizational partners may depend on the authority that organizations grant to their representatives. These representatives may be more effectively involved if they have the authority to commit their organization's resources or staff to the partnership, and if their organization gives them adequate time and resources to fulfill their obligation to the partnership (Lasker et al., 2001). That is, Government as institution supplies incentives for collaboration, and government as actor helps to sustain and implement a planning process. In the ACAP case study, the program is supported nationally (as one of six Ecosystem Initiatives), is delivered regionally through a delegated lead (ACAP Office) and implemented through empowered departmental representatives (Windows). The Windows speak for the department and participate as legitimate stakeholders (to the communities) and serve as on-the-ground intelligence gatherers who bring back important insights (to the department) on local priorities, multi-stakeholder dynamics and partnership opportunities.

Freedman (1997) notes that the relative influence of governmental actors and institutions is likely to vary from one collaborative case to another. Institutions do not entirely constrain actors, although Koontz et al., (2004) state that rational choice and historical institutionalism differ in how much autonomy they attribute to actors. In particular, operational staff often

possess the capacity to 'make or break' shared arrangements in that they have considerable contact with outside bodies and often enjoy discretionary powers and considerable day-to-day autonomy from their managers (Hudson & Hardy, 2002). Partners need to be able, on the one hand, to show each other that they are doing their fair share; on the other hand, they also need to be able to show those within their parent organization that they haven't 'given away' too much, or, as Armstrong and Lenihan (1999) somewhat indelicately state, 'sold out' or 'gone native'.⁵⁹ A well developed strategy on partnership will, therefore, count for little unless links are made between the macro and micro levels of organizational activities.

It is important to remember that governmental actors are embedded in the institutions that they represent. As a result, their participation in collaborative environmental management initiatives can be constrained by policies, procedures, and politics, but they may exercise some discretion toward supporting and sustaining the collaboration financially (Koontz, et al., 2004). Additionally, governmental actors serve as key voices for the agencies and institutions they are representing, as well as conduits between the collaborative efforts and those agencies and institutions. Government personnel participate in the collaborative efforts and demonstrate individual levels of commitment. Because of their institutional ties, however, governmental personnel vary in the level of independent action they can take, including the extent to which they comfortably can maintain positions that are distinct from prevailing institutional norms (Bellehumeur, 1998). These actors interpret, extend, confront and implement existing institutional mandates and perspectives. Many of them demonstrate independent thought and action and influence both group structure and decision-making processes (Murdoch and Abram, 1998).

⁵⁹ This is a pejorative term that often refers to indigenous peoples; more respectful usage (if at all) might be 'going local'.

As participants, governmental actors bring their individual perspectives, personalities, skills and needs to collaborative groups and endeavours. As such, governmental actors can choose to take action in certain collaborative processes, including challenging the rules and norms of their organizations to enhance or reduce collaboration (Margerum, 2002). As such, these government actors are not simply individuals who carry out the formal rules or embody the social norms of the agencies within which they work; they have the ability to shape those norms and rules and to act outside of them in these collaborative partnerships (Bridger and Luloff, 1999). It is important to understand this distinction.

As actors, government personnel often take the role of stakeholders and frequently are just one voice among many. This is the case with the ACAP 'Windows' who sit as *ex-officio* members of the local ACAP Boards of Directors and carry, ostensibly, equal but not superior weight in these partnerships. Lasker et al (2001) and Robinson (1997) have demonstrated that such individuals sometimes act independently of their governmental agencies. At other times, they served as agency representatives, and thus the roles they play as actors in the process are bounded by institutional mandates and forces. Boss (2003) and Thomas (1999) observed that governmental actors contributed to the efforts' environmental outcomes by helping participants to be innovative, providing information and securing resources. ACAP Windows are the 'face' and 'voice' of the department, communicating government policies and objectives to these local partnerships, but also participating as legitimate stakeholders in identifying and addressing local priorities and developing recommendations for changes that are felt to be necessary within government programs.

Governmental officials often increase social capital and trust by bringing their expertise to the collaborative efforts, including scientific understanding and regulatory knowledge. They provide the local group with access to key

networks beyond their area of focus and reach, as well as new networks with fellow group members that persisted outside the collaborative effort (Koontz, et al., 2004).

Finally, agency actors can play important roles in cultivating organizational capacity at the local level and enabling strong local responses through the channeling of needed resources. The approaches agencies can take to drive community-based efforts are numerous. Agency actors can be involved in and even drive a community-based effort, but this association calls for a different role than agency actors have played traditionally. In contrast to the top-down, command-and-control, inflexible bureaucracies that have been associated with environmental management, community-based efforts require flexible responses and a more decentralized approach within a collaborative setting (Boss, 2003, Venton, 1997).

5.2.2 The Shifting Role of Government

A strong state is not top heavy with an arrogant and cumbersome bureaucracy; it is rather an agile and responsible state, accountable to its citizens. It is a state that rests on the strong support of an inclusive democracy in which the powers to manage problems that are best handled locally have been devolved to local units of governance and to the people themselves, organized in their own communities.

Friedmann, 1992

It is increasingly clear in these collaborative partnerships – where the emphasis is on empowering and supporting community-based, multi-stakeholder coalitions – that the role of government – both as institution and actor - is appropriately described by Kooiman (2000) as ‘shifting’ as opposed to ‘shrinking’ over time. It takes two to have a partnership and government remains an essential partner in these collaborative approaches. But perhaps more than any others, Plein et al. (1998), Himmelman (2001) and Watson et al. (1996) assert that government must

make some important shifts in its perception of itself, its attitude toward its non-government partners and the way it interacts with and supports the partnership.

Throughout the literature reviewed and as supported through the case study research in this thesis, several important shifts are expected, indeed demanded of government if such relationships are to be successful. On the 'need to change' side, (Margerum, 2002; Rodal and Mulder, 1993; Noble, 2000; and Lowry, 2002) advise governments to shift from: (1) the traditional authoritative/paternalistic/ arrogant expert ruler, leader and doer approaches; (2) an attitude that clings to command-and-control, top-heavy, arrogant and cumbersome approaches; (3) an approach that dictates or prescribes short-term, one-size-fits-all agendas, priorities and timelines; and (4) a system that imposes unduly cumbersome, elaborate and time-consuming working arrangements and financial barriers that generate mistrust. Armstrong and Lenihan (1999) assert that many in the public sector now accept that too great a reliance on the traditional, hierarchical, command-and-control model limits what governments can achieve. This in turn, is encouraging governments to engage citizens and communities in new kinds of power-sharing arrangements.

Equally, new roles and responsibilities, or shifts in the way government perceives itself or is perceived by others, are strongly advocated. We are learning from analysis and experience (e.g., Moran, 1997; Thomas, 1999; Lasker et al., 2001; and Venton, 1997) that government must be – (1) a champion and catalyst, facilitator and networker; (2) a cultivator or local responsibility; (3) an active participant in local processes; (4) a funder and provider of expertise and advice; (5) a supporter of training and capacity building; and (6) a guarantor of accountability for these collaborative processes. Figure 18 depicts these traditional characteristics of government and the kinds of shifts that are expected and required.

Figure 18. Shifting Roles of Government in Community-based Management

| Traditional Role of Government | Role in CB-ICM |
|--|---|
| Representative structures | > More directly participatory structures |
| Command-and-control approaches | > Facilitator, partner, supporter |
| Top-heavy and arrogant | > Agile and responsive state |
| One-size-fits-all approaches | > Tolerance for asymmetry in programs |
| Implementer / Doer | > Broker, facilitator |
| Expert | > Learner, supporter of capacity building |
| Directing priorities and timelines | > Flexible, equal participant |
| Boss | > Active Participant |
| Paternalistic | > Guarantor of accountability |
| Authoritative ruler | > Champion |
| Leader | > Catalyst |
| Manager | > Networker |
| Enforcer | > Cultivator of local responsibility |
| Tokenism | > Funder |
| Cumbersome accountability requirements | > Trusting, assume more risk |

Yet there are legal and mandated functions and responsibilities that government cannot ignore, share or abrogate, despite the good-faith, collaborative nature of the business they are pursuing or their confidence in the partners with whom it works and supports. Langford (1997), Himmelman (2001) and Pomeroy and Berkes (1997) confirm that only operational authority can be devolved. These inalienable government authorities include: (1) broad policy formulation; (2) protecting the public interest; (3) providing services and resources to the public; (4) addressing issues beyond the local scope; (5) broad oversight; and (6) ensuring accountability for public resources through effective and efficient enforcement, monitoring, evaluation and reporting. Each of these is explored and supported in the sections that follow.

5.3 Case Study Results and Interpretation

So how then, do we reconcile these challenges and new expectations? The findings from the case study work described and summarized in Chapter 4, clearly show an attitude, shared by both government and community institutions and actors, to shift many of what are perceived as government management functions to the community-based organizations. This has happened to a significant degree in the ACAP, although not necessarily in an explicit or conscious way. Robinson (1997), Ellsworth et al., (1997) and McNeil et al., (2006) report that it was more of an organic evolution that confronted issues as they arose and developed and the partners implemented best-placed practice as it seemed to make sense at the time. This research has provided a hopefully important evaluation of the government-community relationship in ACAP, specific to a series of management functions that comprise the operation of the program. These insights and perspectives will be used⁶⁰ to inform and hopefully inspire a more explicit understanding of this relationship as it continues to evolve.

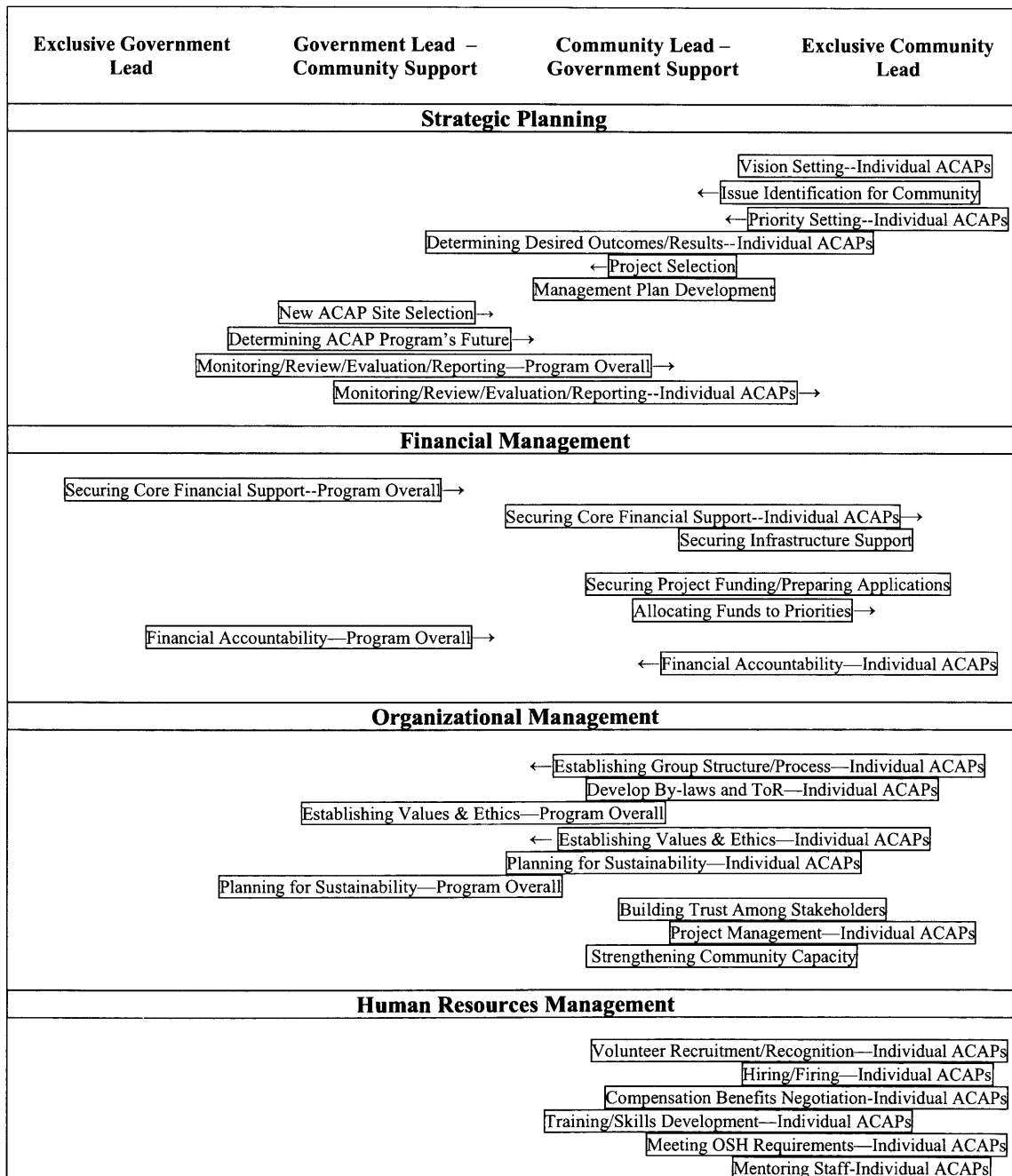
This shift is supported by the mutual confidence earned over almost two decades of collaborative partnership in the Atlantic Coastal Action Program and the empirical evidence from this thesis that demonstrates that the fear of sharing responsibility is largely unfounded, the efficiency and cost-effectiveness of community leadership, and respect for capacity built and leadership earned. Figure 19 below represents the combined results from this thesis's survey and interviews and provides a basis for clarifying respective and shared roles and responsibilities.

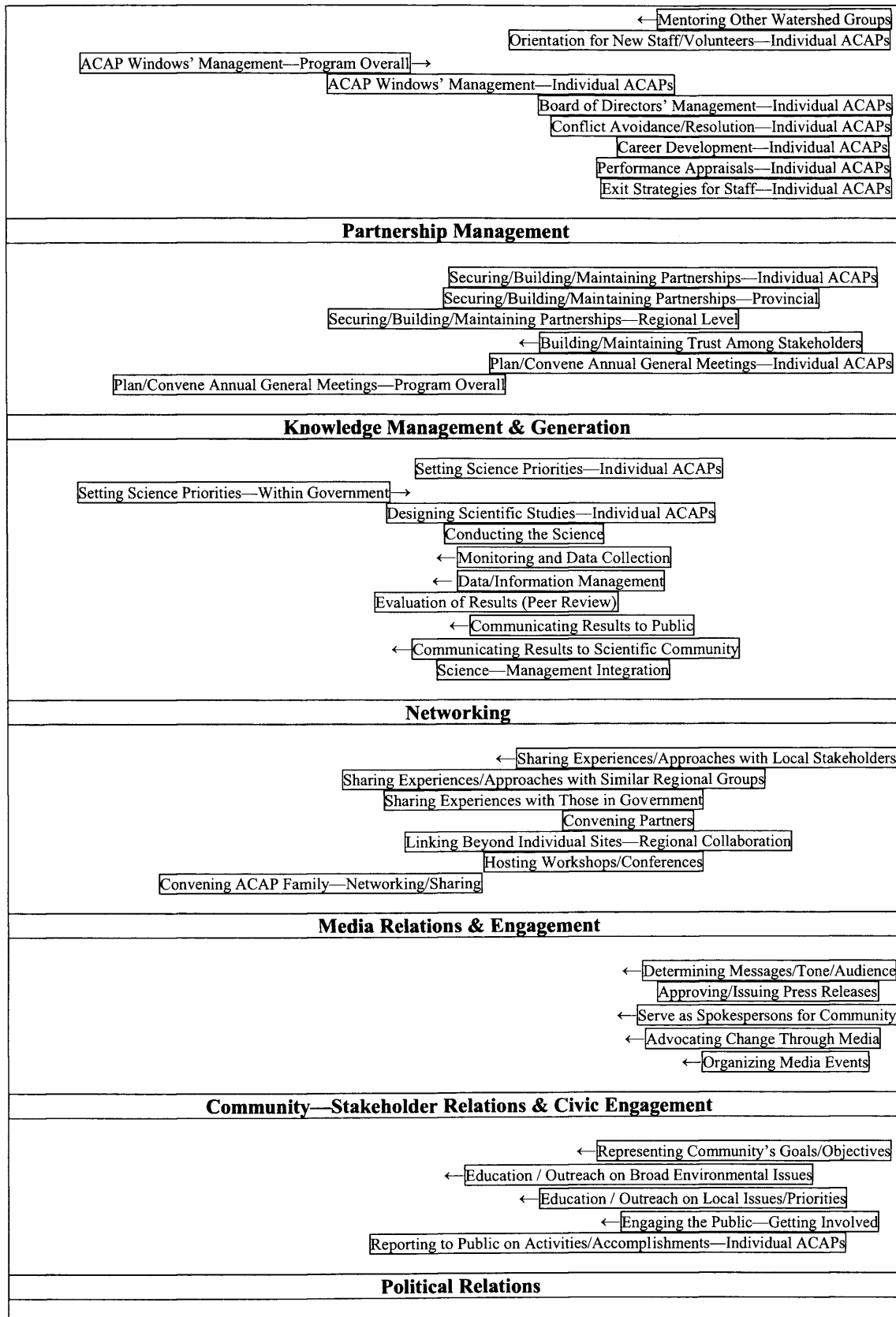
The center point of each management function box below indicates its location on the government-community spectrum and its positioning is based on the percentage allocation of responses to each of the four categories. Where the

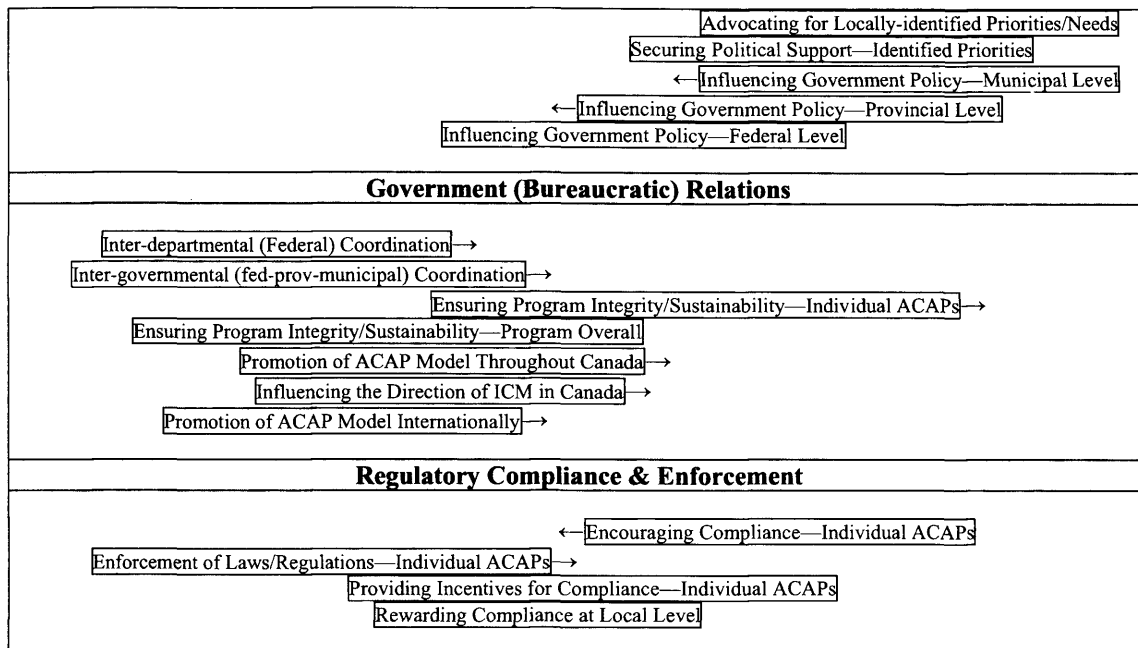
⁶⁰ Personal note – As the program manager for ACAP, it my personal commitment to share the findings of this research with the community and government actors in this program and to analyze the government-community relationship in a more informed and structured manner.

data indicated a desired shift in responsibility over time, an arrow to the left or right of the box is added. It is important to note that there were no significant differences of opinion among the government and community representatives surveyed and interviewed.

Fig. 19. Management Function Distribution from Combined Survey and Interviews Results







The results of the case study work (survey and interview data combined), as summarized in Fig. 19 above, clearly show a predominant tendency toward the community and a shared desire to shift many of the management functions still led by government in this partnership toward more involvement of the communities. For the majority of functions that are felt to be most appropriately led by communities, there is a clear trend in the data toward wanting government to play a supporting role. The overall trend is for most management functions to be collaborative, but with a few key functions best handled exclusively or predominantly by respective parties where they are best-placed to do so through mandate, capacity and trust. Clearly most of the management functions fall to a community lead, with government continuing to do what it does best (e.g., policy formulation, broad oversight, accountability for public resources) but with a view of involving the community in most functions. Clear and distinct divisions of responsibility did not emerge from the data and analysis, supporting the overall trend of most of the management functions having a role for both the community and government; i.e., to be pursued collaboratively.

The strongest areas of distinct government or community lead are in (1) relations and engagement with the media, (2) the political system and (3) civic society (community lead); and in (4) regulatory compliance/enforcement and (5) dealing with the bureaucratic system (government lead). All other categories of management functions are felt to be in, or should move toward, the collaborative part of the continuum. In the discussion that follows, each of the specific management functions within the 12 categories are analyzed and discussed to discern and highlight trends and tendencies beyond those presented and discussed in Chapter 4.

5.3.1 Strategic Planning

For Strategic Planning, we learned from the combined survey and interview data that the functions of vision setting, issue identification and priority setting at the local level are clearly identified as exclusive community lead, but with a desire to have more government support in the future. The functions of project selection, management plan development and determining desired outcomes/results are currently seen to be community-led with government support. The broader functions of selecting new community sites; determining the program's future; and monitoring, review, evaluation and reporting at both the local and program levels, are seen to be appropriately led by government with community support, but with a clear desire for a stronger community role in these processes in the future. This is consistent with the view of Armstrong and Lenihan (1999) and Cummings (1997) who suggest that collaborative partnerships lead governments towards 'results-based' management. That is, by focusing on outcomes, a government can leave choices open to its partners about the 'means' by which outcomes are to be achieved. In addition, by holding departments more accountable for program outcomes rather than for the specific approaches that are used to achieve them, results-based management permits the government to be more flexible in its approaches to program design and service delivery (Thomas, 1999). In an assessment of U.S.-based partnerships, Koontz et al.,

(2004) reported that the Environmental Protection Agency understood the importance of remaining a low-key player or, as stated in a transportation metaphor, of being a passenger, rather than the driver, on the community-based management bus. This is consistent with the definitions of governance cited in earlier chapters, in which – to mix metaphors – governance is seen more as steering rather than rowing the boat.

At the same time, government, for its part, comes to the table with a particular set of responsibilities and values that it has to protect in the public interest. These may be distinct and, at times, different from those of community-based organizations. Government may therefore be called upon to exercise leadership to make these responsibilities and values more manifest in the partnership agenda. Rodal and Mulder (1993) underline the importance of having the right people in place – people who can act as leaders, with the appropriate attitudes, expertise and training to be able to communicate and build consensus among stakeholders around what they perceive to be in the public interest.

Such sharing of management responsibilities will also have the benefit of freeing up the most senior government officials' time to concentrate on "core functions" such as interpreting what is in the public interest, broad policy formulation, strategic and long-range planning for government, and planning for building the future capability of the government's human, financial, technical and other resources (Venton, 1997). This is consistent with the governance structure and functioning of ACAP wherein government does what it does best and is mandated to do, and as Robinson (1997), McNeil et al., (2006) and Ellsworth et al., (1997) describe, enabling the community partners to lead at the local level.

5.3.2 Financial Management

Within the category of Financial Management, the combined data show that government has and should continue to be responsible for securing core financial

support for the program and being accountable to senior government for these funds, but with a desire to better involve the communities in these functions. Equally, the communities are felt to be responsible for securing core and project-specific financial and infrastructure support at the individual community level. The results show that the parties wish for communities to have a more exclusive role in allocating funds to local priorities and that their financial accountability is indeed local, but should be shared increasingly with government.

This is indeed the case in ACAP, particularly as the program has matured and respective accountability mechanisms have evolved. One of the fundamental principles adhered to by the various government managers of ACAP⁶¹ over time, is to minimize, to the fullest extent possible, the amount of reporting and paperwork imposed on the community recipients of funding while still meeting full government accountability for the more than \$1.3M CDN/year provided to the ACAP partners. This is borne out in the observation⁶² that the amount of paperwork and reporting in ACAP is significantly less (although still felt by some of the ACAP organizations that it is still too much, taking valuable time away from 'real work') than for similar Government of Canada programs that provide funding to community-based organizations. This tension between government accountability and expedience and efficiency, will always be a feature of such government-community collaborations. But with an enhanced understanding of each others' obligations and challenges, both parties can work toward greater efficiency and mutual respect for the accountability obligations they each hold.

This is consistent with the need to ensure that partnership working is not hindered by unduly cumbersome, elaborate and time-consuming working arrangements. Overly complex structures and processes may reflect government's defensiveness about their own interests and uncertainty about degrees of mutual trust. The result of such excessive bureaucracy is frustration

⁶¹ Wayne Barchard, Acting ACAP Manager, pers. Comm., January, 2009.

⁶² Melanie Corkum, Acting ACAP Coordinator and EcoAction Funding Program Coordinator, Environment Canada, Atlantic Region, pers. Comm., July, 2009.

among the partners and a sapping of their enthusiasm for and commitment to the partnership (Hudson and Hardy, 2002). However, in ACAP, particularly in the past few years, changes in departmental procedures and tightening of controls and approval processes (a Government of Canada trend), have led to delays, often up to six months into the new fiscal year, in releasing agreed-upon funds to the community-based organizations. This is out of the control of the regional Environment Canada office that administers ACAP and is undermining the community partners' faith in the commitment of government to continue their support in a timely manner. Significant effort is being taken with the ACAP Office in Dartmouth to expedite this process and ensure that promised annual funding is released to the groups in a timely and predictable manner⁶³.

5.3.3 Organizational Management

Organizational Management and its component functions, is clearly skewed toward the community-lead side of the continuum. Government plays and is desired to continue playing a lead role, with some community support with respect to such higher-order functions as establishing values and ethics and planning for sustainability of the program overall. On the more day-to-day and group-specific functions including establishing local structure and process, developing by-laws and terms of reference, establishing values and ethics for the local organizations, planning for sustainability of the individual groups, building trust and capacity among stakeholders and project management, the data support these functions being led by the community, but with some government support.

For the future, the data show that the locally-led functions of establishing group structure and values and ethics, should involve government to a greater degree. This speaks to the principle of best-placed management (Noble, 2000). That is, where a party has the mandate or responsibility, capacity and public support for it

⁶³ Melanie Corkum, Acting ACAP Coordinator, pers. Comm., December 12, 2008.

to be responsible, it should assume and respect this responsibility. This division of responsibility is understood inherently in ACAP as reflected in the mandate of government (constitutionally) and community-based organizations (in terms of local acceptance and legitimacy).

5.3.4 Human Resources Management

The category of Human Resources Management most clearly trends toward a community lead, with some support of government as well. Only with respect to the management of government's own people (i.e., ACAP Windows) is it clear that government should retain lead responsibility, but even here, with desired movement toward a supportive community role. The pattern in this category of management functions should not be too surprising, as dealing with the people and functions of each local organization should indeed be handled locally within the respective community-based organizations. There is, however, a desire for more government involvement in assisting the community-based partners in mentoring other watershed groups.

Part of the approved management approach for Phase 3 of ACAP (2003-2008) (see Section 4.2) was for the program to expand to include new sites beyond the established partner groups. A collective decision was taken in 2005 to launch two new groups and to do so in Labrador, which represents over 50% of the landmass of Atlantic Canada and is a vast area that has no community-based representation. In order to fund these new groups (with no additional program resources), the existing 14 ACAP sites agreed to have their annual funding allocation reduced on the condition that the freed-up money be allocated to the establishment of the two new northern groups. This represents a generous and larger-than-local perspective among the local organizations wherein the sharing of financial, and importantly human resources, would be redirected to less capable organizations. In this regard, several Executive Directors, particularly from the two existing sites in Newfoundland, have taken time away from their

own organizations to assist the capacity building development of their new provincial cousins. The government (EC) paid for travel and training expenses and the new groups are now established and building their organizations.

5.3.5 Partnership Management

Partnership Management too, the data show, is clearly more of a community than government function. Program-level functions such as planning and convening ACAP's annual general meetings is felt to be mostly a government-led function with some community support, but securing, building and maintaining partnerships at the local, provincial and regional (i.e., Atlantic Canada) levels is seen as being community-led with some government support. It is interesting to note that the very 'soft' or intangible, but all-important function of building and maintaining trust among the stakeholders (a clear community lead) is seen to be much more collaborative in the future, an encouraging sign of the maturity of this government-community relationship. Partnerships are at the core of ACAP and the success of the program is dependent on establishing, maintaining and building partnerships with diverse stakeholders. The ACAP organizations have excelled at building and maintaining strong and diverse partnerships at the local level, as illustrated by the breadth of sectoral partners participating on the respective ACAP Boards of Directors (see Appendix 6).

5.3.6 Knowledge Generation and Management

The Generation and Management of Knowledge is clearly seen to be a shared responsibility among government and communities. The very specific and technical functions associated with monitoring, the design and conduct of scientific studies, data and information management, publishing and communicating results, are largely community-led with government support, but with a desire to have even more of a government role in the future. To those not as familiar with the workings of such hybrid governance mechanisms, the

expectation may have been that these functions would be more of a government responsibility. In fact, in many community-based programs or initiatives, Boss (2003) notes that this is indeed the case. These ACAP-specific data may be influenced by the existence of the 'ACAP Science Linkages' Initiative⁶⁴ that has brought together the communities and their government science partners over the past decade of this specific partnership. As Armstrong and Lenihan (1999) assert, "knowledge is power ... so the wider the spread of knowledge, the more power gets diffused."

5.3.7 Networking

Networking functions fall in the collaborative category, but with a slight community lead with government support. Convening partners, sharing experiences and approaches with local stakeholders, similar local and regional groups and those in government, and coming together in workshops and conferences, are all seen in this light. The combined data show that the convening of the entire regional ACAP 'family' for networking and sharing of experiences is still seen to be largely the responsibility of government. It is interesting to note though, that in practice, the planning for and conduct of these annual partners' meetings has become much more of a collaborative effort in terms of agenda-setting, funding, venue selection and follow-up actions in recent years⁶⁵.

In addition to its role in providing enabling legislation, policy and funding, the government may act to address problems and issues beyond the scope of local arrangements and to provide assistance and services (administrative, technical and financial) to support the sustainability of other local organizations and

⁶⁴ The Science Linkages initiative was established in 1997 within ACAP to strengthen the working relationship between EC's scientists in the Atlantic Region and at its National Institutes and the community organizations in the region. The initiative is based on community-government partnerships for the design, conduct, interpretation and communication of scientific results that derive from locally-based science initiatives.

⁶⁵ Colleen McNeil, Coordinator, Atlantic Coastal Action Program, pers. comm., August, 2008.

institutional arrangements (Pomeroy and Berkes, 1997). In this regard, this government program also provides such support to two sub-regional scale ecosystem coalitions that encompass much larger areas within Atlantic Canada (i.e., the Bay of Fundy and the Southern Gulf of St. Lawrence) that include groupings of ACAP sites, but also many other community-based organizations and partners⁶⁶. This allows focus and activity on at least two geographic scales (local and regional ecosystems) and a further test of the viability of this type of government-community partnership.

5.3.8 Media Relations and Engagement

Media relations and engagement is the set of management functions that are most strongly felt to be best handled in the communities. However, from serving as spokespersons for the community, organizing media events, determining messaging and tone, approving and issuing press releases and advocating for change through the media, the data shows a consistent desire to have more of a supporting government role in these functions. Recognizing this need, EC has provided media training for the ACAP Executive Directors but stayed clear of being involved in media contact at the local level. Here, the Windows for the most part, operate as full (although ex-officio) members of the local ACAP Boards of Directors, but excuse themselves in any actions or interactions with the media. Government messaging is highly vetted and strategic in nature and it is subject to extensive preparation and multiple levels of approvals before any messaging goes out to the public. ACAP communities on the other hand, have established good working relationships with local and provincial media and in some cases have media representatives on their community Boards of Directors. Local media contact is regular, and considered to be trustworthy because the ACAPs do not take extreme positions on issues, advocating instead for fully considered and informed views and open communication with the public.

⁶⁶ The two regional ecosystem coalitions supported by the program include the Bay of Fundy Ecosystem Partnership (BoFEP) <http://www.bofep.org/> and the Southern Gulf of St. Lawrence Coalition on Sustainability <http://www.coalition-sgsl.ca/index.php>

5.3.9 Civic Engagement and Community-Stakeholder Relations

Similarly, civic engagement and community-stakeholder relations are felt to be strongly community led, but also with a desire to have stronger government involvement. From representing the community's goals and objectives, education and outreach on broad and local issues and priorities, engaging and involving the public, to reporting to the public on activities and accomplishments, there is a desire for a stronger government role. This is not surprising, as both government and communities adhere to these public engagement principles and both have different types of credibility (e.g., government speaks for the public good and communities speak to local priorities and strong environmental principles).

5.3.10 Political Relations

Interestingly, the category of political relations is strongly community-led. From advocating for locally-identified priorities and needs and seeking to influence government policy at all levels, the data show that these functions have a strong community lead, but with a desire for more (federal) government involvement. This is perhaps the one area where there needs to be a more distinct separation of function. Government cannot be seen to be, or actually be lobbying itself or advocating for change in its own policies; this requires influence or pressure from outside (Rodal and Mulder, 1993). Having such a push from a trusted partner adds weight and legitimacy to the issues being advocated and government has a stronger basis for picking up the call and working to make such changes within its own structures. Many of the ACAP Executive Directors report good access to and relationships with their local Members of Parliament (federal), provincial legislators and municipal politicians and staff, and are not shy about soliciting their support for the program overall and their local interests in particular.

Environment Canada (and its Windows) stays well clear of these relationships, as this would be a clear area of conflict of interest.

5.3.11 Government (Bureaucratic) Relations

The combined data for Government (bureaucratic) relations trends strongly toward a government lead, with a desire in all component management functions for increasing community involvement over time. Ensuring program integrity and sustainability, whether through coordination within all levels of government, promoting the ACAP model nationally and internationally and the more ambitious goal of influencing the direction of ICM, are seen to be the responsibility of government, but could be strengthened, the data indicate, with greater involvement of the community in these functions. Government is clearly responsible for the enforcement of laws and regulations for which it is mandated, but there is a supporting role for community-based organizations in providing incentives for and rewarding compliance with the letter of the law. Communities are best placed to do so within their own local spheres of influence. As in the area of political relations, this is an area where a more distinct, but complementary separation of responsibilities is warranted. It is interesting to note however, the desire to better involve each other in these respective roles. These findings are strongly linked to the next function.

5.3.12 Regulatory Compliance and Reporting

The responsibility assignment for the function of recognizing and rewarding compliance within the community is unclear. Almost half of the survey participants believe the government should lead this function with support from the community, while an almost equal number believe the community should lead with support from the government. The interviews with members strengthened the finding that community and government ACAP members must work together to reward local compliance. The slight preference is that individual organizations

should take the lead for local activities related to local initiatives at least optically. Here, the ACAP organizations gain credibility with the recipient of the recognition and within the community. However, since community groups are not in the business of laws and enforcement, information from the government regulatory body about positive actions is important. Because communities do not have much in the way of tangible resources to produce significant monetary prizes, the rewards would likely come in other forms such as public recognition⁶⁷. Participants also thought that Environment Canada can play a role in such recognition through activities such as posting short notes about the reward/recognition on the ACAP website (which the department does).

5.3.13 Additional Management Functions

5.3.13.1 Defining Geographic Scope

One management function not tested for in the case study work, but that is fundamentally important to such locally-based, coastal ecosystem initiatives, is who defines the geographic scope and boundaries of the group's area of focus? Thomas (1999) recommends that public agencies should allow local stakeholders to define the area of focus if they want them to participate in bioregional activities. He asserts that watershed organizations have thrived in part because their members define their own scope. This is indeed the case for the Atlantic Coastal Action Program. The government sponsor and partner in ACAP (Environment Canada) did not dictate the specific boundaries of each geographic area of interest. Rather, at the beginning of the program in the early 1990s, certain 'coastal hotspots' were identified through an internal mandate-based priority-setting process and local community-based organizations were either engaged or where they did not exist, provided with government support to

⁶⁷ One of the groups reported an initiative in which they attempted to catch people and organizations 'doing something right' (e.g., recycling, protecting habitat on their properties) and giving on-the-spot recognition.

come into being and, following local vision and priority setting exercises, each local group set their own boundaries.

Most of the ACAP groups chose one or more entire watersheds that drain into a common coastal area, while others, particularly those with watersheds that extend hundreds of kilometres inland, focus on the lower watershed and associated coastal area as their primary area of focus (Ellsworth et al., 1997; McNeil et al., 2006; Robinson, 1997). It is interesting to note that initially-selected boundaries have, in many cases, evolved over time, mostly to expand their geographic scope, whether through realization of the need to encompass previously outside stressors, or to play a mentorship role with neighbouring community-based organizations (e.g., Bluenose ACAP on the south shore of Nova Scotia adopted two neighbouring watersheds in 2003 that were suffering similar challenges but lacked local capacity to address them, and the St. John's ACAP site in Newfoundland became the Northeast Avalon ACAP group in 2006 after achieving the objectives they set out in their comprehensive management plan for sewage treatment for St. John's Harbour and taking on the challenge of a much larger and more diverse area).

5.4 Required Perspectives, Behaviours and Attitudes

In a community-based management scenario, agency actors have to employ different skill sets, behaviors, and attitudes. Likewise, they must recognize the limits of their roles and the potentially negative force they can have if perceived as too domineering.

Koontz et al., 2004

Increasing public demand and government recognition of its need to change or shift its attitudes, behaviours and practices are changing the landscape of collaborative approaches. But we must first understand some of the traditional and inherent barriers or challenges that constrain or inhibit such collaborations and the shifts that are, to a significant degree in this

thesis case study, and must take place to enable governments and communities to collaborate in the governance of coastal areas.

The changed expectations from government and the need to redefine the role and functions of government pose two key challenges. First is for governments to learn how to significantly increase efficiency and effectiveness – to operate with fewer resources, while maintaining or improving the quality of service it provides. This is a modern reality in the Canadian government and in many nations worldwide. The second challenge is for government to learn how to work with growing public demands and capacity for participation in the treatment and resolution of public issues, while retaining the power to act in the overall public interest (Boss, 2003). Meeting these challenges will require a significant transformation in the role of government – from implementation and provision of programs and services – to facilitation, brokerage and partnership (Rodal & Mulder, 1993). The de-privileging of the expert (often a scientist, engineer or manager) is inherent in meaningful participatory management, but may be regarded with discomfort by some decision makers when the process is first introduced (Treby and Clark, 2004).

5.4.1 Uncertainty and Risk Taking

Governments are vested with statutory and mandated roles and responsibilities and are held accountable – within the political-bureaucratic system and publicly – for the achievement of specified goals and objectives and sometimes for more specific on-the-ground outcomes (Gilbert, 2005; Rodal and Mulder, 1993). Environment Canada has a clearly defined Results Management Structure that defines and communicates the outcomes it is mandated to achieve (e.g., biodiversity is conserved and protected; water is clean, safe and secure; risks to Canadians, their health and their environment posed by toxic and other harmful substances are reduced), but without necessarily pre-determining 'how' these

objectives are to be achieved. Honouring these commitments involves a delicate balance of risk-taking and innovation, internal control versus enabling others and having and employing the right sets of skills and behaviours, but in the end, ensuring that resources invested achieve these specific results (Venton, 1997). Given such clear accountabilities and the high stakes involved, Bellehumeur (1998) contends that in environmental management, bureaucracies naturally tend to be risk-adverse and prone to doing things itself. Yet we have seen in this research and the supporting literature, a growing trend and recognition of the need, openness to and benefits of government-community partnership arrangements.

Despite the encouraging examples of governments sharing power and management responsibilities with community-based organizations, in many cases, it is important to understand that public services are still dominated by what Lowry (2002) describes as a hierarchical culture that seeks, above all, to avoid error. Collaboration and performance management assume that adjustment, error and learning are part of the normal course of things. Successful collaboration not only requires a background of mutual trust and respect but also a willingness to experiment and adjust. Partnerships evolve and are designed to continue to evolve, as this case study has shown. As Thomas (1999) observes, they are dynamic arrangements that change and grow as they respond to new circumstances. The partnership model involves a culture of continuous learning, innovation and improvement. It requires openness, discussion, debate and consultation (Watson et al., 1996); a willingness to admit and learn from errors (Pomeroy and Berkes, 1997); opportunities to experiment and show initiative (Langford, 1997); and a policy outlook that is suspicious of simple or final solutions to complex problems (Rodal and Mulder, 1993).

Still though, many governments are inclined to be skeptical about these partnerships (Boss, 2003). If these collaborative arrangements are to become part of the landscape/seascape, governments must be willing to accept new

uncertainties and recognize that they will make mistakes. In addition, they must be open to new ways of managing that will improve their capacity to learn from error. In brief, governments must, as described by Armstrong and Lenihan (1999), develop a learning culture, which Murdoch and Abram (1998) describe as a plunge into uncertainty. This has been the case with ACAP. As discussed in Chapter 4, when the program was first proposed in the late 1980s, it was a very hard sell within a traditionally-oriented department that was familiar and comfortable with running programs on its own. As a regional approach though, it was accepted as an experiment with relatively low risk of requiring national program revisions (McNeil et al., 2006). The program had to proceed quietly, underplaying the community leadership dimension until the benefits of doing so could be demonstrated⁶⁸. Its acceptance grew slowly and steadily, without challenging the department overtly.

5.4.2 Power and Fear

In practice, the delegation of work or sharing of responsibilities will be limited by 'managerial style'. More specifically, it will be limited by the manager's views about the risks of losing control through sharing or delegation. Venton (1997) observes that managers in government organizations traditionally have invested a lot of time ensuring quality by controlling the tasks and activities that go into producing a service. In this situation, their generic anxieties about more delegation may stem from fears that work may not get done on time, that the quality of the work outputs may be unsatisfactory, or that mistakes will be made that will cost time and money to fix. Assurances about these concerns, or the oft-cited benefits of doing so, cannot be provided *a priori*.

⁶⁸ Some of the celebrated benefits of the ACAP include: consistent 6-to-1 leverage on EC investment in the groups through local partnerships and cost-sharing, tangible on-the-ground environmental results in all departmental priority areas, increased public recognition of EC as an innovative and enabling department, and the generation of significant returns to Canadian governments in GDP, taxation impact and job creation and a conclusion that the same on-the-ground effort, if conducted by Environment Canada, would cost in excess of ten times what the community-based organizations achieved (Gardner Pinfold Consulting Economists, Inc., 2002, 2008).

So how then, to proceed? Certainly successful examples can be cited (Chapters 1 and 2), but questions linger as to the applicability and potential success of such an approach in a particular setting with its unique set of players, physical and environmental settings and issues. Langford (1997) states that it is only through taking the risk of investing in a collaborative venture, loosening dampening controls, building local capacity and allowing relationships to flourish and ultimately achieve results over time, that government – actors first, then institutions – can grow to trust these processes and further enable partners' role where best placed. Rodal and Mulder (1993) see such an approach as appealing to those who see the role of government evolving toward one of facilitation and oversight and away from control and operations. The general significance of this is held to be a new role for the state as the coordinator and manager of these partnerships (Murdoch and Abram, 1998). The case study research in this thesis certainly supports this shifting of government views and practice and has shown that many, if not most, management functions in this type of government-community hybrid governance approach have indeed moved in this direction.

Thus, as Margerum (2002) suggests, power sharing may require a deliberate effort on the part of powerful organizations. Government agencies may need to be encouraged to give up some of their autonomy in exchange for increased respect and support which are the foundations of these partnerships. Even though dissatisfaction with entrenched regulatory approaches may spark the desire to pursue collaboration, individuals invested in bureaucratic structures and processes may still view collaborative environmental management as a threat. Because some individuals and agencies may be uncomfortable if they are not fully in control, they may resist or be antagonistic to collaboration. For collaborative environmental management to succeed then, governmental actors need to consider whether it will be supported and sustained within their particular agency culture (Koontz et al., 2004).

In terms of the implementation of such collaborative ventures, Hudson and Hardy (2002) remind us that significant difficulties can arise when partnerships begin to implement jointly agreed plans, if there has been insufficient clarity about the respective responsibilities of individual partners. Each partner needs to be clear about and accept such divisions of responsibility because without clear delineations of responsibility and accountability, there is potential for confusion and mistrust. There is an implicit expectation that the partner who provides the majority of funds will exert most influence and have more of a leadership role. Since public organizations are often the source of funding in a partnership, they may be perceived as playing, or they may actually play, the role of 'senior' partners. It has been observed that when a public organization takes a dominant position at the decision-making table, there is little empowerment or ownership for other participants, and therefore less likelihood of success. This was recognized in the design and implementation of ACAP and every effort has been made by the government partner to make the partnership one of equals.

Kearney et al. (2007) add that when coastal management initiatives are funded and initiated by external organizations, which press for particular goals and priorities that may not be the community's own, the authentic construction of a viable process may be bypassed, and the effort may fall apart when external funding is exhausted. A more balanced arrangement occurs when both partners contribute equally, or when there is appropriate recognition of value-added assets, other than funding, that partners can bring into a relationship, such as expertise, valuable local perspectives and insights, creativity or a sense of shared community purpose (Rodal & Mulder, 1993). This recognition of respective roles and assets that the community and government partners bring to the collaboration in ACAP is fundamental to the effective functioning of this program.

Partnerships work best then, where each partner is perceived—collectively and individually—to have an equivalent status, irrespective of some having

more of some resources than others. The resources that each brings may be different and not always readily quantifiable. For example, voluntary organizations may bring information, experience and expertise, or legitimacy, through their representation of particular interest groups. Ensuring equivalent status means ensuring that the partnership avoids having 'senior' and 'junior' partners or 'core' and 'peripheral' groups; if some partners feel marginalized from the partnership's core business, suspicion, erosion of trust and lessening of commitment will result. Ensuring equivalent status also means ensuring fairness in the conduct of a partnership. This entails creating the opportunity for each partner to contribute as much as they wish and in a manner that is appropriate (Hudson & Hardy, 2002).

The critics would be right if they said that a paternalistic organization cannot enter into partnerships without profoundly changing its organizational culture. Partnership is based on the principles of equality and shared responsibility, while paternalism emphasizes competition and the centralization of authority. Bellehumeur (1998) observes that it has produced conformism and created dependency. Historically, much partnership working has faltered because, for example, one of the principal statutory authorities has, without discussion, hosted and chaired meetings at times and places of its convenience, or it has sought to dictate agendas, priorities and timescales. Clearly much of this is inevitable where one partner has been given a statutory duty to be the 'lead' in some particular area. It is not a question of ignoring such lead responsibilities but merely of being sensitive to the needs and expectations of all partners and, where appropriate and possible, sharing lead responsibilities (Margerum, 2002).

Less progress has been made however, towards the ideal of managers recognizing that they can learn from local stakeholder knowledge and viewpoints. Such mutual respect allows expert and non-expert attitudes to

converge, and it is these attitudes that must change before the desired outcome of participation can be achieved (Treby & Clark, 2004).

5.5 Accountability Implications

Although the Minister can delegate any of these component instruments, he or she remains accountable for all of them

Venton, 1997

5.5.1 The Accountability Challenge

Partnership arrangements which involve sharing or transferring a measure of responsibility and control for operations to non-government parties, have direct implications for government accountability. A key question for government relates to the extent to which overall accountability (see definition in Chapter 2) and policy responsibility remain with the government, despite the existence of partnerships or devolution. With this in mind, we have to ask - How accountable are these partnerships to their own members, to governments, and to the public? What happens if things go wrong? How are the various parties going to be held accountable? At what point can government stop being accountable in situations where the management of public funds is involved?

The “accountability challenge” (discussed in Section 5.3.2) is having a serious impact on the practice of collaboration. In response to the cries for greater accountability, governments have developed more and more elaborate monitoring, reporting and evaluation processes. These have all been forced upon government agencies, and their nonprofit and business partners. Although few would disagree that accountability in collaboration is important, partners are now burdened with increasingly time consuming and costly procedures that are more about what Gilbert (2005) calls “keeping government officials out of hot water”, than they are about creativity, innovation, and collaborative success.

Because governmental agencies are restricted by specific mandates and by their accountability to the public, they face different constraints than do their nongovernmental partners. For instance, governmental agencies must comply with legislative mandates. Government officials, who are accountable for the exercise of public authority and the expenditure of public funds, cannot simply give up power and resources to external actors; they must ensure that they have authority to do so and that there is adequate accountability for results. Rodal and Mulder (1993) claim that at a minimum, government is likely to retain accountability for ensuring that activities conform to government legislation and policy. Working within these constraints while responding to the concerns of a diverse array of nongovernmental collaborators, each with potentially different levels of experience and familiarity with legislative and regulatory processes often creates challenges for collaborative processes. Accordingly, mutual acknowledgement of differing roles and clarity of the objectives of all parties can help overcome expectation gaps and result in more constructive working relationships (Koontz et al., 2004). This thesis has shed some important light on how this can work in practice.

In arrangements where government retains ultimate accountability, government partners must ensure the respective accountability of their partners through sound formal agreements. Problems that arise as a result of shifts in accountability arrangements can be avoided if appropriate accountability arrangements are put in place, explicitly recorded and reflected in revised agreements. In the case of ACAP, assurance of accountability is achieved through the crafting and formal acceptance of accountability requirements through annual Contribution Agreements between Environment Canada and each ACAP organization. These legal agreements specify the expectations and deliverables that the ACAP organizations are accountable for achieving and the contribution of the department to their efforts is clearly specified. The details of

such agreements can be seen in the sample Contribution Agreement included as Appendix 7.

The definition of accountability incorporates only a likelihood that the agent (CBO) will be called to report, explain, and make amends. The call for reports and explanations is made at the discretion of the principal (government). However, if the principal does not utilize this discretion very frequently, the risks of non-compliance will be too low to influence the agent's behaviour or efforts. In this event, accountability will be lost. Therefore, it is necessary to establish a reporting process whereby there is, from time to time, a formal report on gaps between targets and actual results and an explanation of how the agent's decisions and actions related to the gaps. Even in such a perfect world, where interests are congruent, the principal-agent dialogue about gaps is an important means of continuous improvement. In the ACAP Contribution Agreements discussed above, there is a legal requirement for twice-annual reporting back to Environment Canada (mid-year and year-end) and a 10% holdback written in to ensure that all required reports and accounts are supplied before another agreement (and associated funding) will be entered into.

An equally difficult challenge is that of meeting community expectations, or what might be called within government, the 'management of expectations'. Involving the public in the policy process may raise and create expectations that decision-makers cannot meet or manage (Health Council of Canada, 2006). Atkinson (1999) stresses the need to make the community aware of what they can 'reasonably expect' in terms of participation in structures and with regard to outcomes and length of support. In part, this may be seen as an issue of not creating excessive expectations which cannot be met given the restrictions on time, the necessity to make decisions and the lack of resources. But it may also be interpreted as a form of closure which will inculcate into the community a series of 'legitimate expectations' that effectively define the limits of the possible and what is achievable. Although the importance of managing community

expectations from government has been an objective in the ACAP, it must be said that the community partners have 'stretched' the definition and boundaries of what government might have originally been comfortable with and the governmental actors have gotten 'swept up' in the partnership and moved the markers on what can be expected from government.⁶⁹

5.5.2 Tolerance of Asymmetry

One of the primary arguments sometimes offered for decentralized approaches to environmental management is that the variability of local conditions requires management approaches that are more closely tailored to the environmental, social, political and economic conditions at the local level. In general, the more that local knowledge is critical to program success, the greater the justification for local program design and implementation (Lowry, 2002). This is known as asymmetry.

Although asymmetry in program delivery is widely seen as a virtue of collaborative partnerships, central hierarchies still have difficulty accommodating or accepting it in practice. One reason is that asymmetry raises important issues regarding accountability and the proliferation of CB-ICM efforts will raise public concerns about who is actually responsible for what (Langford, 1997). For example, if programs are designed and delivered differently in different places, who is responsible for differences in the quality or level of the service that may result? To ensure and improve accountability while preserving flexibility, Armstrong & Lenihan (1999) showed that it was possible to allow enough asymmetry to meet specific regional needs, while ensuring a reasonable consistency in service levels across the country. ACAP has a high degree of asymmetry. As described in Chapter 3 and 4, the program is comprised of 16 independent community-based organizations distributed throughout Atlantic Canada. Each is situated in different ecological, political, cultural and socio-

⁶⁹ Wayne Barchard, Acting ACAP Manager, pers. Comm., June 12, 2009.

economic settings and each pursues goals and priorities that are suited to their local area. Ellsworth et al., (1997) describe how Environment Canada wished to test this community-focused model in as many different settings as possible, to see if the underlying context of each ACAP area would determine how well the model could work within this diversity. The result has been that every ACAP organization that is part of this regional network is functioning today within the context of their own comprehensive environmental management plan and still meeting Environment Canada-specified outcomes, but in a different mix depending on the local conditions.

5.6 Summary

From the case study data presented and discussed earlier in this chapter, it is clear that both community and government actors and institutions feel strongly that there are indeed many, if not most, management functions that can and should be shared with community-based partners. There are nevertheless a few key functions that should remain with government, for reasons of mandate, accountability and best-placed capacity to deliver (e.g., enforcement). These are, however, few in number and it is clear from the data, and almost 20 years of collaborative government-community partnership in the Atlantic Coastal Action Program, that the community desires and the government partner supports sharing many of the inherent management functions that characterize such a partnership.

Research evidence shows that partnership schemes of this nature have often existed on the periphery of national governments and organizations, as atypical initiatives at their respective boundaries. One consequence that Hudson and Hardy (2002) cite in this regard is that the learning from such joint working—whether of success or failure—is seldom systematically fed back to the organizational heartland, or disseminated among other services or across other functions and geographical areas. In the case of ACAP, the program remains

unique and limited to Atlantic Canada and the approach has not as yet been emulated in other parts of the country (although the model has been applied in New Zealand⁷⁰ and Uruguay⁷¹ and the program has been analyzed for application in China (McCleave et al., 2003). Significant efforts have been made by the ACAP Office and the ACAP organizations themselves to document their approach and accomplishments so that the benefits can be seen by others, but as yet, uptake has been slow.

As approaches to collaborative environmental management evolve and mature, governmental agencies and representatives will face new and emerging challenges. Perhaps the greatest contemporary challenge is that such collaboration requires governmental institutions and actors to share, and perhaps at times even relinquish, control over some aspects of environmental management. If governmental institutions become more flexible and encourage and support their government actors to participate in these processes, the balance of power and the ingrained relationships that have developed among agencies and communities may be transformed. Although this change could be interpreted by some as abrogating governmental obligations and abandoning legitimate roles, it can equally be viewed as a means of enhancing democratic practice. The interaction and shared deliberation inherent in collaboration may enhance relations both among and between nongovernment and government representatives by promoting trust, network development, and participatory democracy.

Chapter 6 (Conclusions) brings this analysis and discussion to a focused conclusion by revisiting the principles inherent to these government-community collaborations, reviewing the high-order goals of a sustainable society and the

⁷⁰ See Section 1.9.1 (Developed Nations) that describes the application of the ACAP model to Raglan catchment (North Island), Daborn and Dickie (1997) and Oakley (1991).

⁷¹ As part of a Canadian International Development Agency (CIDA)-sponsored project that is supporting the development of a Masters Program in ICM at the Universidad de la Republica in Uruguay, the coastal communities along the Rio de la Plata have been introduced to the objectives and structure of the Atlantic Coastal Action Program, have had visits from ACAP personnel (both government and community) and are now attempting to implement the 'ACAP approach' in five coastal communities.

democratic principles that would guide us there, re-defining 'community' and 'power' and looking back at what the case study in this thesis – the Atlantic Coastal Action Program – has to offer to the growing field of community-based coastal management. The options governments and communities can choose from for appropriate times and entry points on continua of participation are summarized and the limits of power sharing are identified. A final prognosis and limitations of this research are provided, and future research needs are outlined.

Chapter 6 – Conclusions

6.1 Introduction

The poignant quote at the beginning of the introductory chapter of this thesis by Niccolo Machiavelli sets the fundamental challenge in Integrated Coastal Management (ICM) and particularly with Community-based ICM (CB-ICM). He wrote, "... there is nothing more difficult to take in hand, more perilous to conduct, or more uncertain in its success than to take the lead in the introduction of a new order of things, because the innovator has for enemies all those who have done well under the old conditions and only lukewarm defenders in those who may do well under the new."

ICM and particularly CB-ICM, is emerging as 'a new order of things' that challenges our traditional norms and practices. To date though, it has a limited base of hard evidence to prove that such government-community power-sharing approaches will be broadly embraced and indeed be superior to other, more traditional forms of practice. The innovators in this case are found both within governments and in communities, and they are taking on some formidable traditions and power structures (enemies and lukewarm defenders). Yet the new champions of these approaches are still tentative in their confidence and to date faint of voice for defending and promoting this approach and it will take further application, evaluation, learning and evidence to lift their voices above the cacophony of traditional coastal management orthodoxy.

The question of whether, to what degree, and for which management functions are governments willing and able to share planning and decision-making authority with non-statutory Community-based Organizations (CBOs) in hybrid coastal governance partnerships, and which of these functions CBOs desire and/or have the capacity to assume, had not been rigorously examined to this point. This thesis explored the specifics of these shared governance partnerships, the particular management functions that are, can be and wish to

be shared, and the implications, both in present terms and for the further development of the field. The question of the actual implications - legal, policy, fiscal, accountability – had not been clearly or purposefully addressed previously.

It was the objective of this research to make a significant contribution to the understanding and confidence building in government-community collaboration in coastal management. More specifically, it was hypothesised that the effective functioning and sustainability of government-CBO partnerships in ICM will be better informed and ultimately strengthened by a clearer definition, mutual understanding and acceptance of the shared and respective roles, responsibilities and accountabilities among the government and community partners in these initiatives. The research aimed specifically to: (1) demonstrate that governments are willing to share selected management responsibilities with CBOs and that the community organizations are willing and able to assume specific responsibilities; (2) describe the conditions under which such power sharing occurs; and (3) identify the specific management functions that both parties can and are willing to share.

This research examined these important questions through detailed review of a diverse literature (i.e., alternative service delivery, behavioural science, coastal and ocean management, community psychology and sociology, democracy research, development studies, environmental planning and management, ethics, fisheries co-management, forestry, human ecology, management theory, marine policy, marine resource economics, planning education and research, policy studies, political geography, political science, program evaluation, public administration, rural studies and rural sociology, social anthropology, society and natural resources, town planning, and theoretical politics), and a specific case study of a well-developed CB-ICM program in Atlantic Canada, the Atlantic Coastal Action Program (ACAP). In the case of ACAP, there is no legal delegation of authority, the government does not control the process (at the local

level), the focus takes on a more holistic environmental management perspective, and the rules of engagement are largely unwritten.

The research was informed by a structured on-line survey and follow-on semi-structured telephone interviews with a cross-section of participants in ACAP – both government and community – gaining insights and their qualitative perspectives on a set of management functions and lead roles particular to the program, both at present and how they (actors and institutions) wish to see them for the future. The areas of investigation were identified through the review of relevant literature presented and discussed in Chapters 1 and 2 and based on first-hand and long-term managerial experience with the program by this investigator and his staff. This research has outlined the shared partnership conditions, defined key terms and brought clarity to respective and shared management responsibilities in such power-sharing relationships.

By delving into the specific management functions through a case study of a government-community hybrid coastal governance program, the respective and shared perspectives of the actors and institutions toward power-sharing relationships has been informed and hopefully encouraged. Whilst the case study explored in this thesis is an example of a program conducted in the relative comfort of a well-established and long-running government-community collaboration, its longevity and the degree of scrutiny applied through this research gives confidence that some of the basic principles, challenges and opportunities inherent in such approaches are indeed good for government, respond to community expectations for greater and more meaningful involvement and can be strong and effective means of capitalizing on the strengths and capacities of both community and government actors. It is hoped that this evidence will give greater confidence to other as-yet lukewarm defenders of the approach and soften the doubts or opposition of those that would be required to consider a more collaborative and shared means of pursuing coastal management.

6.2 The principles revisited

No single actor, public or private, has the knowledge and information required to solve complex, dynamic and diversified problems; no actor has an overview sufficient to make the needed instruments effective; no single actor has sufficient action potential to dominate unilaterally. These are basically matters of the relation between governance and governing.

Kooiman, 2000

There has been much scholarly discussion in the past several decades about whether we should be pursuing 'top-down' or 'bottom-up' approaches to environmental and coastal management. This question is being asked increasingly as national programs and government-led environmental and coastal management initiatives are complemented by integrated and multi-stakeholder efforts at the community level. Experience is building around the world in community-based management, wherein the people who live and work in coastal areas and depend on the resources and services they provide are enabled to take an active role and increasingly share planning and decision-making responsibilities with government. As McNeil et al., (2006) note, proponents of both approaches are lining up on either side of this apparent dichotomy in the complex and still evolving fields of environmental and coastal management.

But we have to ask – is this an either/or scenario? Most analysts and practitioners agree that it is prudent to continue to develop and support national and regional approaches to coastal management, as these have resulted in many of the effective (although still in many cases, multi-sectoral) programs in existence today. At the same time, there is a growing recognition of the value and benefits of working at the community level as well. After all, as much of the literature cited in this thesis reveals, it is at the local level that much of the innovation and real action is taking place.

There are high ambitions and expectations indeed for CB-ICM. Whether such approaches are a panacea or present-day bandwagon to the known challenges inherent to ICM, the debate and analysis continues. Kasperson (2006) goes so far as to state that we are on a stakeholder-involvement express, barrelling down well-intentioned but often naïve efforts to meet growing public concerns over environmental and technological risks, changed public expectations over democratic procedures (we need to be heard and involved!), and historic declines in a number of countries in the social trust accorded to those responsible for protecting the public good. And we must ask, does hybrid CB-ICM work in all settings and with all actors? Can it address issues beyond the scope of local areas and contribute in a tangible and meaningful way to the broader ICM agenda? These questions and others are discussed further in Section 6.8 (Future Research Needs).

We have learned through this research that there are at least three types of such collaborative government-community governance approaches practiced worldwide. As described in Chapter 1, they may be government-directed (national, provincial/state, regional or local agencies assume responsibility for making decisions about how an ecosystem is managed), citizen-directed (citizen activists or grassroots organizations with little or no connections to government), or of the hybrid government-community type. Himmelman (2001) reminds us that coalitions that include representation from the public sector (government) are governance hybrids, mixing non-governmental and governmental decision-making power in representing diverse stakeholders or constituencies.

Clearly, community-based coastal management represents a new form of partnership between government and community-based organizations. In essence, this 'new order of things' is about 'power sharing' in the integrated planning and management of coastal ecosystems. There is growing evidence of the desire, if not demand, by local stakeholders to be more actively and meaningfully involved in what have traditionally been government decisions.

Hence, it is more appropriate to speak of 'shifting' roles of government than of 'shrinking' roles of government as part of such changing relationships. A reshuffling of government tasks, more to catalyst and facilitator, and a greater awareness of the need to cooperate with other societal actors does not render traditional government interventions obsolete. It merely implies a growing awareness, not only of the limitations of traditional public command-and-control as a governing mechanism, but also as responses to societal problems which require broader sets of approaches and instruments (Kooiman, 2000).

A considerable, although still nascent body of experience and analysis is emerging about the relationship and governance arrangements in place in cases wherein government and communities 'share' planning and decision-making responsibilities, either implicitly or explicitly. Central to our understanding of these relationships, it is important to distinguish between 'government' and 'governance'. Chapter 2 includes an analysis of these key differences and notes, in essence, that governance is about governmental and non-governmental organizations and actors working together in non-hierarchical and flexible alliances and includes the capacity to get things done without the legal competence to command that they be done. This is distinguished from government, which distributes values authoritatively.

The detailed analysis of the ACAP case study in Chapters 4 and 5 revealed an implicit and fairly consistent understanding among the community and government actors of the existing and desired balance of shared and respective management responsibilities. From among the government and community actors surveyed and interviewed in this thesis (with little discernable difference of opinions between the two groups), more than two-thirds of the identified management functions are seen as being handled either exclusively by the community or being led by the community with some degree of support coming from the government. For the remaining functions, the shared preference is for government to take the lead, but for the community to continue to be involved

and provide input and support. In fact, only four out of eighty-three functions were assessed as currently being led exclusively by the government (i.e., securing core financial support for the program, setting science priorities within government, interdepartmental (federal) coordination, and enforcement of laws and regulations). Clearly, this government-initiated community-based coastal management program has made significant strides in involving, empowering and sharing management responsibilities with its community-based partners. This is consistent with the calls in international forums and the academic literature for such power sharing arrangements (Chapter 1) and the generally understood principles of shared governance (Chapter 2).

6.2.1 Community-based Coastal Management

Looking back at the basics of ICM as outlined in Chapter 1, we know that this process begins with the concept that the management of coastal and ocean resources and space should be as fully integrated as are the inter-connected ecosystems making up the coastal and ocean realms. Several authors (e.g., Clark, 1996; Visser, 2004; Sorensen and McCreary, 1990) describe the overall goal of ICM as to improve the quality of life of the communities that depend on coastal resources as well as providing for needed development. Most importantly, Cicin-Sain and Knecht (1998) posit that an ICM program's ultimate success depends not only on building positive working partnerships among the various levels of government and the sectoral programs active in the coastal zone but that virtually all ICM programs require active and positive participation at the local or community level. Kearney et al., (2007) emphasize the imperative of doing so with key stakeholders on the ground. Traditional and local communities who live in and manage or act as stewards of ecosystems are often the first to detect ecosystem change and are most immediately and directly affected by it. Fabricus et al., (2007) remind us that there are local communities with fine-grained, contextual knowledge about ecosystems and that local scales are where people connect with ecosystems. In other words, it is where people

'feel' the effect of management. Thus, ecosystem-based coastal management must have a presence at local scales.

The concept of government-community partnerships in coastal management is well entrenched in the international discourse. Chapter 1 highlighted the numerous and growing suite of international calls for action and/or prescriptions to support such approaches (e.g., OECD Recommendations on ICZM (1993), Lisbon Declaration (1994), Barbados Programme of Action (1994), the Noordwijk Guidelines on ICZM (1993), the Millennium Ecosystem Assessment (2005) and the Global Forum on Oceans, Coasts and Islands (2008)). Collectively, they call for – applying the ICZM principles at the local level, that inhabitants of the coastal zone should be enabled to participate in decisions related to the management of coastal resources, that communities should have greater access to and control over decisions affecting their resources in cooperation with government, and to the inclusion and empowerment of local communities in the process. This research has demonstrated that the community and government actors in ACAP have embraced these important international concepts in principal and in practice. This one case gives hope that such principles can be adopted and applied more broadly in different coastal settings.

6.2.2 Sustainable Societies and Democratic Principles

Our confidence in the future of such collaborative approaches is bolstered by recognizing that the political culture of democracies around the world is shifting. In many democracies today, citizens feel that the fit between democratic participation on one hand and the political institutions and practices in which democracy is embedded on the other, is no longer good enough. Discussions of a 'sustainable society' are meaningless to most people since they require levels of abstraction that are not relevant in daily life. The locality, by contrast, is the level of social organization where the consequences of environmental degradation are most keenly felt and where Yanarella and Levine (1992) suggest

successful intervention is most noticeable. By moving to the local level, the odds of generating concrete examples of sustainable development are increased. This is what governments are looking for and remain accountable to achieve.

From the position of democratic theory, it is only fair and just that those that are affected by management decisions should have a say (and role) in management decision making. McCay and Jentoft (1996) assert that involving user groups and communities is a way of broadening the knowledge base upon which management decisions rest and thus improving the science of management. Robinson (1997) cites a recent trend in many parts of the Developed World in which government at various levels promote the use of human and financial resources in schemes in which greater control of the development process is vested in the hands of a local community. The ultimate goal of this type of planning has been to establish 'sustainable' communities largely reliant on local skills and capital. In terms of national government support for this approach, Whelan and Oliver (2005) highlight a 1999 discussion paper produced by the Australian Natural Resource Management Taskforce that emphasized the need to devolve authority to regions and catchments by establishing institutional structures to "give the people of the region greater authority over natural resource management" and to develop "self-sustaining, proactive communities that are committed to ecologically sustainable development."

There is also a heightened awareness among citizens that government is there to serve them, both as guarantor of the larger political process and as a provider of services. As Thomas (1999) reminds us, citizens expect government to be more responsive to their concerns and they expect to have a more direct role in governance. This is what Evans et al., (2006) describes as 'good governance' and a precondition for achieving sustainability at the local level. It is based upon the belief that the changes required to achieve sustainable development are of such magnitude that they cannot be secured by governments acting alone and that it will be necessary to mobilize the energies and initiative of citizens, interest

organizations and stakeholders – ‘local communities’ – if changes in attitudes, values and behaviour are to be secured. They go on to say that the governance process is regarded as a key mechanism to involve and incorporate citizens and local organizations into the decision-making process, thereby increasing political engagement and levels of acceptance of what are often difficult decisions. Ribot (2006) expresses great faith that broader public participation will make ongoing decisions better informed and more sensitive to local conditions, limit the power of elite interests, and assure greater implementation of needed projects and development.

The stakeholder involvement imperative abounds with allusions to these democratic ideals and principles and the good things assumed to result from the stakeholder exercise. Implicit throughout is the notion that broad public involvement is the principal route to improved decision making, including increased trust in experts and decision makers, greater consensus among publics and between science and politics, reductions in conflict and controversy, greater acceptance of preferred solutions, and increased ease in implementation (Kasperson, 2006). Jentoft (2007) cautions that the trust upon which such cooperative, symbiotic relationships relies cannot be enforced from the top down; it must be established gradually among those involved. While this thesis has demonstrated through one case example that these objectives can be achieved, the challenges inherent in the Machiavellian charge remain.

6.3 Re-defining community and power

As the tasks of the state have become more complex and the size of polities larger and more heterogeneous, the institutional forms of liberal democracy developed in the 19th century – representative democracy plus techno-bureaucratic administration – seem increasingly ill-suited to the novel problems we face in the 21st century.

Fung and Wright, 2001

We have learned through this research (Chapter 2) that traditional conceptions of community are limited and not appropriately reflective of modern-day realities. We are seeing a shift away from more traditional patterns, in which governing was basically regarded as 'one-way traffic' from those governing to those governed, towards what Kooiman (2000) describes as a 'two-way traffic' model in which aspects, problems and opportunities of both governing system and the system to be governed are taken into consideration. Today, we see communities of interest and of place forming within specific coastal ecosystems, effectively engaging the cross-section of local interests and developing their own vision of what the ecological, social, economic and cultural future of their 'communities' could and should be. Chapter 2 defined 'epistemic adaptive manager communities' that have both adaptive and governance capacity to sustain and internalize required change. They are epistemic in the sense that they are centered on specific management issues or managing bodies and can be made up of diverse stakeholders who come to know each other well, learn whether and how much to trust each other and share common conceptions of problems and solutions.

These communities are engaged in their own form of inclusive democracy and taking control of their own future. They see governments as key (important and powerful), but only one set of stakeholders in their collaborative approaches. In this sense, ICM takes place at a scale and in a partnership mode much more inclusive and equal than traditional governance systems have practiced. In other words, where government begins and society ends, becomes more diffuse. This means that not only the locus of boundaries between state and society change, but also that the boundaries themselves change in character and become increasingly permeable.

We have learned that the central terms used in this thesis – 'participation', 'collaboration', 'partnerships', 'shared decision making' and 'power sharing' – all have specific (although often poorly understood) meanings that are important to

understand as we develop and analyze these democratic arrangements. 'Participation' can be both a means (to achieve some pre-determined goal or objective) and an end (a process that unfolds over time and whose purpose is to develop and strengthen the capabilities of people to intervene more directly in initiatives which may not have pre-determined objectives, but which is an active and dynamic form which enables people to play an increasing role). Going beyond participation, 'collaboration' requires considerable sharing of risk and responsibility in order to work towards common complementary goals. It also requires high levels of trust, considerable amounts of time and willingness to enhance the capacity of another for mutual benefit and a common purpose so that they can accomplish objectives they are unable to achieve alone. If participants decide to share power present in a collaborative relationship (the end result of a collaborative problem-solving process), then the relationship becomes one of 'partnership'. 'Shared decision making' means that some power and control must be given up. It strives to bring together those with authority to make a decision (typically government) and those who will be affected by that decision (communities), to work together on an outcome that accommodates everyone's interests as much as possible.

6.3.1 ACAP Redux

The case study in this thesis, the Atlantic Coastal Action Program (ACAP) as described in detail in Chapter 4 and analyzed in Chapter 5, is a non-traditional form of partnership between government and communities. It differs in significant ways from traditional program delivery models that see government(s) deciding on program direction and priorities, developing delivery mechanisms and implementing activities either directly, or in some cases in consultation with others. ACAP is described (Chapters 3 and 4) as a process, or a new way of doing business for government and communities alike. The model is characterized (Ellsworth et al., 1997, Robinson 1997, and McNeil et al., 2006) as open and transparent, highly consultative, based on sharing (of resources,

information, skills) and shared decision making (on management functions analyzed herein), largely by consensus, and held together by a close and trusting relationship among the department, the community-based organizations participating in the program and the many partners that comprise the communities of interest and place.

Environment Canada, the main government partner in ACAP, commits to annual funding, provision of technical, scientific, networking and program support from within the department but importantly, does not dictate what must or will be done. The communities do this themselves, through an inclusive process of developing comprehensive management plans for their own area of interest. In return for this sharing of power, the community partners contribute resources, volunteer efforts and action projects, and produce results that contribute to a great many departmental objectives and desired results. The department gives the ACAP organizations a wide berth in identifying and pursuing their own locally-identified priorities as long as they fit within the broad parameters of what this federal environment department is responsible for achieving (e.g., clean water, restored watershed and coastal habitats, biodiversity conservation). This approach required a change from a corporate culture of hierarchical, linear program delivery, to one of horizontal, or team delivery, shifting from the command-and-control model to one of enabler and facilitator, and re-directing existing programs and resources to support community-identified priorities. In other words, the government had to give up much of its control.

Although the program has operated and evolved over 18 years, and the government-community relationship has worked well, the governance structure under which the partners operate had never been clearly articulated. Regular program discussions throughout the years and open debates at the annual ACAP conferences, highlighted that the government and community actors may have different views on the nature of the relationship, respective responsibilities and the ways it has developed and must continue to evolve. There is a constant

'push and pull' between Environment Canada's natural tendency to increase its control (more so in its national headquarters than in the regional office) and the ACAP organizations' desire to maintain their flexibility and assume desired and appropriate management responsibilities. The partners agreed that it was time to bring clarity to this relationship, both for the government and community actors involved and for those observing the process, both watching and waiting to get in, or considering its accomplishments and effectiveness and its potential application elsewhere.

The findings from the case study work clearly show an attitude, shared (indistinguishably) by both government and community institutions and actors, to shift many of what are traditionally perceived as government management functions to the community-based organizations. As discussed earlier in this chapter and more thoroughly in Chapter 4, more than two-thirds of the identified management functions in the case study are seen as already being handled either exclusively by the community or being led by the community with some degree of support from the government. Only four out of 83 functions were assessed as currently being led exclusively by the government. The data also speak loudly to what are considered to be necessary changes in attitude and approach by government in these partnerships.

Put in rather stark terms, not focused on ACAP specifically, but rather 'governments in general', governments are advised to shift from the traditional authoritative and paternalistic expert ruler mode, resist natural tendencies toward command-and-control approaches, get away from one-size-fits-all agendas, embrace asymmetry and streamline unduly cumbersome and time-consuming working arrangements and financial barriers to partnerships. Governments need to be champions and catalysts for power sharing, facilitators and networkers for community partners, cultivators of local responsibility, a funder and provider of expertise and advice, a supporter of training and capacity building, an active participant, and a guarantor of accountability for these collaborative processes.

6.4 On the Continuum of Participation

Just because a group starts out as a government-led effort does not preclude it from becoming more community-based over time.

Koontz et al., 2004

A major challenge facing most national governments seeking to initiate an ICM program is how to secure and maintain the positive interest of the local community. As much of the literature reviewed in this thesis concludes, it is essential that community members support the development and operation of the ICM process in their coastal zone through active and meaningful participation.

Where the principle of 'public participation' is practiced, we have learned that this is not a fixed or static point on a continuum of government-community relations. As discussed in Chapter 2, various 'ladders' of public participation show greater or lesser degrees of participation by non-government stakeholders in governmental processes, while the alternative non-hierarchical 'wheel' models of participation and governance show that appropriate opportunities for and entry points into collaboration are dependent on community capacity, willingness of governments to share power, the complexity of the issues to be addressed and the maturity of the partnership. It would be misleading to assume that the highest rung of the participation ladder is always the optimum level in every situation. To be successful, this process needs to consider how to engage the relevant stakeholders at the most appropriate time and in a manner that will enable them to fairly and effectively shape environmental decisions (Reed, 2008). The essential basis for determining the optimum participation option is to recognize the context of the participants with respect to the problem at hand.

While these models provide for a broad scope of options for government-community relationships, growing empirical evidence from a variety of situations

around the world and the results of this research, reveal that there is a growing willingness and level of confidence in governments to reach beyond traditional approaches and comfort levels on the involvement of non-government institutions and actors. Further, there is a desire, if not demand, by community-based organizations to take on additional management responsibilities at the local level where their capacity, maturity and relationships with government partners are sufficient.

This tells us that there is also a temporal dimension to such partnerships. Governments cannot be expected to automatically and uncritically share some of their authorities and responsibilities with unknown or unproven community partners. Government can, however, work to build such capacities in the CBOs and, over time, evolve the relationship and foundation of trust that would enable the sharing of appropriate responsibilities. It is not enough simply to provide stakeholders with the opportunity to participate in decision making though; they must actually be able to participate. It can thus be argued that an essential basis for determining the optimum participation option is to recognize the context of the participants with respect to the problem. There will be an optimum position on the wheel for each phase and each community organization. Sustainable development rooted in place-based communities has the advantage of flexibility. Communities differ in terms of environmental problems, natural and human resource endowments, levels of economic and social development, and physical and climatic conditions. Bridger and Luloff (1999) state that the community-level approach allows for the design of policies and practices that are sensitive to the opportunities and constraints inherent to particular places.

Thus, Government-led CB-ICM need not be an oxymoron. In circumstances where the community is unorganized or just getting started, governmental agencies can help stimulate and support collaboration. But, as Koontz et al., (2004) warn, governmental actors also must recognize the limits of their ability to control a legitimately community-based effort once it has developed. Or, as one

observer of these processes put it, “when you start dancing with the bear, you don’t get to decide when to sit down” (Barchard et al., 1993).

Moving beyond merely stating that ‘the parties are sharing power’, this research has delved into the specific management functions inherent in such collaborative government-community partnerships and highlighted where and for which management functions there can be such sharing and where the respective parties should be responsible. In any one coastal zone, many different levels and types of participation may be needed to fully satisfy all those concerned. The next step towards a more refined participatory model is a realization that participation is not static or necessarily linear.

6.5 The Limits of Power Sharing

Governments cannot abrogate, cede or give away their mandated authorities and responsibilities and communities cannot assume responsibilities that the law does not allow. Existing authorities and accountability frameworks remain intact and this thesis and the supporting literature are not advocating a whole-scale revision to constitutional and legal mandates. Yet growing empirical evidence and the insights gained through this research reveal that there is great scope for government-community power sharing depending on the will and comfort level of governments, the capacity and willingness of community-based organizations to assume certain responsibilities and the nature of specific collaborative settings.

The conundrum is that while most community-based organizations establish their own mandates and organizational structures, place-based efforts usually do not have legal authority to change management regulations and they lack the capacity or focus to address larger forces outside of the local scope (e.g., constitutional mandates, national program priorities). Nevertheless, the survey and interview data in this thesis did reveal a broader-than-local perspective and a desire for the community organizations to play a more prominent role, particularly

in the areas of region-wide collaboration, influencing the direction of ICM in Canada and promotion of the ACAP model internationally.

At the same time, governments do have the flexibility, if the will exists and perceived benefits demonstrate, to 'share' some management responsibilities without compromising their legislated mandates or accountability. It is important to understand, however, that accountability for resources, the nature of the partnership and achievement of measurable results remains with government. The buck (or pound/euro) stops there. Nevertheless, community-based organizations (the hybrid type focused on here) do rely on government agencies for financial and technical assistance. As Thomas (1999) describes, they are neither completely independent of these agencies nor necessarily created and controlled by them.

Critics of the community-based approach (e.g., McKenna and Cooper, 2006; Atkinson, 1999) suggest that governments are funding what are in fact 'sponsored volunteers' who provide cheap, on-the-ground service for government schemes and programs. They also argue that this may represent a more subtle form of central control in which government determines the 'rules of the game' that localities must accept if they wish to have the possibility of accessing scarce funds. It is apparent from the case study analysis in this thesis that the CBOs most definitely do provide 'cheap' (or more appropriately, cost-effective) service for governments (see section 5.4), and the government partners do set the broad rules of the game. There are certain inalienable accountabilities that government institutions and actors must heed (e.g., achievement of a focused set of outcomes derived from assigned mandate), but this research has shown that these obligations can still be met, indeed significantly enhanced, by working collaboratively with empowered community-based organizations and sharing the responsibilities for management in areas where the respective partners are best placed to do so.

But there are limits to community governance. Citizens and communities cannot simply be allowed to go their own way within the partnership arrangement which comprise governance institutions; they must be linked into some form of coordination and mediation, otherwise these partnerships fall apart. Neither is state abdication an option. Government agencies and those who work within them have their own interests and concerns. They are therefore, stakeholders in their own right, and may be adamantly opposed to the idea of giving away their power. So again, we are led to the conclusion that it is more appropriate to speak of 'shifting' roles of government than 'shrinking' roles of government as part of such changing relationships.

6.6 Prognosis

As societies and peoples become more informed about their environments and organize into more complex structures, the current demand by the public to be involved in decision making will continue to increase. They live with the consequences of decisions and expect to share and be responsible for making them. To be more successful in meeting these demands, governments will need to be more proactive, or as Roberts (1995) states, they will need to meet the public in communities and on the street. This has been the case with ACAP, where a regional office of a national department has challenged government norms and traditional ways of conducting its business and achieved effective and long-lasting partnerships with community-based organizations who share the same goals and objectives as government and have agreed to work together to achieve them.

Community-based coastal management efforts will continue to proliferate around the world, supported by international and national donor agencies that see this approach as key to effective ICM. They will also continue to be supported by national or sub-national governments who feel obliged or inspired to establish and nurture true collaborations with community-based organizations and by

CBOs themselves who gain confidence and experience in these government-community collaborations, either on their own or with external support from NGOs or other bodies. But it should not be assumed that all governments and all communities are ready at this time to enter into such power-sharing relationships, or that this is the most appropriate approach in all coastal situations (e.g., in more centralized governments and those without experience in or inclination toward power sharing). The government and community innovators will continue to face the challenges of the defenders of the status quo and the lukewarm advocates for change.

It is still early days in the field of government-community power-sharing arrangements but encouraging times nonetheless. The practice and experimentation with these approaches in different ecological, social, cultural and governance settings gives confidence that they will continue to inform and guide others along this path and it can be anticipated, now with greater insight on their nature and benefits, that they will continue to do so. The only real way that these approaches will gain increasing understanding, acceptance and uptake is through further application and experience and a deeper understanding of the details of such collaborations and the benefits it can bring to both parties.

Let the journey continue!

6.7 Limitations of the Research

The material reviewed for this thesis was extensive, spanning several disciplines and the academic, grey and peer-reviewed literature (Section 6.1). While it provided considerable insights regarding the nature and practice of government-community collaboration in general, there is still limited evidence at hand regarding the application of this approach in the broader field of Integrated Coastal Management and in particular with community-based coastal management. Much time was spent reviewing the literature relevant to 'co-

management' arrangements, but it was concluded from this analysis that this form of government-community collaboration is of a different type from the processes focused on herein, that is, non-statutory governance arrangements. Co-management is most often characterised by formal and legal delegations between a government agency and a user-group (e.g., specific fisheries sector) and thus not directly applicable to this case. Further research into this important, but poorly understood distinction is warranted.

The case study in this thesis is also limited to just one community-based program. One case study does not adequately reflect the great diversity of coastal settings and government-community collaborations, so the results cannot be extrapolated universally. Recommendations are made in the following section for future research in this regard.

The methodology adopted for primary data collection in this thesis's case study included an initial on-line survey and follow-on telephone interviews. The research objective was to gain insights from both government and community participants in the Atlantic Coastal Action Program (ACAP) regarding their perceptions and preferences, over time, with respect to a set of management functions and lead roles particular to that program. The ACAP was chosen as the case study for this research for reasons of relevance (it is characteristic of the hybrid type of government-community partnerships in coastal management), practicality (the program is managed by this investigator, which provided for informed and unique insights into the program's operation, dynamics and power relationships that would be difficult to discern from the outside) and the lessons it can offer (the program has been in continual operation for almost 18 years, largely with the same set of government and community actors, which has provided ample time for the governance relationships to evolve and be understood by the participants surveyed).

With respect to the potential bias of this investigator, who is also the government program manager of ACAP, care was taken not to influence the data collection

by contracting the layout and conduct of the survey and interviews to a professional research firm. The time available to conduct the interviews was limited by the investigator's full-time employment as a government manager. While this approach was necessary, this investigator removed himself from direct interaction with the interview respondents, thereby missing out on the direct insights and feelings expressed during the interviews. While all notes recorded during the interviews were reviewed to get the spirit of the comments, second-hand information is no substitute for first-hand observation.

The participation rates for the survey (48%) and the interviews (64%) while good, might have yielded more robust insights with higher response rates. The sample population was divided into four categories – 'government close', 'government less involved', 'community close' and 'community less involved' – in an attempt to discern patterns of responses based on whether the respondents were in government or the communities, and how close or familiar they are with respect to the management functions tested for in the research. The overall sample population drawn from was mostly limited by the smaller number of government personnel that are involved in ACAP, compared to the larger numbers that could be drawn from the community organizations. The data did not discern any significant differences among these four categories of respondents (except slightly so in some interview questions), so for the most part, the data can only reflect the collective views of the total population.

The survey was also quite long. Twelve categories of management functions were tested for and a total of 90 specific questions were asked over two time frames. While a survey of this scope yielded substantial data and information, some of the respondents expressed the view that it could have been shorter. However, no questions were considered irrelevant or inappropriate.

6.8 Future Research Needs

Further research is needed in a number of areas to more explicitly characterize different types of collaborative partnerships and their accomplishments in a variety of environmental, cultural, political, governmental and socio-economic contexts. It would also be instructive to investigate similar government-community collaborations that are at different stages in their relationship (i.e., where on the wheel of participation both parties presently reside), with different lead government departments (with various inclinations to power sharing) and in different governmental systems (i.e., centralized vs. decentralized).

One question that lingers throughout this research is - Can findings from the local-level be scaled up? That is, can principles generated based on studies of micro-level systems be applied to meso-scale and macro-scale systems? Would the government-community dynamics, levels of regular communication and trust be similar at scales at which the partners are more removed from each other on a daily basis? Accepting the premise that it is prudent to continue to develop and support national and regional approaches to environmental/coastal management, it would be instructive to see how we can connect local efforts to these larger-scale programs.

Some critics claim that the most effective means of addressing the shortcomings in coastal management is to follow a top-down model that would invest in and build the capacity of existing statutory authorities by establishing in-house ICM groups, instead of investing in voluntary partnerships that are claimed to be unsustainable. Further research comparing and contrasting top-down and bottom-up approaches for their efficiency, effectiveness and sustainability is warranted.

There is also a need to further examine the key terms used in this field and to work toward common understanding and usage. An accepted lexicon of terms

would add greatly to the common understanding of what are currently quite variably-used definitions.

The case study in this thesis is the only known in-depth examination of the specific management functions that characterize these government-community collaborations. Similar examinations in similar programs, in different settings, would add greatly to our collective understanding of these governance arrangements.

Further research could usefully be undertaken to determine whether codifying such respective and shared management functions in formal agreements, such as Memoranda of Understanding or more legalistic Agreements, would add value to the established government-community relationships.

This thesis concentrated its focus on the role of government in these collaborative processes. Future research could be usefully focused on the role of communities in these processes.

Further research could be undertaken to examine the relative merits of the different types of CB-ICM initiatives – government-driven, community-driven and hybrid.

The question of financial sustainability of these community-based organizations once the inevitable conclusion of government funding arrives is a critical area in need of further investigation. When should community groups begin planning for predicted declines or termination of government funding? Should government be clear and up-front about the timeframes for their support, with a clearly communicated exit strategy? This is worthy of further investigation.

And finally, the question of to what extent should government actors be empowered by their organizations in these processes is also in need for further research.

6.9 Epilogue

As stated in earlier chapters, just because a community group starts out as a government-led effort does not preclude it from becoming more community-based over time. This has been the case with ACAP. The Environment Canada program that initiated ACAP was designed and seen in its early days as a government initiative, albeit one that stretched the conception of traditional delivery mechanisms for achieving environmental results by working with, through and in support of community-based organizations. The ACAP organizations were seen as agents for delivery and there was little thought in the formative years of the program that they would assume many of the management functions that are inherent to this partnership today. Nevertheless, over time and as the government-community relationship developed, the level of trust and confidence among the partners grew and through an adaptive management view that recognized 'best-placed lead' for specific functions, the leadership emphasis shifted steadily and at appropriate times, from government to the CBOs. This process was more organic than mechanical and it can safely be said that ACAP is best characterized today as a community-based program, albeit of the hybrid governance type.

Yet the Atlantic Coastal Action Program, at mid-2009 and 18 years in operation, is at a predictable cross-road. Environment Canada, the government sponsor and main partner in this process, has recently amended the criteria for the department's large ecosystem initiatives (of which ACAP is the east coast program) and has taken a decision that the ACAP organizations' funding will end on March 31, 2010. This has served two important purposes, not necessarily by design. First, it has necessitated the ACAP organizations to move out of their

comfort zone with Environment Canada as a consistent and predictable financial partner and forced them to expand their base of support and independence. Financial sustainability of any initiative or program is always critical, but most often not pursued as vigorously as required. Secondly, the ACAP organizations are presently in the process of forming a regional (Atlantic Canada-wide) organization that would be less dependent on project support to each local group and will present itself to governments and other partners as a more substantial, region-wide entity (with 16 nodes) that could take on larger-scale initiatives such as monitoring and reporting on the state of the Atlantic coastal ecosystem, region-wide responses to climate change and coordinated habitat restoration and protection efforts throughout the range of critical species.

These are times of change for the Atlantic Coastal Action Program, but exciting times nonetheless. It will be well worth tracking the next phase of this government-community collaboration and the ongoing insights it will bring to the broader field of Integrated Coastal Management.

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Appendix 1 Contract with Bristol Group for Survey and Interview

Statement of Work

Consulting and Professional Services

Between

Canada the Queen in Right of Canada (referred to in the contract as “Canada”) represented by the Minister of the Environment (referred to in the contract as “Minister”)

and for the purposes of this contract, the Minister hereby designates:

Lawrence Hildebrand as the Departmental Representative / Project Authority

The Departmental Representative is responsible for all matters concerning the technical and scientific content of the Work performed under this Contract

and

Bristol Group Inc.

800-2000 Barrington Street, Halifax, Nova Scotia, B3J 3K1

(referred to in the contract as “Contractor”)

Statement of Work:

This is a two-phase contract. Phase One will involve: evaluating the survey questions and survey design prepared by the Project Authority and making suggestions for improvement; creating an on-line version of the re-designed (if necessary) survey by the Project Authority; pilot testing it; administering the full survey; and providing the Project Authority with an overview of the results.

Phase Two will involve telephone interviews with a sub-set of those surveyed in Phase One to gain additional insights that emerge from the survey and/or allow for more in-depth exploration of key questions relevant to this project and the ACAP program’s governance arrangement. The interview questions will be provided by the Project Authority. As in Phase One, the contractor will: evaluate the pre-prepared interview questions and design and make suggestions to the Project Authority; pilot test the interview guide; administer the interviews; and provide an overview of the results.

The Project Authority will provide the following:

Complete set of survey (Phase One) and interview questions (Phase Two);

Complete set of contracts and contact information for the survey and interviews;

Cover letter introducing the survey and its purpose and how the results will be used to improve the governance arrangement for ACAP;

Personal reminders and encouragement to survey and interview participants if completion of either lags or insufficient in numbers;

Ready availability to the contractor to discuss approaches, recommendations, required changes and challenges along the way.

Project Deliverables (Phase One):

On-line version of the survey

Pilot survey completed, with suggestions for re-design if necessary;

Revised survey administered and preliminary observations offered;

A weekly verbal progress report submitted to the Project Authority for review;

An overview of the results.

Project Deliverables (Phase Two):

Verbal feedback on the interview format, content and its design;

Pilot interviews completed, with suggestions for re-design if necessary;

Revised interview administered and preliminary observations offered;

A weekly verbal progress report submitted to the Project Authority for review;

An overview of the results.

Background:

The Atlantic Coastal Action Program (ACAP) is a long-standing community-based coastal ecosystem initiative in which government (Environment Canada) and 16 watershed/estuary-based, multi-stakeholder community coalitions (ACAP organizations) throughout Atlantic Canada partner in the design and delivery of environmental management actions on an area-specific basis. The program has operated continuously since 1992 as a 'shared governance' initiative in which the communities, governments and other partners undertake respective actions and collaborate to achieve mutual objectives. The program's website is: <http://atlantic-web1.ns.ec.gc.ca/community/acap/default.asp?lang=En&n=085FF7FC-11>

Yet the specific meaning of this 'shared governance' approach has never been clearly defined or articulated. Both government and community actors have expressed the need and desire to bring clarity to the shared and respective management responsibilities, specifically around the numerous management functions inherent in this type of program. The intention of this project is to improve the governance arrangement that guides ACAP.

Appendix 2 -- Survey Contacts:

A Government Close; **B** Government Less Involved; **C** Community Close; **D.** Community Less Involved

Government Close

| Name | Role | E-mail Contact |
|-------------------|---------------------------------|--|
| Colleen McNeil | ACAP Coordinator | Colleen.mcneil@ec.gc.ca |
| Suzie Dech | ACAP Science Liaison | Suzie.dech@ec.gc.ca |
| Kathryn Parlee | Ecosystem Advisor | Kathryn.parlee@ec.gc.ca |
| Jackie Olsen | Director, Strategic Integration | Jackie.olsen@ec.gc.ca |
| Karen Swan | Former ACAP Coordinator | Karen.swan@psecp.sppcc.gc.ca |
| Francine Rousseau | Former ACAP Coordinator | Francine.rousseau@ec.gc.ca |
| Eric Hundert | Former Director | Eric.hundert@ec.gc.ca |
| Jim Abraham | Regional Director General | Jim.abraham@ec.gc.ca |
| Wayne Barchard | ACAP Window | Wayne.barchard@ec.gc.ca |
| Rita Mroz | ACAP Window | Rita.mroz@ec.gc.ca |
| John MacLellan | ACAP Window | John.maclellan@ec.gc.ca |
| Rochelle Owen | ACAP Window | Rochelle.owen@ec.gc.ca |
| Randy Simmons | ACAP Window | Randy.simmons@ec.gc.ca |
| Kelly Murphy | ACAP Window | Kelly.murphy@ec.gc.ca |
| Kevin Power | ACAP Window | Kevin.power@ec.gc.ca |
| Andrew Boyne | ACAP Window | Andrew.boyne@ec.gc.ca |
| Claude Cote | ACAP Window | Claude.cote@ec.gc.ca |
| Rachel Gautreau | ACAP Window | Rachel.gautreau@ec.gc.ca |
| Helene Dupuis | ACAP Window | Helen.dupuis@ec.gc.ca |
| Ken Doe | ACAP Window | Ken.doe@ec.gc.ca |
| Peter Johnson | ACAP Window (former) | Peter.johnson@ec.gc.ca |
| Colin MacKinnon | ACAP Window | Colin.mackinnon@ec.gc.ca |
| Marc Sheeran | ACAP Window | Marc.sheeran@ec.gc.ca |
| 23 | | |

B. Government Less Involved

| Name | Role | E-mail Contact |
|-----------------|------------------------|--|
| Diane Amirault | EC science participant | Diane.amirault@ec.gc.ca |
| Neil Burgess | EC science participant | Neil.burgess@ec.gc.ca |
| Chris Craig | EC science participant | Chris.craig@ec.gc.ca |
| Jean-Guy Deveau | EC science participant | Deveau.jean-guy@ec.gc.ca |

| | | |
|----------------------|------------------------|--|
| Bill Ernst | EC science participant | Bill.ernst@ec.gc.ca |
| Lisa Fougere | EC science participant | Lisa.fougere@ec.gc.ca |
| Al Hanson | EC science participant | Al.hanson@ec.gc.ca |
| Gary Lines | EC science participant | Gary.lines@ec.gc.ca |
| Joe Pomeroy | EC science participant | Joe.pomeroy@ec.gc.ca |
| Hal Ritchie | EC science participant | Hal.ritchie@ec.gc.ca |
| Chris Roberts | EC science participant | Chris.roberts@ec.gc.ca |
| Les Rutherford | EC science participant | Les.rutherford@ec.gc.ca |
| Todd Smith | EC science participant | Todd.smith@ec.gc.ca |
| Steve Beauchamp | EC science participant | Steve.beauchamp@ec.gc.ca |
| Sharon Carter Munroe | NS Government | Carters1@gov.ns.ca |
| Claire Detheridge | CBRM Municipal gov't | mcdetheridge@cbrm.ns.ca |
| Vance Bridges | BBEMA Municipal gov't | vbridges@pei.sympatico.ca |
| Danny Shannon | NS Provincial gov't | shannodt@gov.ns.ca |
| Martin Bell | Municipal rep. NS | martinbell@bwr.eastlink.ca |
| Granville Veinotte | Federal rep, NS | veinotteg@mar.dfo-mpo.gc.ca |
| Beverlee Brown | Councilor, NS | bevglen@eastlink.ca |
| Ted Jennex | EC Community Programs | Ted.jennex@ec.gc.ca |
| Lucia Fanning | EC (former) | Lucia.fanning@dal.ca |
| 23 | | |

C. Community Close

| Name | Role | E-mail Contact |
|-----------------|-------------------------|--|
| Brenda Penak | ACAP Executive Director | Brenda@bbema.ca |
| Sarah-Jane Bell | ACAP Executive Director | sjbell@seapei.ca |
| Diana Baird | ACAP Executive Director | info@naacap.ca |
| Beni Malone | ACAP Executive Director | info@naacap.ca |
| Sheldon Peddle | ACAP Executive Director | speddle@acaphumberarm.com |
| Normand Morin | ACAP Executive Director | sarmlt@nbnet.nb.ca |
| Harry Collins | ACAP Executive Director | mreac@nbnet.nb.ca |
| Peggy Thompson | ACAP Executive Director | ecwinc@nbnet.nb.ca |
| Tim Vickers | ACAP Executive Director | acapsj@rogers.com |
| Kim Reeder | ACAP Executive Director | kim@scep.org |
| Art MacKay | ACAP Executive Director | artmackay@scep.org |
| Rick Welsford | ACAP Executive Director | rwelsford@sabletrust.ns.ca |
| Bob Christie | ACAP Executive Director | phepp@ca.inter.net |
| Steve Hawboldt | ACAP Executive Director | carp@annapolisriver.ca |
| Brooke Cook | ACAP Executive Director | brooke@coastalaction.org |

| | | |
|------------------|-------------------------|--|
| Eleanor Anderson | ACAP Executive Director | Eleanor@acapcb.ns.ca |
| Sue Farquharson | ACAP Executive Director | Susan.farquharson@gnb.ca |
| David Boyce | ACAP Executive Director | david@caspinc.com |
| Sean Brilliant | ACAP Executive Director | sbrillan@bio.usyd.edu.au |
| Judy McMullen | ACAP Executive Director | judym@clean.ns.ca |
| Asta Antoft | President (former) | aantoft@ca.inter.net |
| Les Smith | President | Leslie.smith@ns.sympatico.ca |
| Andrew Trivett | Chair | atrivett@upe.ca |
| 23 | | |

D. Community Less Involved

| Name | Role | E-mail Contact |
|-------------------|---------------------|--|
| Jim Foulds | Past Chair, ACAP-CB | jim@ecoboy.ca |
| Wilson Methven | Bluenose | Wilson.methven@highlinerfoods.com |
| Jack Kyte | PHEPP | jkyte@ncenahpaper.com |
| Richard Kellock | Pictou | R_kellock@ns.sympatico.ca |
| Doug Pincock | Sable | chair@sabletrust.ns.ca |
| April Hennigar | Sable | programs@sabletrust.ns.ca |
| Bill McAlister | St. Croix | caleb@nb.sympatico.ca |
| Joel Corcoran | Miramichi | joelcororan@gnb.ca |
| Cecil Lake | Humber | cflake@nl.rogers.com |
| Julie Huntington | Northeast Avalon | caplinbay@nl.rogers.com |
| Jeff Leard | BBEMA | Jleard@coxandpalmer.com |
| Patrick McMahon | MREAC Board | mcmahonp@nbnet.nb.ca |
| Don Archibald | MREAC Board | dbarchi@nb.sympatico.ca |
| Jean MacDonald | NB | JeanL.Macdonald@nbed.nb.ca |
| David Nutter | NB | dnutter@nb.sympatico.ca |
| Geoff Carre | CB | Geoff_carre@capebretonu.ca |
| Brendan Kelly | PEI | bkelly@pei.sympatico.ca |
| Blair Jeffrey | PEI | blair@goamigo.net |
| Darrell DasRoches | PEI | dxdesroches@edu.pe.ca |
| Amy Weston | Bluenose | Amy.weston@ns.sympatico.ca |
| John Bain | Bluenose | jbain@bwr.eastlink.ca |
| Julien Morneau | Madawaska | jmorno@rogers.com |
| Bruce Hatcher | President CB | Bruce_hatcher@cbu.ca |
| 23 | | |

Appendix 3 -- Atlantic Coastal Action Program – Online Governance survey

E-MAIL INVITATION AND INTRODUCTION TO ONLINE SURVEY

Dear ACAP participant,

Environment Canada has asked Omnifacts Bristol Research to conduct a survey of the participants in ACAP on its behalf. This survey is being conducted as part of Larry Hildebrand's Ph.D. research at the University of Wales, Cardiff.

This survey is an important step in gaining both academic and practical insight on the way government and communities work together in the 'shared governance' initiative known as ACAP. The information derived from this survey will inform the nature of the ongoing relationship between government and community, provide important insights for similar programs and be used to guide the future of the Atlantic Coastal Action Program. Your input is very valuable in this process.

The survey should take about 25 minutes to complete. Please note that the deadline for completing the pre-test of this survey is 5:00 pm AST on Monday, October 22th. In the event that you require assistance in completing the survey, please reply to this email and the survey administrator will respond to any technical issues or concerns you may have. When you are ready to begin, please click on your unique survey link below:

<http://survey.bristolgroup.ca/IntWeb.dll?IMODE=2&PROJECT=O 7404 0001.74040001&LANG=EN&PIN=9802938791>

Thank you in advance for your participation in this research.

Omnifacts Bristol Research

*Omnifacts Bristol Research is a Corporate Member of the Canadian Marketing Research Intelligence Association (MRIA) which is responsible for regulating marketing research practices in Canada. Omnifacts Bristol adheres very strictly to all MRIA guidelines of professionalism and privacy. If you would like to contact the MRIA to verify the legitimacy of this research study or our company please call 1-800-554-9996 toll free and reference study ID: 7404-0001.

SCREEN 1

We would like to thank you for your participation in this survey, about the nature of **'shared governance' of ACAP**. We very much appreciate your help with this research.

You might ask - what is 'governance'? In its simplest sense, one definition (Rowan and Muldar, 1993) states that governance is "the capacity to get things done without necessarily the legal competence to command that they be done." This is clearly how the ACAP process and organizations operate. Yet the

specific nature of the shared role between government and the community-based ACAP organizations has not been fully defined. It is the objective of this survey to shed light on this process so that we can understand more clearly our shared and respective roles and responsibilities.

SCREEN 2

Please be assured that we are not selling or promoting any products or services but are simply interested in your opinions. Your personal responses will be kept strictly confidential. This survey should take about **25** minutes to complete. You are free to choose whether or not to participate in this survey and free to discontinue your participation at any time.

Please note that the deadline for completing this survey is **5:00 pm AST on Monday, October 22nd**.

Please use the navigation buttons on the screen to navigate throughout the survey. You must answer each question before proceeding to the next screen. Please refrain from using the back button of your web browser or the enter key or your information may be lost.

This online survey allows you the opportunity of completing it all in one sitting, or completing part of the survey and finishing it at a later date. To suspend the survey, simply close your web browser. When you are ready to continue, just click on the link in your email to resume and complete the remainder of the survey.

SECTION 1: Demographics

Which of the following best describes your recent or current involvement with ACAP?

CHECK ONE ONLY

Environment Canada-ACAP Office staff and management

Environment Canada Window

Government project participant

ACAP executive director

ACAP board of directors / Advisory Council member

ACAP community project participant or supporter

Other – Please specify _____

Don't Know / Unsure

How long have you been involved with ACAP? **CHECK ONE ONLY**

Less than 1 year

1 to 2 years

2 to 5 years

5 to 10 years

10 years or longer

Don't Know / Unsure

SCREEN 5

Throughout the remainder of the survey, the various categories of management functions particular to ACAP will be presented to you (strategic planning, financial management, government relations, and so on) including a brief description of each category.

You will be asked to evaluate a number of management functions within each category, and make judgements about the responsibility for each function. We will be asking for your opinion on how the various management functions are currently operating and how you want to see them operating in the future. The size of the list of management functions varies for each category. Some lists are lengthy, but we ask that you please take the time to consider each function individually and provide a meaningful response.

If you need to take a break, you can suspend the survey by simply closing your web browser. When you are ready to continue the survey, just click on the link in your email to re-open and resume where you left-off. Please be conscious of the deadline for completing the survey; only the surveys that are fully-completed by this date will be included in the analysis.

SECTION 2: Strategic Planning

Strategic Planning is an organization's process of defining its long-term goals and intended future outcomes and then identifying the best approach for achieving them. It is a road map to lead an organization from where it is now to where it would like to be in five, ten or twenty years.

Please identify how each of the following strategic planning functions within ACAP is currently handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST; keep i & j together]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| a) Vision setting for individual ACAP organizations | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Issue identification for the community | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Priority setting for individual ACAP organizations | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Determining desired outcomes/results for individual ACAP geographic area of focus | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Project selection (annual & multi-year) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) Management plan development | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) New ACAP site selection | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| h) Determining the ACAP Program's future | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| i) Program monitoring, review, evaluation & reporting for the <u>ACAP program overall</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| j) Program monitoring, review, evaluation & reporting for <u>individual ACAP organizations</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Looking ahead to the next 5 to 10 years, please identify how you want to see each of the following strategic planning functions within ACAP being handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST TO MATCH PREVIOUS LIST]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| a) Vision setting for individual ACAP organizations | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Issue identification for the community | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Priority setting for individual ACAP organizations | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Determining desired outcomes/results for individual ACAP geographic area of focus | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Project selection (annual & multi-year) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) Management plan development | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) New ACAP site selection | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| h) Determining the ACAP Program's future | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| i) Program monitoring, review, evaluation & reporting for the <u>ACAP program overall</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| j) Program monitoring, review, evaluation & reporting for <u>individual ACAP organizations</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

PT1. Do you have any additional comments about this section?

No comments

SECTION 3: Financial Management

Financial Management encompasses the two core processes of resource management and financial operations.

Please identify how each of the following financial management functions within ACAP is currently handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST; keep a & b and f & g together]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| a) Securing core financial operational support for the <u>ACAP program overall</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Securing core financial operational support for <u>individual ACAP organizations</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Securing infrastructure support (office, phones, computers, etc.) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Securing project funding and preparing project applications (other sources of funds) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Allocating funds (from all sources) to priorities | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) Financial accountability (tracking, reporting, auditing and evaluation, return on investment) for the <u>ACAP program overall</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) Financial accountability (tracking, reporting, auditing and evaluation, return on investment) for <u>individual ACAP organizations</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Looking ahead to the next 5 to 10 years, please identify how you want to see each of the following financial management functions within ACAP being handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST TO MATCH PREVIOUS LIST]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| a) Securing core financial operational support for the <u>ACAP program overall</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Securing core financial operational support for <u>individual ACAP organizations</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Securing infrastructure support (office, phones, computers, etc.) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| d) Securing project funding and preparing project applications (other sources of funds) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Allocating funds (from all sources) to priorities | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) Financial accountability (tracking, reporting, auditing and evaluation, return on investment) for the ACAP program overall | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) Financial accountability (tracking, reporting, auditing and evaluation, return on investment) for <u>individual ACAP organizations</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

PT2. Do you have any additional comments about this section?

No comments

Organizational Management is concerned with the structure and functioning of an organization.

Please identify how each of the following organizational management functions within ACAP is currently handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST; keep c & d and e & f together]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| a) Establishing group structure and process for individual ACAP organizations | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Develop by-laws and terms of reference for each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Establishing values and ethics for the <u>ACAP program overall</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Establishing values and ethics for <u>individual ACAP organizations</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Planning for individual ACAP site sustainability | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| f) Planning for sustainability of ACAP program | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) Building trust among stakeholders | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| h) Project management for each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| i) Strengthening community capacity to engage in local governance | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Looking ahead to the next 5 to 10 years, please identify how you want to see each of the following organizational management functions within ACAP being handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST TO MATCH PREVIOUS LIST]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| a) Establishing group structure and process for individual ACAP organizations | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Develop by-laws and terms of reference for each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Establishing values and ethics for the ACAP program overall | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Establishing values and ethics for individual ACAP organizations | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Planning for individual ACAP site sustainability | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) Planning for sustainability of ACAP program | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) Building trust among stakeholders | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| h) Project management for each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| i) Strengthening community capacity to engage in local governance | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

PT3. Do you have any additional comments about this section?

No comments

SECTION 5: Human Resources Management

Human Resources Management is the function within an organization that deals with issues related to people such as hiring, compensation, performance management, organization development, safety, wellness, benefits, employee motivation, communication, administration, and training.

Please identify how each of the following human resource management functions within ACAP is currently handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST; keep f & g and i & j together]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| a) Volunteer recruitment and recognition in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Hiring and firing in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Compensation benefits negotiation in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Training and skills development in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Meeting OSH (Occupational Safety & Health) requirements in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) Mentoring of staff within each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) Mentoring of other similar groups (e.g. Other watershed-based groups) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| h) Orientation for new staff and volunteers in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| i) 'ACAP Windows' management and care for the <u>program overall</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| j) 'ACAP Windows' management and care for the <u>individual ACAP organization</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| k) Individual ACAP organization's Board of Directors' management and care | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| l) Conflict avoidance and resolution in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| m) Career development (e.g., youth) in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| n) Performance appraisal in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| o) Exit strategies for staff in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Looking ahead to the next 5 to 10 years, please identify how you want to see each of the following human resource management functions within ACAP being handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST TO MATCH PREVIOUS LIST]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| a) Volunteer recruitment and recognition in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Hiring and firing in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Compensation benefits negotiation in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Training and skills development in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Meeting OSH (Occupational Safety & Health) requirements in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) Mentoring of staff within each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) Mentoring of other similar groups (e.g. Other watershed-based groups) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| h) Orientation for new staff and volunteers in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| i) 'ACAP Windows' management and care for the <u>program overall</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| j) 'ACAP Windows' management and care for the <u>individual ACAP organization</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| k) Individual ACAP organization's Board of Directors' management and care | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| l) Conflict avoidance and resolution in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| m) Career development (e.g., youth) in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| n) Performance appraisal in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| o) Exit strategies for staff in each ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

PT4. Do you have any additional comments about this section?

No comments

SECTION 6: Partnership Management

Partnership Management is an organization's process of creating and maintaining a cooperative relationship between people or groups who agree to share responsibility for achieving specific goals.

Please identify how each of the following partnership management functions within ACAP is currently handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST; keep b & c together]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| a) Securing, building and maintaining partnerships at the <u>individual</u> ACAP organization level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Securing, building and maintaining partnerships at the <u>provincial</u> level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Securing, building and maintaining partnerships at the <u>Atlantic region</u> level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Building and maintaining trust among stakeholders | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Plan and convene <u>individual ACAP</u> Annual General Meetings | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| f) Plan and convene <u>Atlantic</u> Annual General Meetings | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Looking ahead to the next 5 to 10 years, please identify how you want to see each of the following partnership management functions within ACAP being handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST TO MATCH PREVIOUS LIST]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| a) Securing, building and maintaining partnerships at the individual ACAP organization level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Securing, building and maintaining partnerships at the <u>provincial</u> level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Securing, building and maintaining partnerships at the <u>Atlantic region</u> level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Building and maintaining trust among stakeholders | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Plan and convene <u>individual ACAP</u> Annual General Meetings | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) Plan and convene <u>Atlantic</u> Annual General Meetings | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

PT5. Do you have any additional comments about this section?

No comments

SECTION 7: Knowledge Management and Generation

Knowledge Management and Generation is the process of enabling individuals, teams and entire organizations to collectively and systematically create, share and apply knowledge, to better achieve their objectives.

Please identify how each of the following knowledge management and generation functions within ACAP is currently handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST; keep a & b together]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| a) Setting science priorities at local ACAP level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Setting science priorities within government | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Designing scientific studies at the local ACAP scale | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Conducting the science | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Monitoring and data collection | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) Data and information management | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) Evaluation of results (peer review of projects) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| h) Communicating results to the public | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| i) Communicating results to the scientific community | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| j) Science-management integration | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Looking ahead to the next 5 to 10 years, please identify how you want to see each of the following knowledge management and generation functions within ACAP being handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST TO MATCH PREVIOUS LIST]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| a) Setting science priorities at local ACAP level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Setting science priorities within government | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Designing scientific studies at the local ACAP scale | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Conducting the science | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| e) Monitoring and data collection | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) Data and information management | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) Evaluation of results (peer review of projects) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| h) Communicating results to the public | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| i) Communicating results to the scientific community | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| j) Science-management integration | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

PT6. Do you have any additional comments about this section?

No comments

SECTION 8: Networking

Networking is the process through which information is shared, collaborative activities are formed and participants feel a part of a greater whole.

Please identify how each of the following networking functions within ACAP is currently handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST; keep a & b & c together]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| a) Sharing experiences and approaches with <u>local ACAP stakeholders</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Sharing experiences and approaches with <u>similar groups</u> in the Atlantic Region | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Sharing experiences and approaches with those in <u>government</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Convening partners (current and potential) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Linking beyond individual sites for regional collaborative efforts | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) Hosting workshops and conferences | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) Convening the 'ACAP family' for networking and sharing experiences | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Looking ahead to the next 5 to 10 years, please identify how you want to see each of the following networking functions within ACAP being handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST TO MATCH PREVIOUS LIST]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| a) Sharing experiences and approaches with <u>local ACAP stakeholders</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Sharing experiences and approaches with <u>similar groups</u> in the Atlantic Region | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Sharing experiences and approaches with those in <u>government</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| d) Convening partners (current and potential) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Linking beyond individual sites for regional collaborative efforts | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) Hosting workshops and conferences | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) Convening the 'ACAP family' for networking and sharing experiences | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

PT7. Do you have any additional comments about this section?

No comments

SECTION 9: Media Relations/Engagement

Media Relations and engagement involves working directly with persons responsible for the editorial (news and features), public service and sponsored programming products of mass media. It refers to the relationship that an organization develops with journalists.

Please identify how each of the following media relations and media engagement functions within ACAP is currently handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| a) Determining messages, tone and target audiences | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Approving and issuing press releases | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Serve as spokespersons for community | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Advocating change through media | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Organizing media events | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Looking ahead to the next 5 to 10 years, please identify how you want to see each of the following media relations and media engagement functions within ACAP being handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST TO MATCH PREVIOUS LIST]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| a) Determining messages, tone and target audiences | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Approving and issuing press releases | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Serve as spokespersons for community | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Advocating change through media | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Organizing media events | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

PT8. Do you have any additional comments about this section?

No comments

SECTION 10: Community-Stakeholder Relations and Civic Engagement

Community-Stakeholder relations and civic engagement are individual and collective actions designed to identify and address issues of public concern. Civic engagement means working to make a difference in the civic life of our communities and developing the combination of knowledge, skills, values and motivation to make that difference. It means promoting the quality of life in a community, through both political and non-political processes.

Please identify how each of the following community and stakeholder relations and civic engagement functions within ACAP is currently handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST; keep b & c together]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| a) Representing the community's goals and objectives | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Education / outreach on broad environmental issues | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Education / outreach on local issues and priorities | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Engaging the public in getting involved | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Reporting to the public on activities and accomplishments of the ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Looking ahead to the next 5 to 10 years, please identify how you want to see each of the following community and stakeholder relations and civic engagement functions within ACAP being handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST TO MATCH PREVIOUS LIST]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| a) Representing the community's goals and objectives | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Education / outreach on broad environmental issues | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Education / outreach on local issues and priorities | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Engaging the public in getting involved | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| e) Reporting to the public on activities and accomplishments of the ACAP organization | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

PT9. Do you have any additional comments about this section?

No comments

SECTION 11: Political Relations

Political Relations describe the relationship between the community organizations and the elected officials of the governments of Canada. They are developed and nurtured to communicate priorities and influence policy direction.

Please identify how each of the following political relations functions within ACAP is currently handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST; keep c & d & e together]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| a) Advocating for locally-identified priorities and needs | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Securing political support for identified priorities | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Influencing government policy at the <u>municipal</u> level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Influencing government policy at the <u>provincial</u> level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Influencing government policy at the <u>federal</u> level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Looking ahead to the next 5 to 10 years, please identify how you want to see each of the following political relations functions within ACAP being handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST TO MATCH PREVIOUS LIST]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| a) Advocating for locally-identified priorities and needs | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|---|---|---|--|--|-----------------------|
| b) Securing political support for identified priorities | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Influencing government policy at the <u>municipal</u> level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Influencing government policy at the <u>provincial</u> level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Influencing government policy at the <u>federal</u> level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

PT10. Do you have any additional comments about this section?

No comments

SECTION 12: Government (Bureaucratic) Relations

Government (Bureaucratic) Relations describe how community organizations work with and influence the bureaucratic levels of government and their coordination functions.

Please identify how each of the following government (or bureaucratic) relations functions within ACAP is currently handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST; keep c & d together]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| a) Inter-departmental (federal) coordination | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Inter-governmental (federal-provincial-municipal) coordination | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Ensuring program integrity and sustainability at the <u>local ACAP level</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Ensuring program integrity and sustainability for the <u>ACAP program overall</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Promotion of ACAP model throughout Canada | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) Influencing the direction of Integrated Coastal Management in Canada | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) Promotion of ACAP model internationally | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Looking ahead to the next 5 to 10 years, please identify how you want to see each of the following government (or bureaucratic) relations functions within ACAP being handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST TO MATCH PREVIOUS LIST]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| a) Inter-departmental (federal) coordination | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Inter-governmental (federal-provincial-municipal) coordination | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Ensuring program integrity and sustainability at the <u>local ACAP level</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Ensuring program integrity and sustainability for the <u>ACAP program overall</u> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| e) Promotion of ACAP model throughout Canada | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| f) Influencing the direction of Integrated Coastal Management in Canada | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| g) Promotion of ACAP model internationally | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

PT11. Do you have any additional comments about this section?

No comments

SECTION 13: Regulatory Compliance/ Enforcement

Regulatory Compliance and Enforcement is either a state of being in accordance with established guidelines, specifications or legislation or the process of becoming so.

Please identify how each of the following regulatory compliance and enforcement functions within ACAP is currently handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| a) Encouraging compliance at the local ACAP level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Enforcement of laws and regulations at the local ACAP level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Providing incentives for compliance at the local level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Rewarding compliance at the local level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Looking ahead to the next 5 to 10 years, please identify how you want to see each of the following regulatory compliance and enforcement functions within ACAP being handled.

CHECK ONE 'LEAD' CATEGORY FOR EACH MANAGEMENT FUNCTION [ROTATE LIST TO MATCH PREVIOUS LIST]

| | Exclusive Government Lead/ Responsibility | Government Lead, with Community Support | Community Lead with Government Support | Exclusive Community Lead/ Responsibility | Don't know |
|--|---|---|--|--|-----------------------|
| a) Encouraging compliance at the local ACAP level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| b) Enforcement of laws and regulations at the local ACAP level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| c) Providing incentives for compliance at the local level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| d) Rewarding compliance at the local level | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

PT12. Do you have any additional comments about this section?

No comments

CLOSING

PLEASE CLICK THE RIGHT ARROW TO COMPLETE THE STUDY. REMEMBER, ALL THE INFORMATION YOU PROVIDED IS CONFIDENTIAL; WE WON'T IDENTIFY YOU IN ANY WAY IN THE SURVEY ANALYSIS AND REPORT.

THANK YOU FOR TAKING PART IN THIS SURVEY!

APPENDIX 4 – DETAILED SURVEY RESULT DATA

SECTION 1: Demographics

Q1: Which of the following best describes your recent or current involvement with ACAP ?

| | Total | Type | | | |
|--|-------|------------------|---------------------|-----------------|---------------------|
| | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | 44 | 15 | 5 | 15 | 9 |
| ACAP executive director | 30% | 0% | 0% | 80% | 11% |
| Environment Canada Window | 25% | 67% | 20% | 0% | 0% |
| ACAP board of directors / Advisory Council member | 20% | 0% | 0% | 13% | 78% |
| Environment Canada-ACAP Office staff and management | 11% | 27% | 20% | 0% | 0% |
| Government project participant | 9% | 7% | 60% | 0% | 0% |
| Other (PLEASE SPECIFY) | 5% | 0% | 0% | 7% | 11% |

SECTION 1: Demographics

Q2: How long have you been involved with ACAP ?

| | Total | Type | | | |
|-----------------------------|-------|------------------|---------------------|-----------------|---------------------|
| | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | 44 | 15 | 5 | 15 | 9 |
| Less than 1 year | 9% | 13% | 0% | 13% | 0% |
| 1 to 2 years | 5% | 13% | 0% | 0% | 0% |
| 2 to 5 years | 18% | 27% | 20% | 7% | 22% |
| 5 to 10 years | 16% | 20% | 20% | 7% | 22% |
| 10 years or longer | 52% | 27% | 60% | 73% | 56% |

Section 2: Strategic Planning - Currently Handled

| | | Total | Type | | | |
|---|---|-------|------------------|---------------------|-----------------|---------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q3(a): Vision setting for individual ACAP organizations | Community Lead with Government Support | 45% | 53% | 60% | 33% | 44% |
| | Exclusive Community Lead/ Responsibility | 52% | 47% | 20% | 67% | 56% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| Q3(b): Issue identification for the community | Community Lead with Government Support | 39% | 40% | 40% | 33% | 44% |
| | Exclusive Community Lead/ Responsibility | 59% | 60% | 40% | 67% | 56% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| Q3(c): Priority setting for individual ACAP organizations | Community Lead with Government Support | 52% | 47% | 80% | 47% | 56% |
| | Exclusive Community Lead/ Responsibility | 43% | 53% | 0% | 47% | 44% |
| | Don't Know | 5% | 0% | 20% | 7% | 0% |
| Q3(d): Determining desired outcomes/results for individual ACAP geographic area of focus | Government Lead, with Community Support | 7% | 0% | 0% | 20% | 0% |
| | Community Lead with Government Support | 68% | 67% | 80% | 60% | 78% |
| | Exclusive Community Lead/ Responsibility | 23% | 33% | 0% | 20% | 22% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| Q3(e): Project selection (annual & multi-year) | Government Lead, with Community Support | 5% | 7% | 20% | 0% | 0% |
| | Community Lead with Government Support | 68% | 80% | 60% | 60% | 67% |
| | Exclusive Community Lead/ Responsibility | 20% | 7% | 0% | 33% | 33% |
| | Don't Know | 7% | 7% | 20% | 7% | 0% |

| | | | | | | |
|--|--|-----|-----|-----|-----|-----|
| Q3(f): Management plan development | Exclusive Government Lead /Responsibility | 2% | 0% | 0% | 7% | 0% |
| | Government Lead, with Community Support | 9% | 13% | 20% | 0% | 11% |
| | Community Lead with Government Support | 59% | 73% | 40% | 53% | 56% |
| | Exclusive Community Lead/ Responsibility | 25% | 13% | 0% | 40% | 33% |
| | Don't Know | 5% | 0% | 40% | 0% | 0% |
| Q3(g): New ACAP site selection | Exclusive Government Lead /Responsibility | 30% | 27% | 20% | 33% | 33% |
| | Government Lead, with Community Support | 57% | 73% | 60% | 53% | 33% |
| | Community Lead with Government Support | 2% | 0% | 0% | 7% | 0% |
| | Don't Know | 11% | 0% | 20% | 7% | 33% |
| Q3(h): Determining the ACAP Program's future | Exclusive Government Lead /Responsibility | 25% | 27% | 60% | 13% | 22% |
| | Government Lead, with Community Support | 50% | 60% | 20% | 47% | 56% |
| | Community Lead with Government Support | 18% | 13% | 0% | 33% | 11% |
| | Exclusive Community Lead/ Responsibility | 5% | 0% | 0% | 7% | 11% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| Q3(i): Program monitoring, review, evaluation & reporting for the ACAP program overall | Exclusive Government Lead /Responsibility | 32% | 53% | 20% | 20% | 22% |
| | Government Lead, with Community Support | 61% | 47% | 60% | 80% | 56% |
| | Community Lead with Government Support | 5% | 0% | 0% | 0% | 22% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| Q3(j): Program monitoring, review, evaluation & reporting for individual ACAP organizations | Exclusive Government Lead /Responsibility | 2% | 0% | 20% | 0% | 0% |
| | Government Lead, with Community Support | 25% | 33% | 40% | 20% | 11% |

| | | | | | | |
|--|--|-----|-----|-----|-----|-----|
| | Community Lead with Government Support | 55% | 67% | 20% | 60% | 44% |
| | Exclusive Community Lead/Responsibility | 16% | 0% | 0% | 20% | 44% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |

Section 2: Strategic Planning - Next 5-10 Years

| | | Total | Type | | | |
|---|--|-------|------------------|---------------------|-----------------|---------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q4(a): Vision setting for individual ACAP organizations | Government Lead, with Community Support | 5% | 7% | 20% | 0% | 0% |
| | Community Lead with Government Support | 52% | 53% | 60% | 60% | 33% |
| | Exclusive Community Lead/Responsibility | 43% | 40% | 20% | 40% | 67% |
| Q4(b): Issue identification for the community | Government Lead, with Community Support | 5% | 0% | 40% | 0% | 0% |
| | Community Lead with Government Support | 45% | 67% | 0% | 40% | 44% |
| | Exclusive Community Lead/Responsibility | 50% | 33% | 60% | 60% | 56% |
| Q4(c): Priority setting for individual ACAP organizations | Government Lead, with Community Support | 5% | 7% | 20% | 0% | 0% |
| | Community Lead with Government Support | 52% | 53% | 60% | 53% | 44% |
| | Exclusive Community Lead/Responsibility | 43% | 40% | 20% | 47% | 56% |
| Q4(d): Determining desired outcomes/results for individual ACAP geographic area of focus | Government Lead, with Community Support | 11% | 20% | 20% | 0% | 11% |
| | Community Lead with Government Support | 68% | 73% | 80% | 73% | 44% |
| | Exclusive Community Lead/Responsibility | 20% | 7% | 0% | 27% | 44% |

| | Responsibility | | | | | |
|---|---|-----|-----|------|-----|-----|
| Q4(e): Project selection (annual & multi-year) | Government Lead, with Community Support | 9% | 7% | 40% | 0% | 11% |
| | Community Lead with Government Support | 57% | 60% | 60% | 67% | 33% |
| | Exclusive Community Lead/Responsibility | 34% | 33% | 0% | 33% | 56% |
| Q4(f): Management plan development | Government Lead, with Community Support | 14% | 13% | 40% | 7% | 11% |
| | Community Lead with Government Support | 59% | 67% | 60% | 53% | 56% |
| | Exclusive Community Lead/Responsibility | 27% | 20% | 0% | 40% | 33% |
| Q4(g): New ACAP site selection | Exclusive Government Lead/Responsibility | 11% | 20% | 0% | 0% | 22% |
| | Government Lead, with Community Support | 64% | 67% | 60% | 73% | 44% |
| | Community Lead with Government Support | 18% | 13% | 20% | 20% | 22% |
| | Exclusive Community Lead/Responsibility | 7% | 0% | 20% | 7% | 11% |
| Q4(h): Determining the ACAP Program's future | Exclusive Government Lead/Responsibility | 9% | 20% | 20% | 0% | 0% |
| | Government Lead, with Community Support | 57% | 67% | 40% | 53% | 56% |
| | Community Lead with Government Support | 30% | 13% | 40% | 40% | 33% |
| | Exclusive Community Lead/Responsibility | 5% | 0% | 0% | 7% | 11% |
| Q4(i): Program monitoring, review, evaluation & reporting for the ACAP program overall | Exclusive Government Lead/Responsibility | 7% | 13% | 0% | 7% | 0% |
| | Government Lead, with Community Support | 75% | 73% | 100% | 73% | 67% |
| | Community Lead with Government Support | 16% | 13% | 0% | 20% | 22% |

| | | | | | | |
|--|---|-----|-----|-----|-----|-----|
| | Exclusive Community Lead/ Responsibility | 2% | 0% | 0% | 0% | 11% |
| Q4(j): Program monitoring, review, evaluation & reporting for individual ACAP organizations | Government Lead, with Community Support | 11% | 13% | 40% | 0% | 11% |
| | Community Lead with Government Support | 70% | 80% | 60% | 80% | 44% |
| | Exclusive Community Lead/ Responsibility | 18% | 7% | 0% | 20% | 44% |

SECTION 3: Financial Management - Currently Handled

| | | Total | Type | | | |
|--|--|--------------|-----------------------------|--------------------------------|----------------------------|--------------------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q5(a): Securing core financial operational support for the ACAP program overall | Exclusive Government Lead /Responsibility | 59% | 80% | 40% | 40% | 67% |
| | Government Lead, with Community Support | 34% | 13% | 40% | 60% | 22% |
| | Community Lead with Government Support | 2% | 0% | 0% | 0% | 11% |
| | Don't Know | 5% | 7% | 20% | 0% | 0% |

| | | | | | | |
|---|--|-----|-----|-----|-----|-----|
| Q5(b): Securing core financial operational support for individual ACAP organizations | Exclusive Government Lead /Responsibility | 11% | 20% | 20% | 0% | 11% |
| | Government Lead, with Community Support | 39% | 53% | 20% | 27% | 44% |
| | Community Lead with Government Support | 34% | 13% | 40% | 53% | 33% |
| | Exclusive Community Lead/ Responsibility | 11% | 7% | 0% | 20% | 11% |
| | Don't Know | 5% | 7% | 20% | 0% | 0% |
| Q5(c): Securing infrastructure support (office, phones, computers, etc.) | Exclusive Government Lead /Responsibility | 7% | 13% | 20% | 0% | 0% |

| | | | | | | |
|---|--|-----|-----|-----|-----|-----|
| | Government Lead, with Community Support | 2% | 0% | 0% | 0% | 11% |
| | Community Lead with Government Support | 30% | 20% | 40% | 40% | 22% |
| | Exclusive Community Lead/Responsibility | 57% | 67% | 0% | 60% | 67% |
| | Don't Know | 5% | 0% | 40% | 0% | 0% |
| Q5(d): Securing project funding and preparing project applications (other sources of funds) | Government Lead, with Community Support | 5% | 7% | 0% | 7% | 0% |
| | Community Lead with Government Support | 41% | 47% | 80% | 27% | 33% |
| | Exclusive Community Lead/Responsibility | 52% | 47% | 0% | 67% | 67% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| Q5(e): Allocating funds (from all sources) to priorities | Exclusive Government Lead /Responsibility | 5% | 7% | 20% | 0% | 0% |
| | Government Lead, with Community Support | 9% | 7% | 20% | 7% | 11% |
| | Community Lead with Government Support | 39% | 53% | 40% | 20% | 44% |
| | Exclusive Community Lead/Responsibility | 43% | 27% | 0% | 73% | 44% |
| | Don't Know | 5% | 7% | 20% | 0% | 0% |
| Q5(f): Financial accountability (tracking, reporting, auditing and evaluation, return on investment) for the ACAP program overall | Exclusive Government Lead /Responsibility | 32% | 47% | 60% | 13% | 22% |
| | Government Lead, with Community Support | 52% | 40% | 20% | 73% | 56% |
| | Community Lead with Government Support | 7% | 7% | 0% | 7% | 11% |
| | Exclusive Community Lead/Responsibility | 2% | 0% | 0% | 7% | 0% |
| | Don't Know | 7% | 7% | 20% | 0% | 11% |
| Q5(g): Financial accountability (tracking, reporting, auditing and evaluation, return on investment) for individual ACAP organizations | Exclusive Government Lead /Responsibility | 2% | 0% | 20% | 0% | 0% |
| | Government Lead, with Community Support | 5% | 7% | 0% | 0% | 11% |

| | | | | | |
|--|-----|-----|-----|-----|-----|
| Community Lead with Government Support | 48% | 60% | 60% | 40% | 33% |
| Exclusive Community Lead/Responsibility | 43% | 33% | 0% | 60% | 56% |
| Don't Know | 2% | 0% | 20% | 0% | 0% |

SECTION 3: Financial Management - Next 5-10 Years

| | | Total | Type | | | |
|--|--|-------|------------------|---------------------|-----------------|---------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q6(a): Securing core financial operational support for the ACAP program overall | Exclusive Government Lead /Responsibility | 34% | 47% | 0% | 27% | 44% |
| | Government Lead, with Community Support | 48% | 47% | 60% | 53% | 33% |
| | Community Lead with Government Support | 18% | 7% | 40% | 20% | 22% |
| Q6(b): Securing core financial operational support for individual ACAP organizations | Exclusive Government Lead /Responsibility | 7% | 13% | 0% | 0% | 11% |
| | Government Lead, with Community Support | 20% | 33% | 0% | 13% | 22% |
| | Community Lead with Government Support | 57% | 27% | 100% | 80% | 44% |
| | Exclusive Community Lead/Responsibility | 16% | 27% | 0% | 7% | 22% |
| Q6(c): Securing infrastructure support (office, phones, computers, etc.) | Government Lead, with Community Support | 9% | 7% | 20% | 13% | 0% |
| | Community Lead with Government Support | 34% | 20% | 60% | 33% | 44% |
| | Exclusive Community Lead/Responsibility | 57% | 73% | 20% | 53% | 56% |
| Q6(d): Securing project funding and preparing project applications (other sources of funds) | Government Lead, with Community Support | 5% | 13% | 0% | 0% | 0% |
| | Community Lead with Government | 50% | 27% | 80% | 47% | 78% |

| | | | | | | |
|---|--|-----|-----|-----|-----|-----|
| | Support | | | | | |
| | Exclusive Community Lead/Responsibility | 45% | 60% | 20% | 53% | 22% |
| Q6(e): Allocating funds (from all sources) to priorities | Government Lead, with Community Support | 7% | 7% | 40% | 0% | 0% |
| | Community Lead with Government Support | 32% | 40% | 40% | 20% | 33% |
| | Exclusive Community Lead/Responsibility | 61% | 53% | 20% | 80% | 67% |
| Q6(f): Financial accountability (tracking, reporting, auditing and evaluation, return on investment) for the ACAP program overall | Exclusive Government Lead /Responsibility | 23% | 27% | 40% | 7% | 33% |
| | Government Lead, with Community Support | 57% | 67% | 40% | 60% | 44% |
| | Community Lead with Government Support | 18% | 7% | 20% | 27% | 22% |
| | Don't Know | 2% | 0% | 0% | 7% | 0% |
| Q6(g): Financial accountability (tracking, reporting, auditing and evaluation, return on investment) for individual ACAP organizations | Exclusive Government Lead /Responsibility | 2% | 0% | 20% | 0% | 0% |
| | Government Lead, with Community Support | 2% | 7% | 0% | 0% | 0% |
| | Community Lead with Government Support | 52% | 67% | 80% | 47% | 22% |
| | Exclusive Community Lead/Responsibility | 43% | 27% | 0% | 53% | 78% |

SECTION 4: Organizational Management - Currently Handled

| | | Total | Type | | | |
|--|--|--------------|-------------------------|----------------------------|------------------------|----------------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q7(a): Establishing group structure and process for individual ACAP organizations | Exclusive Government Lead /Responsibility | 2% | 7% | 0% | 0% | 0% |
| | Government Lead, with Community Support | 9% | 13% | 0% | 7% | 11% |

| | | | | | | |
|---|--|-----|-----|-----|-----|-----|
| | Community Lead with Government Support | 30% | 40% | 60% | 13% | 22% |
| | Exclusive Community Lead/Responsibility | 52% | 33% | 20% | 73% | 67% |
| | Don't Know | 7% | 7% | 20% | 7% | 0% |
| Q7(b): Develop by-laws and terms of reference for each ACAP organization | Government Lead, with Community Support | 5% | 7% | 0% | 0% | 11% |
| | Community Lead with Government Support | 32% | 40% | 40% | 7% | 56% |
| | Exclusive Community Lead/Responsibility | 59% | 47% | 40% | 93% | 33% |
| | Don't Know | 5% | 7% | 20% | 0% | 0% |
| Q7(c): Establishing values and ethics for the ACAP program overall | Exclusive Government Lead /Responsibility | 9% | 20% | 20% | 0% | 0% |
| | Government Lead, with Community Support | 50% | 53% | 40% | 53% | 44% |
| | Community Lead with Government Support | 27% | 13% | 20% | 40% | 33% |
| | Exclusive Community Lead/Responsibility | 5% | 0% | 0% | 7% | 11% |
| | Don't Know | 9% | 13% | 20% | 0% | 11% |
| Q7(d): Establishing values and ethics for individual ACAP organizations | Community Lead with Government Support | 39% | 53% | 40% | 27% | 33% |
| | Exclusive Community Lead/Responsibility | 55% | 33% | 40% | 73% | 67% |
| | Don't Know | 7% | 13% | 20% | 0% | 0% |
| Q7(e): Planning for individual ACAP site sustainability | Government Lead, with Community Support | 2% | 0% | 0% | 0% | 11% |
| | Community Lead with Government Support | 64% | 67% | 80% | 60% | 56% |
| | Exclusive Community Lead/Responsibility | 32% | 33% | 0% | 40% | 33% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| Q7(f): Planning for sustainability of ACAP program | Exclusive Government Lead /Responsibility | 16% | 27% | 20% | 7% | 11% |
| | Government Lead, with Community | 64% | 67% | 60% | 73% | 44% |

| | | | | | | |
|--|---|-----|-----|-----|-----|-----|
| | Support | | | | | |
| | Community Lead with Government Support | 18% | 7% | 0% | 20% | 44% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| Q7(g): Building trust among stakeholders | Government Lead, with Community Support | 14% | 27% | 20% | 0% | 11% |
| | Community Lead with Government Support | 57% | 67% | 60% | 67% | 22% |
| | Exclusive Community Lead/ Responsibility | 25% | 0% | 0% | 33% | 67% |
| | Don't Know | 5% | 7% | 20% | 0% | 0% |
| Q7(h): Project management for each ACAP organization | Government Lead, with Community Support | 2% | 7% | 0% | 0% | 0% |
| | Community Lead with Government Support | 30% | 40% | 40% | 20% | 22% |
| | Exclusive Community Lead/ Responsibility | 64% | 53% | 40% | 80% | 67% |
| | Don't Know | 5% | 0% | 20% | 0% | 11% |
| Q7(i): Strengthening community capacity to engage in local governance | Government Lead, with Community Support | 9% | 13% | 40% | 0% | 0% |
| | Community Lead with Government Support | 48% | 53% | 20% | 60% | 33% |
| | Exclusive Community Lead/ Responsibility | 36% | 20% | 20% | 40% | 67% |
| | Don't Know | 7% | 13% | 20% | 0% | 0% |

SECTION 4: Organizational Management - Next 5-10 Years

| | | Total | Type | | | |
|--|--|-------|------------------|---------------------|-----------------|---------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q8(a): Establishing group structure and process for individual ACAP organizations | Government Lead, with Community Support | 5% | 7% | 20% | 0% | 0% |
| | Community Lead with Government | 50% | 40% | 60% | 60% | 44% |

| | | | | | | |
|---|--|-----|-----|-----|-----|-----|
| | Support | | | | | |
| | Exclusive Community Lead/Responsibility | 43% | 47% | 20% | 40% | 56% |
| | Don't Know | 2% | 7% | 0% | 0% | 0% |
| Q8(b): Develop by-laws and terms of reference for each ACAP organization | Government Lead, with Community Support | 9% | 13% | 20% | 0% | 11% |
| | Community Lead with Government Support | 30% | 27% | 60% | 27% | 22% |
| | Exclusive Community Lead/Responsibility | 59% | 53% | 20% | 73% | 67% |
| | Don't Know | 2% | 7% | 0% | 0% | 0% |
| Q8(c): Establishing values and ethics for the ACAP program overall | Exclusive Government Lead /Responsibility | 5% | 13% | 0% | 0% | 0% |
| | Government Lead, with Community Support | 57% | 73% | 60% | 47% | 44% |
| | Community Lead with Government Support | 34% | 13% | 40% | 47% | 44% |
| | Exclusive Community Lead/Responsibility | 5% | 0% | 0% | 7% | 11% |
| Q8(d): Establishing values and ethics for individual ACAP organizations | Government Lead, with Community Support | 2% | 0% | 20% | 0% | 0% |
| | Community Lead with Government Support | 50% | 47% | 60% | 47% | 56% |
| | Exclusive Community Lead/Responsibility | 48% | 53% | 20% | 53% | 44% |
| Q8(e): Planning for individual ACAP site sustainability | Government Lead, with Community Support | 5% | 7% | 0% | 0% | 11% |
| | Community Lead with Government Support | 61% | 67% | 60% | 67% | 44% |
| | Exclusive Community Lead/Responsibility | 34% | 27% | 40% | 33% | 44% |
| Q8(f): Planning for sustainability of ACAP program | Exclusive Government Lead /Responsibility | 7% | 20% | 0% | 0% | 0% |
| | Government Lead, with Community Support | 57% | 60% | 60% | 67% | 33% |
| | Community Lead with Government | 32% | 20% | 40% | 27% | 56% |

| | | | | | | |
|--|---|-----|-----|-----|-----|-----|
| | Support | | | | | |
| | Exclusive Community Lead/ Responsibility | 5% | 0% | 0% | 7% | 11% |
| Q8(g): Building trust among stakeholders | Government Lead, with Community Support | 11% | 20% | 0% | 7% | 11% |
| | Community Lead with Government Support | 59% | 60% | 80% | 60% | 44% |
| | Exclusive Community Lead/ Responsibility | 27% | 20% | 20% | 33% | 33% |
| | Don't Know | 2% | 0% | 0% | 0% | 11% |
| Q8(h): Project management for each ACAP organization | Community Lead with Government Support | 36% | 33% | 80% | 27% | 33% |
| | Exclusive Community Lead/ Responsibility | 64% | 67% | 20% | 73% | 67% |
| Q8(i): Strengthening community capacity to engage in local governance | Community Lead with Government Support | 68% | 73% | 80% | 73% | 44% |
| | Exclusive Community Lead/ Responsibility | 32% | 27% | 20% | 27% | 56% |

SECTION 5: Human Resources Management - Currently Handled

| | | Total | Type | | | |
|---|---|-------|---------------------|------------------------|--------------------|------------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q9(a): Volunteer recruitment and recognition in each ACAP organization | Government Lead, with Community Support | 2% | 0% | 20% | 0% | 0% |
| | Community Lead with Government Support | 5% | 13% | 0% | 0% | 0% |
| | Exclusive Community Lead/ Responsibility | 86% | 80% | 60% | 93% | 100% |
| | Don't Know | 7% | 7% | 20% | 7% | 0% |

| | | | | | | |
|---|--|-----|-----|-----|-----|------|
| Q9(b): Hiring and firing in each ACAP organization | Community Lead with Government Support | 5% | 7% | 0% | 0% | 11% |
| | Exclusive Community Lead/Responsibility | 84% | 80% | 60% | 93% | 89% |
| | Don't Know | 11% | 13% | 40% | 7% | 0% |
| Q9(c): Compensation benefits negotiation in each ACAP organization | Government Lead, with Community Support | 5% | 7% | 0% | 0% | 11% |
| | Community Lead with Government Support | 7% | 20% | 0% | 0% | 0% |
| | Exclusive Community Lead/Responsibility | 73% | 47% | 60% | 93% | 89% |
| | Don't Know | 16% | 27% | 40% | 7% | 0% |
| Q9(d): Training and skills development in each ACAP organization | Government Lead, with Community Support | 7% | 7% | 0% | 7% | 11% |
| | Community Lead with Government Support | 55% | 67% | 60% | 40% | 56% |
| | Exclusive Community Lead/Responsibility | 30% | 13% | 20% | 47% | 33% |
| | Don't Know | 9% | 13% | 20% | 7% | 0% |
| Q9(e): Meeting OSH (Occupational Safety & Health) requirements in each ACAP organization | Exclusive Government Lead /Responsibility | 2% | 0% | 20% | 0% | 0% |
| | Government Lead, with Community Support | 5% | 7% | 20% | 0% | 0% |
| | Community Lead with Government Support | 7% | 20% | 0% | 0% | 0% |
| | Exclusive Community Lead/Responsibility | 70% | 40% | 40% | 93% | 100% |
| | Don't Know | 16% | 33% | 20% | 7% | 0% |
| Q9(f): Mentoring of staff within each ACAP organization | Government Lead, with Community Support | 5% | 7% | 0% | 0% | 11% |
| | Community Lead with Government Support | 27% | 27% | 60% | 33% | 0% |
| | Exclusive Community Lead/Responsibility | 61% | 60% | 20% | 67% | 78% |
| | Don't Know | 7% | 7% | 20% | 0% | 11% |
| Q9(g): Mentoring of other similar | Government Lead, with Community | 7% | 7% | 0% | 13% | 0% |

| | | | | | | |
|---|--|-----|-----|-----|-----|------|
| groups (e.g. Other watershed-based groups) | Support | | | | | |
| | Community Lead with Government Support | 34% | 27% | 80% | 47% | 0% |
| | Exclusive Community Lead/Responsibility | 48% | 53% | 0% | 33% | 89% |
| | Don't Know | 11% | 13% | 20% | 7% | 11% |
| Q9(h): Orientation for new staff and volunteers in each ACAP organization | Community Lead with Government Support | 18% | 13% | 40% | 20% | 11% |
| | Exclusive Community Lead/Responsibility | 77% | 80% | 40% | 80% | 89% |
| | Don't Know | 5% | 7% | 20% | 0% | 0% |
| Q9(i): 'ACAP Windows' management and care for the program overall | Exclusive Government Lead /Responsibility | 43% | 60% | 40% | 40% | 22% |
| | Government Lead, with Community Support | 34% | 33% | 40% | 33% | 33% |
| | Community Lead with Government Support | 11% | 7% | 0% | 20% | 11% |
| | Don't Know | 11% | 0% | 20% | 7% | 33% |
| Q9(j): 'ACAP Windows' management and care for the individual ACAP organization | Exclusive Government Lead /Responsibility | 11% | 20% | 0% | 13% | 0% |
| | Government Lead, with Community Support | 41% | 53% | 40% | 33% | 33% |
| | Community Lead with Government Support | 34% | 27% | 40% | 47% | 22% |
| | Exclusive Community Lead/Responsibility | 2% | 0% | 0% | 0% | 11% |
| | Don't Know | 11% | 0% | 20% | 7% | 33% |
| Q9(k): Individual ACAP organization's Board of Directors' management and care | Community Lead with Government Support | 23% | 20% | 60% | 27% | 0% |
| | Exclusive Community Lead/Responsibility | 73% | 73% | 20% | 73% | 100% |
| | Don't Know | 5% | 7% | 20% | 0% | 0% |
| Q9(l): Conflict avoidance and resolution in each ACAP organization | Government Lead, with Community Support | 2% | 7% | 0% | 0% | 0% |

| | | | | | | |
|--|--|-----|-----|-----|-----|------|
| | Community Lead with Government Support | 23% | 27% | 60% | 20% | 0% |
| | Exclusive Community Lead/Responsibility | 61% | 47% | 0% | 80% | 89% |
| | Don't Know | 14% | 20% | 40% | 0% | 11% |
| Q9(m): Career development (e.g., youth) in each ACAP organization | Government Lead, with Community Support | 2% | 7% | 0% | 0% | 0% |
| | Community Lead with Government Support | 32% | 27% | 20% | 47% | 22% |
| | Exclusive Community Lead/Responsibility | 61% | 60% | 60% | 53% | 78% |
| | Don't Know | 5% | 7% | 20% | 0% | 0% |
| Q9(n): Performance appraisal in each ACAP organization | Government Lead, with Community Support | 2% | 7% | 0% | 0% | 0% |
| | Community Lead with Government Support | 9% | 13% | 0% | 13% | 0% |
| | Exclusive Community Lead/Responsibility | 80% | 60% | 80% | 87% | 100% |
| | Don't Know | 9% | 20% | 20% | 0% | 0% |
| Q9(o): Exit strategies for staff in each ACAP organization | Government Lead, with Community Support | 2% | 7% | 0% | 0% | 0% |
| | Community Lead with Government Support | 11% | 7% | 0% | 20% | 11% |
| | Exclusive Community Lead/Responsibility | 77% | 67% | 80% | 80% | 89% |
| | Don't Know | 9% | 20% | 20% | 0% | 0% |

SECTION 5: Human Resources Management - Next 5-10 Years

| | | Total | Type | | | |
|--|---|-------|------------------|---------------------|-----------------|---------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q10(a): Volunteer recruitment and recognition in each ACAP organization | Community Lead with Government Support | 25% | 27% | 60% | 13% | 22% |
| | Exclusive Community Lead/ | 75% | 73% | 40% | 87% | 78% |

| | Responsibility | | | | | |
|--|--|-----|-----|------|------|------|
| Q10(b): Hiring and firing in each ACAP organization | Government Lead, with Community Support | 2% | 7% | 0% | 0% | 0% |
| | Community Lead with Government Support | 5% | 7% | 20% | 0% | 0% |
| | Exclusive Community Lead/Responsibility | 93% | 87% | 80% | 100% | 100% |
| Q10(c): Compensation benefits negotiation in each ACAP organization | Government Lead, with Community Support | 5% | 7% | 0% | 0% | 11% |
| | Community Lead with Government Support | 14% | 7% | 20% | 13% | 22% |
| | Exclusive Community Lead/Responsibility | 82% | 87% | 80% | 87% | 67% |
| Q10(d): Training and skills development in each ACAP organization | Government Lead, with Community Support | 5% | 7% | 0% | 0% | 11% |
| | Community Lead with Government Support | 66% | 53% | 100% | 73% | 56% |
| | Exclusive Community Lead/Responsibility | 30% | 40% | 0% | 27% | 33% |
| Q10(e): Meeting OSH (Occupational Safety & Health) requirements in each ACAP organization | Government Lead, with Community Support | 5% | 7% | 20% | 0% | 0% |
| | Community Lead with Government Support | 32% | 33% | 40% | 27% | 33% |
| | Exclusive Community Lead/Responsibility | 64% | 60% | 40% | 73% | 67% |
| Q10(f): Mentoring of staff within each ACAP organization | Community Lead with Government Support | 45% | 40% | 100% | 33% | 44% |
| | Exclusive Community Lead/Responsibility | 55% | 60% | 0% | 67% | 56% |
| Q10(g): Mentoring of other similar groups (e.g. Other watershed-based groups) | Government Lead, with Community Support | 5% | 7% | 0% | 7% | 0% |
| | Community Lead with Government Support | 43% | 40% | 80% | 53% | 11% |
| | Exclusive Community Lead/Responsibility | 43% | 47% | 20% | 33% | 67% |
| | Don't Know | 9% | 7% | 0% | 7% | 22% |

| | | | | | | |
|--|--|-----|-----|-----|-----|-----|
| Q10(h): Orientation for new staff and volunteers in each ACAP organization | Community Lead with Government Support | 32% | 40% | 40% | 27% | 22% |
| | Exclusive Community Lead/Responsibility | 68% | 60% | 60% | 73% | 78% |
| Q10(i): 'ACAP Windows' management and care for the program overall | Exclusive Government Lead /Responsibility | 27% | 47% | 20% | 13% | 22% |
| | Government Lead, with Community Support | 50% | 47% | 40% | 53% | 56% |
| | Community Lead with Government Support | 11% | 0% | 40% | 20% | 0% |
| | Exclusive Community Lead/Responsibility | 5% | 0% | 0% | 7% | 11% |
| | Don't Know | 7% | 7% | 0% | 7% | 11% |
| | Exclusive Government Lead /Responsibility | 5% | 7% | 20% | 0% | 0% |
| Q10(j): 'ACAP Windows' management and care for the individual ACAP organization | Government Lead, with Community Support | 36% | 60% | 0% | 33% | 22% |
| | Community Lead with Government Support | 43% | 20% | 80% | 47% | 56% |
| | Exclusive Community Lead/Responsibility | 11% | 13% | 0% | 13% | 11% |
| | Don't Know | 5% | 0% | 0% | 7% | 11% |
| | Government Lead, with Community Support | 2% | 0% | 20% | 0% | 0% |
| Q10(k): Individual ACAP organization's Board of Directors' management and care | Community Lead with Government Support | 32% | 40% | 20% | 33% | 22% |
| | Exclusive Community Lead/Responsibility | 66% | 60% | 60% | 67% | 78% |
| | Government Lead, with Community Support | 2% | 7% | 0% | 0% | 0% |
| Q10(l): Conflict avoidance and resolution in each ACAP organization | Community Lead with Government Support | 27% | 33% | 40% | 27% | 11% |
| | Exclusive Community Lead/Responsibility | 70% | 60% | 60% | 73% | 89% |
| | Government Lead, with Community | 2% | 0% | 0% | 0% | 11% |
| Q10(m): Career development (e.g., | | | | | | |

| | | | | | | |
|---|--|-----|-----|------|-----|-----|
| youth) in each ACAP organization | Support | | | | | |
| | Community Lead with Government Support | 36% | 40% | 0% | 40% | 44% |
| | Exclusive Community Lead/Responsibility | 61% | 60% | 100% | 60% | 44% |
| Q10(n): Performance appraisal in each ACAP organization | Government Lead, with Community Support | 5% | 7% | 0% | 0% | 11% |
| | Community Lead with Government Support | 11% | 7% | 0% | 13% | 22% |
| | Exclusive Community Lead/Responsibility | 84% | 87% | 100% | 87% | 67% |
| Q10(o): Exit strategies for staff in each ACAP organization | Government Lead, with Community Support | 2% | 7% | 0% | 0% | 0% |
| | Community Lead with Government Support | 16% | 20% | 0% | 13% | 22% |
| | Exclusive Community Lead/Responsibility | 80% | 73% | 100% | 87% | 67% |
| | Don't Know | 2% | 0% | 0% | 0% | 11% |

SECTION 6: Partnership Management - Currently Handled

| | | Total | Type | | | |
|---|--|-------|------------------|---------------------|-----------------|---------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q11(a): Securing, building and maintaining partnerships at the individual ACAP organization level | Government Lead, with Community Support | 2% | 0% | 0% | 7% | 0% |
| | Community Lead with Government Support | 48% | 40% | 80% | 40% | 56% |
| | Exclusive Community Lead/Responsibility | 45% | 53% | 0% | 53% | 44% |
| | Don't Know | 5% | 7% | 20% | 0% | 0% |
| Q11(b): Securing, building and maintaining partnerships at the provincial level | Government Lead, with Community Support | 11% | 7% | 40% | 7% | 11% |
| | Community Lead with Government Support | 41% | 40% | 40% | 47% | 33% |
| | Exclusive Community Lead/ | 41% | 40% | 0% | 47% | 56% |

| | Responsibility | | | | | |
|---|--|--|-----|-----|-----|-----|
| | Don't Know | 7% | 13% | 20% | 0% | 0% |
| Q11(c): Securing, building and maintaining partnerships at the Atlantic region level | Exclusive Government Lead /Responsibility | 5% | 0% | 0% | 7% | 11% |
| | Government Lead, with Community Support | 34% | 27% | 60% | 33% | 33% |
| | Community Lead with Government Support | 36% | 33% | 20% | 33% | 56% |
| | Exclusive Community Lead/ Responsibility | 18% | 27% | 0% | 27% | 0% |
| | Don't Know | 7% | 13% | 20% | 0% | 0% |
| | Q11(d): Building and maintaining trust among stakeholders | Government Lead, with Community Support | 14% | 13% | 20% | 13% |
| Community Lead with Government Support | | 34% | 47% | 60% | 27% | 11% |
| Exclusive Community Lead/ Responsibility | | 41% | 20% | 0% | 60% | 67% |
| Don't Know | | 11% | 20% | 20% | 0% | 11% |
| Q11(e): Plan and convene individual ACAP Annual General Meetings | Government Lead, with Community Support | 18% | 13% | 40% | 13% | 22% |
| | Community Lead with Government Support | 14% | 27% | 0% | 0% | 22% |
| | Exclusive Community Lead/ Responsibility | 66% | 60% | 40% | 87% | 56% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| Q11(f): Plan and convene Atlantic Annual General Meetings | Exclusive Government Lead /Responsibility | 2% | 7% | 0% | 0% | 0% |
| | Government Lead, with Community Support | 61% | 73% | 50% | 46% | 67% |
| | Community Lead with Government Support | 27% | 13% | 25% | 54% | 11% |
| | Exclusive Community Lead/ Responsibility | 7% | 7% | 0% | 0% | 22% |
| | Don't Know | 2% | 0% | 25% | 0% | 0% |

SECTION 6: Partnership Management - Next 5-10 Years

| | | Total | Type | | | |
|--|--|-------|------------------|---------------------|-----------------|---------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q12(a): Securing, building and maintaining partnerships at the individual ACAP organization level | Government Lead, with Community Support | 5% | 7% | 0% | 7% | 0% |
| | Community Lead with Government Support | 45% | 47% | 80% | 40% | 33% |
| | Exclusive Community Lead/Responsibility | 50% | 47% | 20% | 53% | 67% |
| Q12(b): Securing, building and maintaining partnerships at the provincial level | Government Lead, with Community Support | 18% | 20% | 20% | 20% | 11% |
| | Community Lead with Government Support | 55% | 67% | 60% | 33% | 67% |
| | Exclusive Community Lead/Responsibility | 27% | 13% | 20% | 47% | 22% |
| Q12(c): Securing, building and maintaining partnerships at the Atlantic region level | Exclusive Government Lead /Responsibility | 2% | 7% | 0% | 0% | 0% |
| | Government Lead, with Community Support | 27% | 13% | 40% | 27% | 44% |
| | Community Lead with Government Support | 55% | 73% | 60% | 47% | 33% |
| | Exclusive Community Lead/Responsibility | 16% | 7% | 0% | 27% | 22% |
| Q12(d): Building and maintaining trust among stakeholders | Exclusive Government Lead /Responsibility | 2% | 0% | 0% | 7% | 0% |
| | Government Lead, with Community Support | 9% | 13% | 0% | 7% | 11% |
| | Community Lead with Government Support | 45% | 60% | 100% | 20% | 33% |
| | Exclusive Community Lead/Responsibility | 41% | 27% | 0% | 67% | 44% |

| | | | | | | |
|---|--|-----|-----|-----|-----|-----|
| | Don't Know | 2% | 0% | 0% | 0% | 11% |
| Q12(e): Plan and convene individual ACAP Annual General Meetings | Government Lead, with Community Support | 7% | 7% | 20% | 7% | 0% |
| | Community Lead with Government Support | 23% | 20% | 60% | 13% | 22% |
| | Exclusive Community Lead/Responsibility | 70% | 73% | 20% | 80% | 78% |
| Q12(f): Plan and convene Atlantic Annual General Meetings | Government Lead, with Community Support | 56% | 60% | 50% | 46% | 67% |
| | Community Lead with Government Support | 34% | 27% | 50% | 54% | 11% |
| | Exclusive Community Lead/Responsibility | 10% | 13% | 0% | 0% | 22% |

SECTION 7: Knowledge Management and Generation - Currently Handled

| | | Total | Type | | | |
|---|--|-------|------------------|---------------------|-----------------|---------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q13(a): Setting science priorities at local ACAP level | Exclusive Government Lead /Responsibility | 5% | 0% | 0% | 7% | 11% |
| | Government Lead, with Community Support | 5% | 0% | 0% | 13% | 0% |
| | Community Lead with Government Support | 61% | 67% | 80% | 53% | 56% |
| | Exclusive Community Lead/Responsibility | 27% | 33% | 0% | 27% | 33% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| Q13(b): Setting science priorities within government | Exclusive Government Lead /Responsibility | 52% | 60% | 20% | 53% | 56% |
| | Government Lead, with Community Support | 41% | 40% | 60% | 47% | 22% |
| | Community Lead with Government Support | 2% | 0% | 0% | 0% | 11% |
| | Don't Know | 5% | 0% | 20% | 0% | 11% |

| | | | | | | |
|---|--|-----|-----|-----|-----|-----|
| Q13(c): Designing scientific studies at the local ACAP scale | Government Lead, with Community Support | 5% | 7% | 20% | 0% | 0% |
| | Community Lead with Government Support | 84% | 87% | 60% | 93% | 78% |
| | Exclusive Community Lead/Responsibility | 9% | 7% | 0% | 7% | 22% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| Q13(d): Conducting the science | Exclusive Government Lead /Responsibility | 2% | 0% | 0% | 7% | 0% |
| | Government Lead, with Community Support | 14% | 13% | 20% | 7% | 22% |
| | Community Lead with Government Support | 68% | 73% | 60% | 73% | 56% |
| | Exclusive Community Lead/Responsibility | 14% | 13% | 0% | 13% | 22% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| Q13(e): Monitoring and data collection | Government Lead, with Community Support | 7% | 0% | 20% | 7% | 11% |
| | Community Lead with Government Support | 55% | 73% | 60% | 47% | 33% |
| | Exclusive Community Lead/Responsibility | 36% | 27% | 0% | 47% | 56% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| Q13(f): Data and information management | Exclusive Government Lead /Responsibility | 2% | 7% | 0% | 0% | 0% |
| | Government Lead, with Community Support | 11% | 13% | 20% | 0% | 22% |
| | Community Lead with Government Support | 55% | 60% | 60% | 67% | 22% |
| | Exclusive Community Lead/Responsibility | 27% | 13% | 0% | 33% | 56% |
| | Don't Know | 5% | 7% | 20% | 0% | 0% |
| Q13(g): Evaluation of results (peer review of projects) | Government Lead, with Community Support | 30% | 27% | 60% | 27% | 22% |
| | Community Lead with Government | 48% | 60% | 20% | 47% | 44% |

| | | | | | | |
|--|---|---|-----|-----|-----|-----|
| | Support | | | | | |
| | Exclusive Community Lead/Responsibility | 18% | 13% | 0% | 20% | 33% |
| | Don't Know | 5% | 0% | 20% | 7% | 0% |
| Q13(h): Communicating results to the public | Exclusive Government Lead/Responsibility | 5% | 0% | 0% | 13% | 0% |
| | Government Lead, with Community Support | 11% | 13% | 40% | 0% | 11% |
| | Community Lead with Government Support | 36% | 33% | 40% | 60% | 0% |
| | Exclusive Community Lead/Responsibility | 45% | 53% | 0% | 27% | 89% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| | | Exclusive Government Lead/Responsibility | 5% | 7% | 0% | 7% |
| Q13(i): Communicating results to the scientific community | Government Lead, with Community Support | 20% | 20% | 40% | 20% | 11% |
| | Community Lead with Government Support | 55% | 60% | 40% | 47% | 67% |
| | Exclusive Community Lead/Responsibility | 18% | 13% | 0% | 27% | 22% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| | | Exclusive Government Lead/Responsibility | 5% | 7% | 0% | 7% |
| Q13(j): Science-management integration | Government Lead, with Community Support | 30% | 20% | 40% | 27% | 44% |
| | Community Lead with Government Support | 48% | 60% | 40% | 53% | 22% |
| | Exclusive Community Lead/Responsibility | 9% | 7% | 0% | 7% | 22% |
| | Don't Know | 9% | 7% | 20% | 7% | 11% |
| | | | | | | |

SECTION 7: Knowledge Management and Generation - Next 5-10 Years

| | Total | Type |
|--|--------------|-------------|
|--|--------------|-------------|

| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
|---|---|-----|------------------|---------------------|-----------------|---------------------|
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q14(a): Setting science priorities at local ACAP level | Government Lead, with Community Support | 7% | 7% | 20% | 7% | 0% |
| | Community Lead with Government Support | 59% | 53% | 60% | 67% | 56% |
| | Exclusive Community Lead/Responsibility | 34% | 40% | 20% | 27% | 44% |
| Q14(b): Setting science priorities within government | Exclusive Government Lead/Responsibility | 18% | 33% | 20% | 13% | 0% |
| | Government Lead, with Community Support | 68% | 60% | 60% | 73% | 78% |
| | Community Lead with Government Support | 14% | 7% | 20% | 13% | 22% |
| Q14(c): Designing scientific studies at the local ACAP scale | Government Lead, with Community Support | 2% | 7% | 0% | 0% | 0% |
| | Community Lead with Government Support | 82% | 80% | 100% | 87% | 67% |
| | Exclusive Community Lead/Responsibility | 16% | 13% | 0% | 13% | 33% |
| Q14(d): Conducting the science | Government Lead, with Community Support | 9% | 7% | 20% | 13% | 0% |
| | Community Lead with Government Support | 77% | 80% | 80% | 73% | 78% |
| | Exclusive Community Lead/Responsibility | 14% | 13% | 0% | 13% | 22% |
| Q14(e): Monitoring and data collection | Government Lead, with Community Support | 7% | 0% | 0% | 20% | 0% |
| | Community Lead with Government Support | 68% | 87% | 100% | 47% | 56% |
| | Exclusive Community Lead/Responsibility | 25% | 13% | 0% | 33% | 44% |
| Q14(f): Data and information management | Government Lead, with Community Support | 23% | 27% | 20% | 20% | 22% |
| | Community Lead with Government Support | 68% | 60% | 80% | 73% | 67% |

| | | | | | | |
|--|--|-----|-----|-----|-----|-----|
| | Support | | | | | |
| | Exclusive Community Lead/ Responsibility | 9% | 13% | 0% | 7% | 11% |
| Q14(g): Evaluation of results (peer review of projects) | Exclusive Government Lead /Responsibility | 2% | 0% | 0% | 7% | 0% |
| | Government Lead, with Community Support | 27% | 27% | 40% | 20% | 33% |
| | Community Lead with Government Support | 64% | 67% | 60% | 67% | 56% |
| | Exclusive Community Lead/ Responsibility | 7% | 7% | 0% | 7% | 11% |
| | Government Lead, with Community Support | 14% | 7% | 20% | 20% | 11% |
| Q14(h): Communicating results to the public | Community Lead with Government Support | 66% | 67% | 60% | 67% | 67% |
| | Exclusive Community Lead/ Responsibility | 20% | 27% | 20% | 13% | 22% |
| | Exclusive Government Lead /Responsibility | 5% | 0% | 0% | 13% | 0% |
| Q14(i): Communicating results to the scientific community | Government Lead, with Community Support | 20% | 27% | 20% | 13% | 22% |
| | Community Lead with Government Support | 68% | 67% | 80% | 67% | 67% |
| | Exclusive Community Lead/ Responsibility | 7% | 7% | 0% | 7% | 11% |
| | Government Lead, with Community Support | 32% | 33% | 20% | 33% | 33% |
| Q14(j): Science-management integration | Community Lead with Government Support | 59% | 67% | 80% | 53% | 44% |
| | Exclusive Community Lead/ Responsibility | 7% | 0% | 0% | 13% | 11% |
| | Don't Know | 2% | 0% | 0% | 0% | 11% |

SECTION 8: Networking - Currently Handled

| | Total | Type |
|--|--------------|-------------|
|--|--------------|-------------|

| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
|--|--|-----|------------------|---------------------|-----------------|---------------------|
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q15(a): Sharing experiences and approaches with local ACAP stakeholders | Government Lead, with Community Support | 2% | 0% | 20% | 0% | 0% |
| | Community Lead with Government Support | 27% | 27% | 40% | 33% | 11% |
| | Exclusive Community Lead/Responsibility | 66% | 73% | 20% | 60% | 89% |
| | Don't Know | 5% | 0% | 20% | 7% | 0% |
| Q15(b): Sharing experiences and approaches with similar groups in the Atlantic Region | Government Lead, with Community Support | 20% | 0% | 80% | 13% | 33% |
| | Community Lead with Government Support | 61% | 93% | 0% | 73% | 22% |
| | Exclusive Community Lead/Responsibility | 14% | 7% | 0% | 7% | 44% |
| | Don't Know | 5% | 0% | 20% | 7% | 0% |
| Q15(c): Sharing experiences and approaches with those in government | Exclusive Government Lead /Responsibility | 5% | 0% | 0% | 7% | 11% |
| | Government Lead, with Community Support | 45% | 53% | 80% | 33% | 33% |
| | Community Lead with Government Support | 41% | 40% | 0% | 53% | 44% |
| | Don't Know | 9% | 7% | 20% | 7% | 11% |
| Q15(d): Convening partners (current and potential) | Government Lead, with Community Support | 14% | 7% | 60% | 13% | 0% |
| | Community Lead with Government Support | 48% | 53% | 0% | 60% | 44% |
| | Exclusive Community Lead/Responsibility | 25% | 27% | 20% | 13% | 44% |
| | Don't Know | 14% | 13% | 20% | 13% | 11% |
| Q15(e): Linking beyond individual sites for regional collaborative efforts | Government Lead, with Community Support | 23% | 27% | 80% | 13% | 0% |
| | Community Lead with Government Support | 45% | 47% | 0% | 60% | 44% |

| | | | | | | |
|---|---|--|-----|-----|-----|-----|
| | Exclusive Community Lead/Responsibility | 23% | 20% | 0% | 20% | 44% |
| | Don't Know | 9% | 7% | 20% | 7% | 11% |
| Q15(f): Hosting workshops and conferences | Exclusive Government Lead/Responsibility | 2% | 0% | 0% | 7% | 0% |
| | Government Lead, with Community Support | 34% | 27% | 60% | 33% | 33% |
| | Community Lead with Government Support | 52% | 60% | 20% | 53% | 56% |
| | Exclusive Community Lead/Responsibility | 9% | 13% | 0% | 7% | 11% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| | | Government Lead, with Community Support | 77% | 87% | 80% | 80% |
| Q15(g): Convening the 'ACAP family' for networking and sharing experiences | Community Lead with Government Support | 16% | 13% | 0% | 20% | 22% |
| | Exclusive Community Lead/Responsibility | 5% | 0% | 0% | 0% | 22% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| | | | | | | |

SECTION 8: Networking - Next 5-10 Years

| | | Total | Type | | | |
|--|---|-------|------------------|---------------------|-----------------|---------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q16(a): Sharing experiences and approaches with local ACAP stakeholders | Government Lead, with Community Support | 5% | 0% | 0% | 13% | 0% |
| | Community Lead with Government Support | 43% | 40% | 60% | 53% | 22% |
| | Exclusive Community Lead/Responsibility | 52% | 60% | 40% | 33% | 78% |
| Q16(b): Sharing experiences and approaches with similar groups in the Atlantic Region | Exclusive Government Lead/Responsibility | 2% | 0% | 0% | 7% | 0% |
| | Government Lead, with Community Support | 16% | 13% | 0% | 13% | 33% |

| | | | | | | |
|---|---|--|-----|------|-----|-----|
| | Community Lead with Government Support | 64% | 73% | 100% | 67% | 22% |
| | Exclusive Community Lead/ Responsibility | 18% | 13% | 0% | 13% | 44% |
| Q16(c): Sharing experiences and approaches with those in government | Exclusive Government Lead /Responsibility | 2% | 0% | 0% | 7% | 0% |
| | Government Lead, with Community Support | 39% | 40% | 0% | 47% | 44% |
| | Community Lead with Government Support | 52% | 53% | 100% | 40% | 44% |
| | Exclusive Community Lead/ Responsibility | 5% | 7% | 0% | 0% | 11% |
| | Don't Know | 2% | 0% | 0% | 7% | 0% |
| | Q16(d): Convening partners (current and potential) | Government Lead, with Community Support | 11% | 13% | 20% | 7% |
| Community Lead with Government Support | | 57% | 60% | 60% | 67% | 33% |
| Exclusive Community Lead/ Responsibility | | 30% | 27% | 20% | 27% | 44% |
| Don't Know | | 2% | 0% | 0% | 0% | 11% |
| Q16(e): Linking beyond individual sites for regional collaborative efforts | Government Lead, with Community Support | 23% | 13% | 40% | 27% | 22% |
| | Community Lead with Government Support | 68% | 73% | 60% | 67% | 67% |
| | Exclusive Community Lead/ Responsibility | 9% | 13% | 0% | 7% | 11% |
| Q16(f): Hosting workshops and conferences | Exclusive Government Lead /Responsibility | 5% | 7% | 0% | 7% | 0% |
| | Government Lead, with Community Support | 20% | 13% | 80% | 7% | 22% |
| | Community Lead with Government Support | 61% | 53% | 20% | 80% | 67% |
| | Exclusive Community Lead/ Responsibility | 14% | 27% | 0% | 7% | 11% |
| | Q16(g): Convening the 'ACAP family' | Government Lead, with Community | 52% | 53% | 60% | 47% |

| | | | | | | |
|--|---|-----|-----|-----|-----|-----|
| for networking and sharing experiences | Support | | | | | |
| | Community Lead with Government Support | 41% | 47% | 40% | 53% | 11% |
| | Exclusive Community Lead/Responsibility | 7% | 0% | 0% | 0% | 33% |

SECTION 9: Media Relations/Engagement - Currently Handled

| | | Total | Type | | | |
|--|---|-------|------------------|---------------------|-----------------|---------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q17(a): Determining messages, tone and target audiences | Exclusive Government Lead /Responsibility | 2% | 0% | 0% | 7% | 0% |
| | Government Lead, with Community Support | 2% | 0% | 20% | 0% | 0% |
| | Community Lead with Government Support | 18% | 20% | 20% | 27% | 0% |
| | Exclusive Community Lead/Responsibility | 73% | 80% | 20% | 67% | 100% |
| | Don't Know | 5% | 0% | 40% | 0% | 0% |
| Q17(b): Approving and issuing press releases | Exclusive Government Lead /Responsibility | 5% | 0% | 20% | 7% | 0% |
| | Community Lead with Government Support | 14% | 13% | 40% | 13% | 0% |
| | Exclusive Community Lead/Responsibility | 77% | 87% | 0% | 80% | 100% |
| | Don't Know | 5% | 0% | 40% | 0% | 0% |
| Q17(c): Serve as spokespersons for community | Community Lead with Government Support | 9% | 7% | 40% | 7% | 0% |
| | Exclusive Community Lead/Responsibility | 86% | 93% | 20% | 93% | 100% |
| | Don't Know | 5% | 0% | 40% | 0% | 0% |
| Q17(d): Advocating change through media | Government Lead, with Community Support | 2% | 0% | 0% | 7% | 0% |
| | Community Lead with Government | 14% | 13% | 60% | 7% | 0% |

| | | | | | | |
|--|---|-----|-----|-----|-----|------|
| | Support | | | | | |
| | Exclusive Community Lead/Responsibility | 80% | 87% | 0% | 87% | 100% |
| | Don't Know | 5% | 0% | 40% | 0% | 0% |
| Q17(e): Organizing media events | Exclusive Government Lead/Responsibility | 2% | 0% | 20% | 0% | 0% |
| | Government Lead, with Community Support | 2% | 7% | 0% | 0% | 0% |
| | Community Lead with Government Support | 14% | 7% | 20% | 20% | 11% |
| | Exclusive Community Lead/Responsibility | 77% | 87% | 20% | 80% | 89% |
| | Don't Know | 5% | 0% | 40% | 0% | 0% |

SECTION 9: Media Relations/Engagement - Next 5-10 Years

| | | Total | Type | | | |
|--|--|--------------|-------------------------|----------------------------|------------------------|----------------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q18(a): Determining messages, tone and target audiences | Government Lead, with Community Support | 5% | 0% | 40% | 0% | 0% |
| | Community Lead with Government Support | 32% | 27% | 20% | 40% | 33% |
| | Exclusive Community Lead/Responsibility | 64% | 73% | 40% | 60% | 67% |
| Q18(b): Approving and issuing press releases | Government Lead, with Community Support | 5% | 0% | 20% | 7% | 0% |
| | Community Lead with Government Support | 18% | 20% | 20% | 13% | 22% |
| | Exclusive Community Lead/Responsibility | 77% | 80% | 60% | 80% | 78% |
| Q18(c): Serve as spokespersons for community | Community Lead with Government Support | 23% | 13% | 40% | 20% | 33% |
| | Exclusive Community Lead/Responsibility | 77% | 87% | 60% | 80% | 67% |

| | | | | | | |
|--|--|-----|-----|-----|-----|-----|
| Q18(d): Advocating change through media | Community Lead with Government Support | 32% | 13% | 60% | 33% | 44% |
| | Exclusive Community Lead/Responsibility | 68% | 87% | 40% | 67% | 56% |
| Q18(e): Organizing media events | Government Lead, with Community Support | 5% | 0% | 20% | 0% | 11% |
| | Community Lead with Government Support | 34% | 20% | 40% | 33% | 56% |
| | Exclusive Community Lead/Responsibility | 61% | 80% | 40% | 67% | 33% |

SECTION 10: Community-Stakeholder Relations and Civic Engagement - Currently Handled

| | | Total | Type | | | |
|--|--|-------|------------------|---------------------|-----------------|---------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q19(a): Representing the community's goals and objectives | Government Lead, with Community Support | 2% | 0% | 0% | 7% | 0% |
| | Community Lead with Government Support | 16% | 7% | 20% | 33% | 0% |
| | Exclusive Community Lead/Responsibility | 75% | 93% | 40% | 60% | 89% |
| | Don't Know | 7% | 0% | 40% | 0% | 11% |
| Q19(b): Education / outreach on broad environmental issues | Exclusive Government Lead /Responsibility | 2% | 0% | 0% | 7% | 0% |
| | Government Lead, with Community Support | 16% | 0% | 20% | 27% | 22% |
| | Community Lead with Government Support | 43% | 47% | 20% | 47% | 44% |
| | Exclusive Community Lead/Responsibility | 34% | 53% | 20% | 20% | 33% |
| | Don't Know | 5% | 0% | 40% | 0% | 0% |
| Q19(c): Education / outreach on local issues and priorities | Community Lead with Government Support | 36% | 27% | 40% | 67% | 0% |
| | Exclusive Community Lead/ | 59% | 73% | 20% | 33% | 100% |

| | | | | | | |
|---|---|-----|-----|-----|-----|-----|
| | Responsibility | | | | | |
| | Don't Know | 5% | 0% | 40% | 0% | 0% |
| Q19(d): Engaging the public in getting involved | Government Lead, with Community Support | 2% | 0% | 0% | 7% | 0% |
| | Community Lead with Government Support | 18% | 7% | 40% | 27% | 11% |
| | Exclusive Community Lead/ Responsibility | 75% | 93% | 20% | 67% | 89% |
| | Don't Know | 5% | 0% | 40% | 0% | 0% |
| Q19(e): Reporting to the public on activities and accomplishments of the ACAP organization | Government Lead, with Community Support | 9% | 7% | 40% | 0% | 11% |
| | Community Lead with Government Support | 41% | 27% | 40% | 60% | 33% |
| | Exclusive Community Lead/ Responsibility | 48% | 67% | 0% | 40% | 56% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |

SECTION 10: Community-Stakeholder Relations and Civic Engagement - Next 5-10 Years

| | | Total | Type | | | |
|---|---|-------|------------------|---------------------|-----------------|---------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q20(a): Representing the community's goals and objectives | Government Lead, with Community Support | 2% | 0% | 0% | 7% | 0% |
| | Community Lead with Government Support | 30% | 13% | 40% | 47% | 22% |
| | Exclusive Community Lead/ Responsibility | 68% | 87% | 60% | 47% | 78% |
| Q20(b): Education / outreach on broad environmental issues | Government Lead, with Community Support | 14% | 7% | 0% | 27% | 11% |
| | Community Lead with Government Support | 57% | 47% | 100% | 53% | 56% |
| | Exclusive Community Lead/ Responsibility | 30% | 47% | 0% | 20% | 33% |

| | | | | | | |
|---|---|-----|-----|-----|-----|-----|
| Q20(c): Education / outreach on local issues and priorities | Community Lead with Government Support | 52% | 33% | 60% | 80% | 33% |
| | Exclusive Community Lead/ Responsibility | 48% | 67% | 40% | 20% | 67% |
| Q20(d): Engaging the public in getting involved | Government Lead, with Community Support | 2% | 0% | 0% | 7% | 0% |
| | Community Lead with Government Support | 43% | 20% | 60% | 60% | 44% |
| | Exclusive Community Lead/ Responsibility | 55% | 80% | 40% | 33% | 56% |
| Q20(e): Reporting to the public on activities and accomplishments of the ACAP organization | Government Lead, with Community Support | 11% | 13% | 20% | 7% | 11% |
| | Community Lead with Government Support | 41% | 33% | 40% | 47% | 44% |
| | Exclusive Community Lead/ Responsibility | 48% | 53% | 40% | 47% | 44% |

SECTION 11: Political Relations - Currently Handled

| | | Total | Type | | | |
|---|--|-------|------------------|---------------------|-----------------|---------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q21(a): Advocating for locally-identified priorities and needs | Government Lead, with Community Support | 7% | 7% | 20% | 7% | 0% |
| | Community Lead with Government Support | 18% | 20% | 40% | 20% | 0% |
| | Exclusive Community Lead/ Responsibility | 70% | 67% | 20% | 73% | 100% |
| | Don't Know | 5% | 7% | 20% | 0% | 0% |
| Q21(b): Securing political support for identified priorities | Exclusive Government Lead /Responsibility | 2% | 0% | 0% | 7% | 0% |
| | Government Lead, with Community Support | 16% | 13% | 40% | 13% | 11% |
| | Community Lead with Government Support | 23% | 27% | 20% | 20% | 22% |

| | | | | | | |
|--|---|-----|-----|-----|-----|-----|
| | Exclusive Community Lead/Responsibility | 52% | 53% | 20% | 60% | 56% |
| | Don't Know | 7% | 7% | 20% | 0% | 11% |
| Q21(c): Influencing government policy at the municipal level | Exclusive Government Lead/Responsibility | 2% | 0% | 0% | 0% | 11% |
| | Government Lead, with Community Support | 9% | 7% | 20% | 13% | 0% |
| | Community Lead with Government Support | 23% | 20% | 20% | 13% | 44% |
| | Exclusive Community Lead/Responsibility | 64% | 73% | 40% | 73% | 44% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| | | | | | | |
| Q21(d): Influencing government policy at the provincial level | Exclusive Government Lead/Responsibility | 2% | 0% | 0% | 0% | 11% |
| | Government Lead, with Community Support | 20% | 13% | 40% | 20% | 22% |
| | Community Lead with Government Support | 25% | 40% | 20% | 13% | 22% |
| | Exclusive Community Lead/Responsibility | 45% | 40% | 20% | 60% | 44% |
| | Don't Know | 7% | 7% | 20% | 7% | 0% |
| | | | | | | |
| Q21(e): Influencing government policy at the federal level | Exclusive Government Lead/Responsibility | 11% | 7% | 0% | 20% | 11% |
| | Government Lead, with Community Support | 23% | 27% | 60% | 0% | 33% |
| | Community Lead with Government Support | 32% | 40% | 20% | 40% | 11% |
| | Exclusive Community Lead/Responsibility | 27% | 20% | 0% | 33% | 44% |
| | Don't Know | 7% | 7% | 20% | 7% | 0% |
| | | | | | | |

SECTION 11: Political Relations - Next 5-10 Years

| | Total | Type |
|--|--------------|-------------|
|--|--------------|-------------|

| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
|---|--|-----|-----------------------------|--------------------------------|----------------------------|--------------------------------|
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q22(a): Advocating for locally-identified priorities and needs | Government Lead, with Community Support | 7% | 7% | 20% | 7% | 0% |
| | Community Lead with Government Support | 36% | 20% | 40% | 40% | 56% |
| | Exclusive Community Lead/Responsibility | 57% | 73% | 40% | 53% | 44% |
| Q22(b): Securing political support for identified priorities | Government Lead, with Community Support | 11% | 13% | 20% | 0% | 22% |
| | Community Lead with Government Support | 43% | 27% | 80% | 60% | 22% |
| | Exclusive Community Lead/Responsibility | 45% | 60% | 0% | 40% | 56% |
| Q22(c): Influencing government policy at the municipal level | Exclusive Government Lead /Responsibility | 2% | 0% | 0% | 0% | 11% |
| | Government Lead, with Community Support | 2% | 7% | 0% | 0% | 0% |
| | Community Lead with Government Support | 48% | 33% | 60% | 60% | 44% |
| | Exclusive Community Lead/Responsibility | 48% | 60% | 40% | 40% | 44% |
| Q22(d): Influencing government policy at the provincial level | Exclusive Government Lead /Responsibility | 2% | 0% | 0% | 0% | 11% |
| | Government Lead, with Community Support | 14% | 13% | 20% | 13% | 11% |
| | Community Lead with Government Support | 45% | 40% | 80% | 47% | 33% |
| | Exclusive Community Lead/Responsibility | 39% | 47% | 0% | 40% | 44% |
| Q22(e): Influencing government policy at the federal level | Exclusive Government Lead /Responsibility | 7% | 7% | 0% | 7% | 11% |
| | Government Lead, with Community Support | 20% | 20% | 20% | 13% | 33% |

| | | | | | |
|--|-----|-----|-----|-----|-----|
| Community Lead with Government Support | 50% | 53% | 80% | 53% | 22% |
| Exclusive Community Lead/Responsibility | 23% | 20% | 0% | 27% | 33% |

SECTION 12: Government (Bureaucratic) Relations - Currently Handled

| | Total | Type | | | | |
|--|--|------------------|---------------------|-----------------|---------------------|-----|
| | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved | |
| Total Unweighted (N) | 44 | 15 | 5 | 15 | 9 | |
| Q23(a): Inter-departmental (federal) coordination | Exclusive Government Lead /Responsibility | 52% | 40% | 60% | 60% | 56% |
| | Government Lead, with Community Support | 25% | 40% | 20% | 20% | 11% |
| | Community Lead with Government Support | 9% | 7% | 0% | 13% | 11% |
| | Exclusive Community Lead/Responsibility | 2% | 7% | 0% | 0% | 0% |
| | Don't Know | 11% | 7% | 20% | 7% | 22% |
| Q23(b): Inter-governmental (federal-provincial-municipal) coordination | Exclusive Government Lead /Responsibility | 36% | 20% | 40% | 47% | 44% |
| | Government Lead, with Community Support | 25% | 27% | 20% | 27% | 22% |
| | Community Lead with Government Support | 23% | 33% | 20% | 20% | 11% |
| | Exclusive Community Lead/Responsibility | 2% | 7% | 0% | 0% | 0% |
| | Don't Know | 14% | 13% | 20% | 7% | 22% |
| Q23(c): Ensuring program integrity and sustainability at the local ACAP level | Exclusive Government Lead /Responsibility | 5% | 7% | 0% | 7% | 0% |
| | Government Lead, with Community Support | 16% | 0% | 40% | 27% | 11% |
| | Community Lead with Government Support | 48% | 53% | 40% | 47% | 44% |
| | Exclusive Community Lead/ | 30% | 40% | 0% | 20% | 44% |

| | Responsibility | | | | | |
|---|---|-----|-----|-----|-----|-----|
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| Q23(d): Ensuring program integrity and sustainability for the ACAP program overall | Exclusive Government Lead /Responsibility | 25% | 27% | 60% | 20% | 11% |
| | Government Lead, with Community Support | 59% | 67% | 20% | 73% | 44% |
| | Community Lead with Government Support | 11% | 7% | 0% | 7% | 33% |
| | Don't Know | 5% | 0% | 20% | 0% | 11% |
| | Exclusive Government Lead /Responsibility | 20% | 27% | 0% | 20% | 22% |
| Q23(e): Promotion of ACAP model throughout Canada | Government Lead, with Community Support | 64% | 60% | 60% | 73% | 56% |
| | Community Lead with Government Support | 9% | 13% | 0% | 7% | 11% |
| | Don't Know | 7% | 0% | 40% | 0% | 11% |
| | Exclusive Government Lead /Responsibility | 23% | 13% | 20% | 33% | 22% |
| Q23(f): Influencing the direction of Integrated Coastal Management in Canada | Government Lead, with Community Support | 55% | 73% | 40% | 47% | 44% |
| | Community Lead with Government Support | 11% | 7% | 20% | 20% | 0% |
| | Exclusive Community Lead/ Responsibility | 2% | 0% | 0% | 0% | 11% |
| | Exclusive Government Lead /Responsibility | 23% | 27% | 20% | 20% | 22% |
| Q23(g): Promotion of ACAP model internationally | Government Lead, with Community Support | 64% | 67% | 60% | 73% | 44% |
| | Community Lead with Government Support | 7% | 7% | 0% | 7% | 11% |
| | Exclusive Community Lead/ Responsibility | 2% | 0% | 0% | 0% | 11% |
| | Don't Know | 5% | 0% | 20% | 0% | 11% |
| | Exclusive Government Lead /Responsibility | 23% | 27% | 20% | 20% | 22% |

SECTION 12: Government (Bureaucratic) Relations - Next 5-10 Years

| | | Total | Type | | | |
|---|--|-------|------------------|---------------------|-----------------|---------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q24(a): Inter-departmental (federal) coordination | Exclusive Government Lead /Responsibility | 34% | 33% | 40% | 27% | 44% |
| | Government Lead, with Community Support | 45% | 47% | 40% | 53% | 33% |
| | Community Lead with Government Support | 18% | 20% | 20% | 13% | 22% |
| | Don't Know | 2% | 0% | 0% | 7% | 0% |
| Q24(b): Inter-governmental (federal-provincial-municipal) coordination | Exclusive Government Lead /Responsibility | 11% | 0% | 20% | 13% | 22% |
| | Government Lead, with Community Support | 59% | 60% | 60% | 60% | 56% |
| | Community Lead with Government Support | 27% | 40% | 20% | 20% | 22% |
| | Don't Know | 2% | 0% | 0% | 7% | 0% |
| Q24(c): Ensuring program integrity and sustainability at the local ACAP level | Exclusive Government Lead /Responsibility | 2% | 0% | 0% | 0% | 11% |
| | Government Lead, with Community Support | 16% | 7% | 20% | 33% | 0% |
| | Community Lead with Government Support | 68% | 73% | 60% | 60% | 78% |
| | Exclusive Community Lead/Responsibility | 14% | 20% | 20% | 7% | 11% |
| Q24(d): Ensuring program integrity and sustainability for the ACAP program overall | Exclusive Government Lead /Responsibility | 7% | 13% | 0% | 0% | 11% |
| | Government Lead, with Community Support | 61% | 60% | 40% | 73% | 56% |
| | Community Lead with Government Support | 32% | 27% | 60% | 27% | 33% |
| Q24(e): Promotion of ACAP model | Exclusive Government Lead | 7% | 7% | 0% | 0% | 22% |

| | | | | | | |
|---|--|-----|-----|-----|-----|-----|
| throughout Canada | /Responsibility | | | | | |
| | Government Lead, with Community Support | 52% | 60% | 20% | 53% | 56% |
| | Community Lead with Government Support | 36% | 33% | 60% | 40% | 22% |
| | Exclusive Community Lead/Responsibility | 2% | 0% | 0% | 7% | 0% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |
| Q24(f): Influencing the direction of Integrated Coastal Management in Canada | Exclusive Government Lead /Responsibility | 9% | 13% | 0% | 7% | 11% |
| | Government Lead, with Community Support | 55% | 53% | 80% | 40% | 67% |
| | Community Lead with Government Support | 34% | 33% | 20% | 47% | 22% |
| | Don't Know | 2% | 0% | 0% | 7% | 0% |
| Q24(g): Promotion of ACAP model internationally | Exclusive Government Lead /Responsibility | 9% | 7% | 0% | 7% | 22% |
| | Government Lead, with Community Support | 57% | 60% | 40% | 53% | 67% |
| | Community Lead with Government Support | 30% | 33% | 40% | 33% | 11% |
| | Exclusive Community Lead/Responsibility | 2% | 0% | 0% | 7% | 0% |
| | Don't Know | 2% | 0% | 20% | 0% | 0% |

SECTION 13: Regulatory Compliance/ Enforcement - Currently Handled

| | | Total | Type | | | |
|---|--|-------|------------------|---------------------|-----------------|---------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q25(a): Encouraging compliance at the local ACAP level | Exclusive Government Lead /Responsibility | 14% | 7% | 20% | 27% | 0% |
| | Government Lead, with Community | 20% | 13% | 0% | 27% | 33% |

| | | | | | | |
|--|--|-----|-----|-----|-----|-----|
| | Support | | | | | |
| | Community Lead with Government Support | 36% | 47% | 40% | 20% | 44% |
| | Exclusive Community Lead/Responsibility | 14% | 20% | 0% | 13% | 11% |
| | Don't Know | 16% | 13% | 40% | 13% | 11% |
| Q25(b): Enforcement of laws and regulations at the local ACAP level | Exclusive Government Lead /Responsibility | 45% | 33% | 60% | 47% | 56% |
| | Government Lead, with Community Support | 32% | 47% | 0% | 33% | 22% |
| | Community Lead with Government Support | 2% | 0% | 20% | 0% | 0% |
| | Exclusive Community Lead/Responsibility | 11% | 7% | 0% | 13% | 22% |
| | Don't Know | 9% | 13% | 20% | 7% | 0% |
| Q25(c): Providing incentives for compliance at the local level | Exclusive Government Lead /Responsibility | 18% | 0% | 40% | 40% | 0% |
| | Government Lead, with Community Support | 30% | 27% | 0% | 27% | 56% |
| | Community Lead with Government Support | 23% | 47% | 20% | 7% | 11% |
| | Exclusive Community Lead/Responsibility | 14% | 13% | 0% | 13% | 22% |
| | Don't Know | 16% | 13% | 40% | 13% | 11% |

| | | | | | | |
|--|--|-----|-----|-----|-----|-----|
| Q25(d): Rewarding compliance at the local level | Exclusive Government Lead /Responsibility | 16% | 0% | 20% | 40% | 0% |
| | Government Lead, with Community Support | 30% | 40% | 0% | 20% | 44% |
| | Community Lead with Government Support | 16% | 20% | 40% | 13% | 0% |
| | Exclusive Community Lead/ Responsibility | 20% | 20% | 0% | 13% | 44% |
| | Don't Know | 18% | 20% | 40% | 13% | 11% |

SECTION 13: Regulatory Compliance/ Enforcement - Next 5-10 Years

| | | Total | Type | | | |
|--|--|--------------|-------------------------|----------------------------|------------------------|----------------------------|
| | | | Government Close | Gov't Less Involved | Community Close | Comm. Less Involved |
| Total Unweighted (N) | | 44 | 15 | 5 | 15 | 9 |
| Q26(a): Encouraging compliance at the local ACAP level | Exclusive Government Lead /Responsibility | 2% | 0% | 0% | 7% | 0% |
| | Government Lead, with Community Support | 36% | 33% | 20% | 47% | 33% |
| | Community Lead with Government Support | 55% | 60% | 80% | 40% | 56% |
| | Exclusive Community Lead/ Responsibility | 2% | 0% | 0% | 0% | 11% |
| | Don't Know | 5% | 7% | 0% | 7% | 0% |
| Q26(b): Enforcement of laws and regulations at the local ACAP level | Exclusive Government Lead /Responsibility | 23% | 13% | 60% | 20% | 22% |
| | Government Lead, with Community Support | 61% | 73% | 40% | 67% | 44% |
| | Community Lead with Government Support | 9% | 7% | 0% | 7% | 22% |
| | Exclusive Community Lead/ Responsibility | 2% | 0% | 0% | 0% | 11% |
| | Don't Know | 5% | 7% | 0% | 7% | 0% |

| | | | | | | |
|---|--|-----|-----|-----|-----|-----|
| Q26(c): Providing incentives for compliance at the local level | Exclusive Government Lead /Responsibility | 7% | 0% | 0% | 20% | 0% |
| | Government Lead, with Community Support | 48% | 33% | 80% | 53% | 44% |
| | Community Lead with Government Support | 39% | 60% | 20% | 20% | 44% |
| | Exclusive Community Lead/ Responsibility | 2% | 0% | 0% | 0% | 11% |
| | Don't Know | 5% | 7% | 0% | 7% | 0% |
| Q26(d): Rewarding compliance at the local level | Exclusive Government Lead /Responsibility | 7% | 0% | 0% | 20% | 0% |
| | Government Lead, with Community Support | 43% | 40% | 80% | 40% | 33% |
| | Community Lead with Government Support | 41% | 53% | 20% | 27% | 56% |
| | Exclusive Community Lead/ Responsibility | 2% | 0% | 0% | 0% | 11% |
| | Don't Know | 7% | 7% | 0% | 13% | 0% |

APPENDIX 5 – TELEPHONE INTERVIEW SCHEDULE

Introduction/Background

Good morning/afternoon/evening, may I please speak to _____? My name is _____ with Bristol Omnifacts Research.

Environment Canada has asked Bristol Omnifacts Research to conduct a confidential study with the participants in ACAP on its behalf. This study is being conducted as part of Larry Hildebrand's Ph.D. research at the University of Wales, Cardiff. The first part of this research involved an online survey which you may have received via email – if you participated in that survey: please accept our thanks. Even if you did not participate in the first part of the study, you can still participate in this component.

For the second part of the research, we are talking to individuals on a one-on-one basis about the program and the shared governance structure to gather more in-depth feedback. The information that is gathered from this study will inform the nature of the ongoing relationship between government and community, provide important insights for similar programs, and be used to guide the future of the Atlantic Coastal Action Program. Your input is very valuable in this process and all of your comments will remain confidential.

Is now a good time to have this conversation, or would you like to schedule it for a time that is more convenient for you over the next couple of days?

Schedule: DAY/DATE _____ TIME: _____

ONCE PARTICIPANT HAS AGREED TO PARTICIPATE IN THE INTERVIEW

First, thank you for agreeing to participate in this study. I very much appreciate you taking some time to talk with me. Second, there is no right or wrong answer to these questions; this is really meant to be a conversation so I can learn about your experiences, your opinions, and your relationships within the ACAP program.

The conversation will take about 45 minutes. I will not be recording the conversation so I may pause at various times to take notes. Your comments during this discussion will be confidential – they will not be shared with others, nor will they not be personally attributed to you; your comments will be combined with the comments from all other individuals who participate in this phase of the study to form a final report. If you have any concerns during the course of this discussion, please do not hesitate to ask.

Q1. First, can you tell me a bit about your role and responsibilities with ACAP and how long you've been working with ACAP? Does your role fall into the "government" category, or into the "community" category?

Record responses

This conversation is about the shared governance structure of ACAP. As we mentioned in the online survey, the simple definition of governance is "the capacity to get things

done without necessarily the legal competence to command that they be done.” This is how the ACAP process and organizations have operated, but the specific nature of the shared role between government and the community-based ACAP organizations has not been fully defined. It is the objective of this survey to shed light on this process so that we can understand more clearly our shared and respective roles and responsibilities.

Q2. First, do you see ACAP as a government program or as a community program? Or is it both? Is it neither? [*Prompts: Who do you think ‘owns’ this program? What makes you say that?*]

Record responses

FOR COMMUNITY MEMBERS:

Q3. Can you talk a bit about your relationship with Environment Canada? How do you work together? What works? What doesn't? How do you see the relationship evolving in the future?

Q3a. Can you talk a bit about relationships within your organization? How do the Executive Directors and members of your Board of Directors relate to each other? Is communication and direction-giving clear? How are decisions taken for your organization?

FOR GOVERNMENT MEMBERS:

Q3. Can you talk a bit about your relationship with the community partners? How do you work together? What works? What doesn't? How do you see the relationship evolving in the future?

Q3b. Can you talk a bit about the relationship between the ACAP Office in Dartmouth with Environment Canada Headquarters? Is direction clear and timely? Who is setting the direction for ACAP now and in the future?

I'd now like to turn to some of the specific findings from the on-line survey we conducted in October.

Q6. We explored a number of different functions and responsibilities in the online survey, asking whether they should be handled by government, community or a combination of the two. We noticed some differing opinions about the preferred responsibility structure of some functions. I'd like to get your opinion and feedback on the functions where opinions were divided. [**NOTE: DEFINITIONS OF EACH FUNCTION PROVIDED IN SEPARATE REFERENCE DOCUMENT**]

STRATEGIC PLANNING

From the survey, we know that there is variation in the preferred responsibility structures for functions within the umbrella of “strategic planning”.

According to the survey results, members prefer most of the functions to be handled collaboratively, but there are two functions in particular I would like your feedback on,

and whether they should be handled by the community on their own, or if government should be involved:

Issue identification for the community

Priority setting for individual ACAP organizations

Record responses

FINANCIAL MANAGEMENT

We had similar feedback from members on the functions of “financial Management” (mostly collaborative). Again, there are two areas in particular where members were divided. Again, I would like your feedback on whether they should be handled by the community on their own, or if government should be involved :

Securing project funding and preparing project applications (other sources of funds)

Financial accountability (tracking, reporting, auditing and evaluation, return on investment) for individual ACAP organizations

Record responses

HUMAN RESOURCES MANAGEMENT

Under the category of “human resources management”, members told us that most of the functions should be handled exclusively by the community. One of the functions they prefer to be handled collaboratively. What is your opinion on:

Mentoring of other similar groups (e.g. Other watershed-based groups) – who should lead?

Should government be involved? Or should the community handle this on their own?

Record responses

PARTNERSHIP MANAGEMENT

We also learned that the preference is for the community to handle most of the “partnership management” functions, but feel that the government should play a support role for several functions. There are two functions in particular I would like you to offer your opinion on whether the government should be involved in a support role, or if the community should handle these things on their own:

Securing, building and maintaining partnerships at the individual ACAP organization level

Building and maintaining trust among stakeholders

Record responses

NETWORKING

According to the survey results, networking functions should mostly be led by the community, with support from the government. There is one function that is currently being handled almost exclusively by the community, but there seems to be some interest in adding government support in the future. How do you feel about this function and this apparent desired shift in responsibility?:

Sharing experiences and approaches with local ACAP stakeholders – [if necessary: who should lead? Should government be involved? Or should the community handle this on their own?]

Record responses

MEDIA RELATIONS AND ENGAGEMENT

The responsibility lies solely with the community for all the functions we asked about, but there are some who want to see some support from the government in the future. What is your opinion on this? Do you agree or disagree with this direction?

Record responses

COMMUNITY-STAKEHOLDER RELATIONS AND CIVIC ENGAGEMENT

According to the survey, members seem to be divided on whether the next function (under the category “community-stakeholder relations and civic engagement”) should be handled exclusively by the community or if there should be government support. What is your opinion on:

Reporting to the public on activities and accomplishments of the ACAP organization – who should lead? Should government be involved? Or should the community handle this on their own?

Record responses

POLITICAL RELATIONS

The survey also showed that there is a shift away from sole community responsibility for the next three functions toward having some support from the government in the future, leading members to be divided on whether they should be exclusively handled by community or have government support. For each of these functions, do you agree with this shift in responsibility? What do you think about this shift?

Influencing government policy at the municipal level

Influencing government policy at the provincial level

Securing political support for identified priorities

Record responses

GOVERNMENT (BUREAUCRATIC) RELATIONS

The next area is government or bureaucratic relations, which can be defined as “*how community organizations work with and influence the bureaucratic levels of government and their coordination functions.*” A number of members would like to see the responsibility structure for this area changed in the future, mostly with more emphasis toward the community taking the lead. However, the overall preference is for government to continue to lead with community providing support. These functions include:

Inter-departmental (federal) coordination

Inter-governmental (federal-provincial-municipal) coordination

Ensuring program integrity and sustainability at the local ACAP level

Ensuring program integrity and sustainability for the ACAP program overall

Promotion of ACAP model throughout Canada

Influencing the direction of Integrated Coastal Management in Canada

Promotion of ACAP model internationally

What are your thoughts on the interest by some for the community taking the lead with support from the government rather than the other way around?

Record responses

REGULATORY COMPLIANCE AND ENFORCEMENT

The survey told us that the next function should be collaborative, but I'd like your feedback on whether it should be led by the government or by the community:

Rewarding compliance at the local level – who should lead?

Record responses

Q7. Overall, there seems to be a desire for the community to take more control in the future. Do you have an opinion on this? What do you think is driving this?

Record responses

Q8. Do you feel that any of those management functions that were identified as best-handled by the community should be formally delegated? By formally delegated, I mean a legal transfer of responsibility.

Record responses

Thank you kindly for your input; it is very much appreciated. Do you have any questions for me?

Following our reports to Larry Hildebrand, there will be an option for you to hear or read the results of both phases of the study. Are you interested in being contacted when these results become available?

(Record yes or no)

Appendix 6 Sector Representation on ACAP Boards of Directors

| Sector | Province | | | | Total (by sector) | Percent (by Sector) |
|----------------------------------|-----------|-----------|----------|-----------|-------------------------|---------------------------|
| | N.S. | N.B. | P.E.I. | NL | | |
| Federal Government | 6 | 6 | 2 | 4 | 18 | 9 |
| Provincial Government | 6 | 8 | 4 | 7 | 25 | 13 |
| Municipal Government | 7 | 2 | 2 | 2 | 13 | 7 |
| First Nations | 0 | 4 | 0 | 1 | 5 | 2 |
| NGO | 3 | 7 | 0 | 5 | 15 | 8 |
| Academia | 15 | 7 | 3 | 11 | 36 | 19 |
| Business & Industry | 13 | 14 | 6 | 4 | 37 | 19 |
| Citizens | 12 | 22 | 1 | 9 | 44 | 23 |
| Total # (by province) | 62 | 70 | 18 | 43 | 193 | 100 |
| Percent (by province) | 33 | 36 | 9 | 22 | | 100 |

Federal Government Board Members:

- Environment Canada (includes Windows)
- Fisheries and Oceans Canada

Provincial Government Board Members:

- New Brunswick Department of Education
- New Brunswick Department of Environment
- New Brunswick Department of Health
- New Brunswick Department of Natural Resources
- Newfoundland and Labrador Department of Environment and Conservation
- Newfoundland and Labrador Department of Fisheries and Aquaculture
- Newfoundland and Labrador Department of Innovation, Trade and Rural
- Newfoundland and Labrador Department of Municipal Affairs
- Newfoundland and Labrador Department of Natural Resources
- Nova Scotia Department of Environment and Labour
- Nova Scotia Department of Health
- Prince Edward Island Department of Environment, Energy and Forestry Development

Municipal Government Board Members:

- Cape Breton Regional Municipality, NS
- City of Corner Brook, NL
- City of Miramichi, NB
- City of Summerside, PEI

- Great Humber Joint Council (coalition of local communities)
- Mayor of St. Stephen's, NB
- Montague councilor, PEI
- Sydney councilor, PEI
- Town of Bridgewater, NS
- Town of Lunenburg, NS
- Town of Mahone Bay, NS

First Nations:

- Burnt Church First Nation
- Newfoundland and Labrador Federation of Indians
- Passamaquoddy Schoodic Band
- Red Bank First Nation (2)

Non-Governmental Organizations (NGOs): (the majority are environmental)

- i. Canadian Parks and Wilderness Society (CPAWS)
- ii. Tangly Whales
- iii. White Rapids Brook Enhancement
- iv. North Salmon Protection
- v. Miramichi Salmon Association

Academia:

- i. Acadia University
- ii. Cape Breton University
- iii. Memorial University
- iv. University of New Brunswick
- v. Dalhousie University
- vi. Community Colleges
- vii. High School teachers and School Board representatives
- viii. Independent Biologists, Environmental Scientists and Marine Biologists

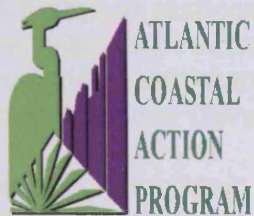
Business (large, medium and small) and Industry:

- vi. J.D. Irving Ltd.
- vii. Neenah Paper
- viii. Weyerhaeuser
- ix. Clow Canada
- x. Ocean's Ltd.
- xi. Falconbridge
- xii. Others include: Deloitte consultants, AMEC consulting company, Insurance brokers, Scubatech Equipment, Melanson's Waste Management, Engineers, Lawyers, Dentists, Farmers, Commercial Fisherman and other small business owners

Citizens:

- i. Represent over 20% of board members across the Atlantic Provinces.

Appendix 7 – Sample Contribution Agreement between Environment Canada and the Clean Annapolis River Project (ACAP)



CONTRIBUTION AGREEMENT

The effective date of this agreement is April 1, 2008

BETWEEN **Her Majesty the Queen in Right of Canada**
as represented by the Minister of the Environment, or his/her
delegate, hereinafter called the “Minister” who is responsible
for Environment Canada, hereinafter called “EC”

AND **Clean Annapolis River Project**, hereinafter called the
‘Recipient’

Whereas the Minister conducts a program known as the Atlantic Coastal Action Program (ACAP) which supports communities in the Atlantic Provinces in defining common objectives for environmentally appropriate use of their resources and developing plans and strategies that will help achieve them, and may enter into an agreement with the Recipient to provide for the payment of contributions towards the costs of programs and activities to implement these plans and strategies, such as those activities described under Clause 2; and,

Whereas the Minister wishes to:

1. Contribute to the Recipient’s projects that contain planned outcomes and clear deliverables that relate to EC’s strategic outcomes
2. enable Canadian groups, associations and organizations to plan, manage and complete projects and initiatives aimed at protecting, conserving, enhancing and restoring habitats, sites and ecosystems;
3. encourage Canadians and Canadian organizations to become actively and concretely involved in environmental and sustainable development projects and initiatives that will result in tangible, measurable environmental benefits;
4. increase and improve, within Canadians, the level of awareness and understanding of environmental and sustainable development issues and encourage environmentally responsible action by helping build the

- capacity of Canadians, Canadian groups, associations and organizations to network and form partnerships with others for the exchange and dissemination of information;
5. enable Environment Canada to respond to specific needs and emerging issues at the regional or ecosystem level;
 6. lever non-federal government, voluntary in-kind and financial support for environmental and sustainable development projects (domestic or international); and
 7. allow Environment Canada to maintain a departmental or federal presence and support departmental or federal participation in environmental initiatives, programs and activities.

Whereas the Minister wishes to provide financial assistance to the Recipient to enable it to carry out the activities described under Clause 2;

Whereas the Minister has had a long-term, mutually beneficial relationship with the Recipient through the ACAP program. In addition to a decade and a half of experience in community-based program and project delivery, the multi-stakeholder nature of the Board of Directors for the Recipient provides a wealth of experience which will allow for the effective completion of deliverables outlined in Clause 2, and indicators outlined in Appendix B.

Whereas the Recipient has already secured contributions from other interested parties totaling **\$101,300**.

Whereas Appendix B describes the indicators of project success as selected by the Recipient. The Recipient will report against these selected indicators as outlined in Clause 5 (c).

Now, therefore, this Agreement witnesses that in consideration of the mutual promises and agreements hereinafter set out, the Minister and the Recipient (hereinafter called the "Parties") agree as follows:

6 PURPOSE:

- A. The purpose of the Agreement is to enable the Recipient, by means of contributions, to support community-based efforts to deliver an integrated program to engage citizens of the Annapolis watershed in the restoration and protection of key ecological resources; enhanced management of water resources in the Annapolis watershed and improved treatment of rural and municipals wastewater and reductions in greenhouse gas emissions; and improve understanding of the status and threats facing the aquatic ecosystems of the Annapolis watershed through the use of enhanced tools for integrated management.

- B. The expected results are to sustain and build upon the capacity at the community level to work towards healthy and sustainable ecosystems in the Annapolis River watershed
- C. The activities of the agreement link to the following EC strategic outcomes:

1. **Canada's natural capital is restored, conserved and enhanced**
2. **Weather and environmental predictions and services reduce risks and contribute to the well-being of Canadians.**
3. **Canadians and their environment are protected from the effects of pollution and waste.**
5. **Contributes to achieving departmental strategic objectives**

2. ACTIVITIES UNDERTAKEN BY THE RECIPIENT AND EXPECTED RESULTS

The Recipient will carry out the following activities in order to meet the following results for each activity:

Project #1: Annapolis Ecological Engagement and Enhancement Project

Project Description:

The primary focus of this project is the engagement of citizens of the Annapolis River watershed in southwestern Nova Scotia in a series of activities that will lead to environmental improvement and enhanced stewardship in the communities in the region.

Part of solution for any set of environmental issues is the creation of a body of informed citizens who are committed environmental improvement. One of the most productive ways to create this is to engage citizens in the definition of local issues and in the development and implementation of solutions. The *Annapolis Ecological Engagement and Enhancement Project* is designed to achieve this with interlinked and mutually supportive series of activities contributing to the enhancement, protection and stewardship of important ecological components.

Project activities:

The project goals will be achieved by utilizing three components that focus on active engagement supported by enhancement programming.

Ecological Enhancement will focus on a number of environmental improvement activities including, but not necessarily limited to:

- riparian restoration and flood plain protection along the Annapolis River in the Middleton area owned by the Town. A part of the area has been used as pastureland with a severely degrade riparian zone that is contributing to erosion and nutrient loading. The area, totaling almost 50 hectares, will be

planted with 1,500 native trees and shrubs and fenced to exclude livestock. The rehabilitated flood plain will be protected by a long term stewardship agreement between CARP and the Town of Middleton.

- controlled animal access to waterways and riparian restoration in agricultural areas in the watershed. Approximately 500 meters will be planted with native species and fenced to exclude livestock. The rehabilitate riparian zone protected by long term stewardship agreements between the respective landowners and CARP.
- completion and, hopefully implementation, of a management plan for the only known outbreak of garlic mustard, *Aliana petiolato*, in Nova Scotia. This is a highly invasive alien plant that is a major threat for the forestry industry and in protected areas in other parts of Canada.

Environmental Monitoring component will center various ecological monitoring programs including, but not necessarily limited to:

- supporting the Annapolis River Guardians, a volunteer based water quality monitoring program that is providing a long term record of ecological health of and identifying threats to the Annapolis River. The program, active since 1992, is one of Atlantic Canada's longest running volunteer monitoring programs. The program has logged thousands of volunteer hours and contributed to positive changes in how local water resources are managed. Analysis of data collected in the last field season is being completed and will be presented in two documents; a detailed, peer reviewed, technical report and a summary report for decision makers and citizens. These will be circulated in print and electronic formats. Having an active volunteer in each of the communities along the Annapolis River is central to engaging members of the public in watershed stewardship.
- field support for Species at Risk stewardship activities that could involve up to three species at risk, Striped bass, (*Morone saxatilis*) Brook floater mussel, (*Adasmidonta varicosa*), and eastern white cedar (*Thuja occidentalis*). This will entail working with key researchers, resource users and adjacent communities to better understand the threats facing local species at risk and initiate appropriate stewardship activities. For example, collaborative efforts with researchers at the Nova Scotia Agricultural College and Bear River First Nations, a traditional harvester of striped bass, will seek to understand barriers to spawning success of the species and develop conservation measures.
- support a citizen scientist program aimed at identifying and mapping alien invasive plants. Through the use of established mapping protocols, this work will involve engaging community volunteers to identify the incidence

and distribution of alien invasive plants, providing input to land managers so that effective controls can be put in place.

Public Engagement component will include, but not necessarily be limited to:

- 3 engaging elementary, secondary and post secondary students is a range of environmental learning experiences. The actual programs will be tailored to meet the needs of the participants and could include field trips, in-school labs, classroom presentations and other experiential learning opportunities. This will likely involve more than 200 students.
- 4 providing requested support to environmental programs being developed at Bear River First Nation who are in the process of building the capacity of their environmental department. Through the *Annapolis Ecological Engagement and Enhancement Project*, the Recipient will assist in this capacity building, by providing staff to serve on project advisory teams, providing opportunities for work shadowing, collaborate on joint initiatives and loan ecological monitoring equipment.
- 5 engaging citizens in various environmental awareness programs. These will be tailored to meet the needs of general and specialized audiences. Reflecting the needs of the respective audiences, these could include programs on alien invasive species, species at risk, best management for industry sectors, energy conservation and other topics as the opportunities arise. These could take the form of presentations, field trips, open houses and other experiential learning opportunities.
- 6 The Recipient's continued involvement in numerous environmental policy development forums such as the NS Roundtable on Sustainability and Economic Prosperity, the Bio-Solids Advisory Committee and the Strategic Environmental Assessment Tidal Advisory Group.
- 7 providing support to the tourism industry developing geocaching activities featuring natural and cultural history. This will involve working with tourism operators to develop a series electronic presentations about natural and cultural history issues that will be accessed using specially designed GPS devices when designated points are approached. This is one of the emerging programs in experiential tourism and are proving to be a highly effective way of conveying information. Parks Canada is just starting to use this programming in a few of their national parks.
- 8 maintaining the a local environmental resource centre and engagement website, www.annapolisriver.ca that is receiving over 500 unique hits monthly.

- 9 production of a quarterly paper and electronic newsletter on environmental programs in the region. The electronic version will be mailed to CARP members and supporter and be available on the CARP website that receives 500 unique hits monthly. Paper version will be available to citizens who are unable to access the electronic version.
- 10 publication of a weekly newspaper column on environmental issues.

Project #2: Annapolis Water for the Future Project

Project Description:

The overall goal of the *Annapolis Water for the Future Project* is early development and implementation of an integrated watershed management options for the Annapolis watershed in southwestern Nova Scotia. In the communities surrounding the Annapolis river, there a growing awareness in recent years of diverse issues facing the Annapolis watershed, including; Contamination of groundwater by agricultural runoff, with much larger areas of watershed's groundwater at high risk of contamination; current and future infrastructure renewal burden of municipalities to provide water services such as the Town of Middleton; supply shortages with municipal water systems as in the community of Margaretsville; urban/suburban development pressures; closure of soft shell clam beaches due to bacterial contamination arising from coastal development pressures; anticipated to changes precipitation patterns & evapo-transpiration due to climate change; degraded ecosystem functions such as eutrophication in lower Annapolis River, and; loss of aquatic species such as Striped bass, trout, and Atlantic salmon.

In many ways, these issues may be viewed as symptoms of a larger problem, the fact that water resources in the Annapolis watershed are not managed in an integrated manner. The Recipient and its partners believe that the time is right to develop an Integrated Watershed Management (IWM) approach for the Annapolis watershed.

To achieve the goals of the *Annapolis Water For The Future Project*, the initiative will be divided into two components. The first component will focus on early implementation actions that address pressing problems and build a constituency of support for integrated watershed management. The second component will be directed toward the investigation and development of options for the application of integrated watershed management in the Annapolis watershed. Within a broader context, the outcomes of this aspect of the *Annapolis Water For The Future Project* may provide guidance on integrated watershed management approaches that might be utilized in other Nova Scotia watersheds. The NS Department of Environment is in the early stages of developing a policy framework for watershed management in the Nova Scotia and will be engaged in the *Annapolis Water For The Future Project* .

Project Activities:

Component One: Early Implementation Actions

For the early implementation measures, the initiatives will focus on activities that address immediate and pressing problems and build a constituency of support among policy makers and citizens for integrated watershed management. These include, but are not necessarily limited to:

- 4 assisting rural residents with enhanced management of their on-site potable water and wastewater systems. This includes delivery of a social marketing program aimed at public awareness of how their on-site systems function and how they should be managed. In this program 200 home visits will be made and will be offered a subsidy to have their septic tank pumped. Homeowners who require a system upgrade and meet a provincial income threshold, will be offered an additional subsidy.
- 5 providing support to the Town of Middleton on the rehabilitation of their sewage treatment plant and waste water management system. The Recipient is represented on the steering committee for this rehabilitation. It is anticipated that detailed engineering plans will be completed this year with construction to begin as soon as funds are secured.
- 6 exploring the feasibility of the towns of Bridgetown and Middleton of utilizing engineered wetlands for tertiary treatment of municipal wastewater. It is anticipated that conceptual designs and strategies for the implementation will be completed for Middleton and planning initiated in Bridgetown.
- 7 working with municipal units, such as the towns of Middleton and Annapolis Royal, for the implementation of water conservation programs. This will include identify program elements, project partners and funding mechanisms.
- 8 working with municipal units, such as the towns of Middleton and Annapolis Royal, for the implementation of energy conservation programs. In Annapolis Royal, an energy conservation plan will be completed and it is hoped that a similar conservation strategy for Middleton will be initiated.
- 9 working with various municipal units to explore smart growth options that will support clean water and clean air and reduce greenhouse gas emissions. This will require identification of tools that municipal units might be able to employ to achieve smart growth goals.

Component Two: Integrated Watershed Management Options

The project will undertake the following activities, with the goal of developing options for the Integrated Watershed Management (IWM) of the Annapolis watershed.

- 4 establishment of a group of key experts who will contribute to this process. They will be drawn from academia, government, the environmental community and others. Some individuals have already been identified and have agreed to contribute their expertise;
- 5 review of primary literature and interview key experts;
- 6 convene a forum(s) for members of the public, stakeholders and experts to consider integrated watershed management options;
- 7 develop options for an integrated watershed management framework for the Annapolis watershed;
- 8 identify activities to be undertaken within that framework, and;
- 9 propose transitioning mechanisms to allow conversion to an integrated watershed management framework.

It is anticipated that as well as providing an roadmap for the establishment of IWM in the Annapolis valley, the *Annapolis Water For The Future Project* will seek to provide policy guidance that is applicable to other watersheds. To be successful, an IWM framework will need to include the following elements, which will be addressed in the project.

Project #3 Science Linkages: Building Blocks for Aquatic Assessments

Project Description:

This project will examine suspended particulate levels and the status of biological communities within the Annapolis watershed. The outcome of this work will allow the use of tools such as the Water Quality Index in assess the status of the watershed, with greater engagement of community members in its protection.

The *Building Blocks for Aquatic Assessments* project is composed of two elements:

- 4 Assessment of particulate matter levels in the Annapolis River – This component will determine background particulate levels in the Annapolis system, establish a relationship between turbidity and total suspended solids (TSS), and assess peak particulate levels. The assessment will facilitate the derivation of a water quality objective (WQO) for turbidity that is protective of water uses in the Annapolis River (e.g. fish habitat, recreation, irrigation) but

also considers the natural background conditions within the watershed.

- 5 Freshwater benthic invertebrates (CABIN) – The existing chemical water quality data on the Annapolis River is insufficient to characterize the status of the river and assess changes over time. CARP proposes to continue its contributions to the Canadian Aquatic Biomonitoring Network (CABIN) through the collection of benthic invertebrate samples from the Annapolis River. This study will build on our knowledge of the abundance and diversity of benthic invertebrate communities in the Annapolis Watershed. The results will build on CARP's existing and future mechanisms for reporting on the state of the Annapolis River.

CARP has participated in the CABIN program since 2002, with the collection of benthic invertebrate samples from un-impacted and impacted sites within the Annapolis watershed. The objective of this work has been to sample a sufficient number of reference sites to characterize the status of un-impacted watercourses, establish a baseline for assessing temporal changes at key sites on the main Annapolis River and assess the impacts of habitat restoration activities. A short-term goal of this program is the development of a reference condition model for south western Nova Scotia.

Project Activities:

The investigation of Turbidity/Total Suspended Solids would include:

- 6 Identification of a suitable reference site for the Annapolis River. Ideally this site would have minimum anthropogenic influence and represent similar environmental conditions (e.g. climate, soils, bedrock, relief, etc.). A CABIN sampling station would be established at the site if a previous CABIN site is not selected.
- 7 A multi-parameter probe supplied by EC would be installed at the reference site for a period of four months beginning in May. A student from EC would be responsible for maintaining and calibrating the probe on a monthly, or as-needed basis. Assistance from CARP could include providing an individual to help with calibration and checking on the probe on a weekly basis.
- 8 General chemistry samples (including TSS) would be taken at all calibration events by EC. Supplemental TSS samples and turbidity measurements will be collected and analyzed by CARP at a greater frequency and at periodic precipitation events. This would include sampling at the Wilmot site and the reference site.
- 9 Annapolis River Guardian volunteers will collect biweekly TSS and turbidity samples at eight locations along the main Annapolis River (April to October), plus additional samples during and immediately after precipitation events. CARP will perform analysis of these samples.
- 10 Water quality data will be compiled and reviewed to help establish the background turbidity levels. A relationship will be developed between turbidity and TSS for the Annapolis River. The temporal and spatial patterns of peak suspended particulate matter in the Annapolis River will be assessed.

The investigation of freshwater benthic communities (CABIN) will include:

- 6 Identification of new reference sites and sampling and/or re-sampling of

historic reference sites.

- 7 Collection of CABIN sample adjacent to the EC gauging and water quality station at Wilmot. This will contribute to the EC objective of integrating biological and chemical water quality parameters.
- 8 Collection of CABIN samples at long-term monitoring sites on the main Annapolis River.
- 9 Picking and identification of samples.
- 10 Inputting of field data, water chemistry and benthic community data into CABIN database.
- 11 Analysis of results.

Appendix B outlines the Indicators related to this project, and forms part of this Agreement.

Note: The Department will supply the following:

Environment Canada will be responsible for identifying the need for an Environmental Assessment and, where necessary, conducting an Environmental Assessment as required under the *Canadian Environmental Assessment Act*. The Recipient will be expected to contact the provincial government to determine provincial environmental assessment requirements, if any;

- Environment Canada has designated a representative to work directly with the Recipient, serving as a liaison between the Recipient and Environment Canada, ensuring deliverables are completed according to this Contribution Agreement. This person is referred to as an Environment Canada 'Window'.

3. MAXIMUM AMOUNT OF CONTRIBUTION

- (a) The Minister agrees, subject to the terms and conditions of this Agreement, to contribute towards the eligible costs set out in this Agreement that could be incurred by the Recipient for the activities described in this Agreement, to a maximum amount of **\$75,600**.
- (b) The total value of the funds secured by the Recipient for the purposes set out in Clause 2 is **\$271,400** (including in-kind). Of this total, Environment Canada's Assistance is **\$75,600 or 28 percent** of the total.

- **ELIGIBLE COSTS**

The Recipient agrees that the payments referred to in Clause 3 shall be applied to the allowable expenditures incurred in the course of conducting the activities described in Clause 2 of the Agreement. The allowable expenditures are:

- 6 human resource costs, including salaries and benefits;
- 7 contract and professional service costs, including accounting, audit, monitoring, legal or other professional fees;
- 8 travel and field costs;
- 9 material and supplies costs;
- 10 printing and production costs
- 11 equipment (e.g. shovels, rental of trucks/tractors, purchase/lease of office equipment, etc);
- 12 land acquisition;
- 13 vehicle rental and operation costs;
- 14 any sales taxes that are not reimbursable by the Canada Revenue Agency and provincial government; and

Costs, other than those herein allowed, are ineligible unless specifically approved in writing by the Minister prior to the time the costs are incurred.

5. REPORTING:

- (a) The Recipient shall, by the effective date of this Agreement, provide;
 - o A cash flow statement for the period starting as of the effective date of the Agreement and ending March 31, 2009 (as described in Appendix C)
- (b) The Recipient shall provide with each claim for payment, a brief progress report explaining expenditures against advanced funds
- (c) An interim progress report, along with an accounting of all expenditures should be delivered to Environment Canada by **October 31, 2008**.
- (d) The Recipient shall also provide a progress report clearly outlining progress on or achievement of indicators as outlined in Appendix B.
- (e) The Recipient shall no later than 30 days after the date referred to in Clause 5 (a) provide:
 - 1) a financial statement of expenditures and income which shall include a statement as to how payments have been used, and
 - 2) a progress report which shall contain the elements set out in Clause 2.
- (f) The Recipient agrees to use the reporting templates provided by Environment Canada for the interim and final progress and financial reporting

- (g) An audited financial statement shall be provided to Environment Canada by the Recipient within 60 days of completion of this Agreement, or within a reasonable time period as approved by Manager, Sustainable Communities and Ecosystems Division

6. METHOD OF PAYMENT

The following conditions must be met before payments will be made:

Within the limits of Clause 3 and in accordance with the laws of Canada relating to financial administration, as amended from time to time, the Minister agrees to pay the Recipient, according to the cash flow requirements for the periods indicated, defined by the agreed upon cash flow forecast of Appendix C, as follows:

- An initial advance of up to **\$52,000** at the beginning of the Agreement to cover start up costs for the activities outlined in Clause 2, based on an agreed upon cash flow statement (Appendix C) demonstrating the need for these funds;
- D. A subsequent payment of up to **\$16,040 on or about October 31, 2008** upon receipt of a mid-term report.
- E. A final payment in arrears of up to **\$7,560** upon completion of the activities outlined in Clause 2; upon receipt of a report on these activities and the indicators listed in Appendix B; and upon receipt of an accounting of all expenditures incurred, as outlined in Clause 5 (e).

(Note: If the Recipient does not use or substantiate the use of all the funds previously advanced, the subsequent payment will be reduced by an amount equal to the unused portion of the previous payment)

Payments will meet cash flow requirements for the periods indicated, based on an agreed upon annual cash flow forecast, as described in Clause 5.

Any interest earned by the Recipient from any advance payments shall be used only for such eligible costs as set out in Clause 4.

7. INVOICES OR REQUESTS FOR PAYMENT

- (a) All invoices or requests for payment should be sent to:

Environment Canada

**Atlantic Coastal Action Program
16th floor Queen Square
45 Alderney Dr., Dartmouth, NS
B2Y 2N6
Attn: Larry Hildebrand
Manager, Sustainable Communities and Ecosystems**

(b) All payments to the Recipient shall be addressed to:

**Clean Annapolis River Project
P.O. Box 395
Annapolis Royal, NS
B0S 1A0
Attn: Steve Hawboldt
Executive Director**

8. ACCOUNTS AND FINANCIAL STATEMENTS

The Recipient agrees to keep proper accounts and records of the revenues and expenditures for the subject matter of the Agreement, including all invoices, receipts and vouchers relating thereto. The Recipient will provide financial statements and forecasts as stipulated in the Agreement and shall conduct its financial affairs according to generally accepted accounting principles and practices. For the purposes of this Agreement, the Recipient will keep all financial accounts and vouchers and other records for a period of at least three years after the expiry of the Agreement.

6 AMOUNTS OWING TO THE FEDERAL GOVERNMENT

The Recipient attests to have declared any and all amounts owing to the federal government under legislation or contribution agreements, and recognizes that the Minister may set-off amounts due to the Recipient against amounts owing to the government.

A. INTELLECTUAL PROPERTY

Any intellectual property rights arising from the project will be vested in the Recipient provided that the Recipient hereby grants to the Minister the licensed rights to produce, publish, translate, reproduce, adapt, broadcast or use at no cost, any work subject to such intellectual property rights.

11. EQUIPMENT AND ASSETS

The ownership of any equipment purchased by the Recipient with funds provided by the Minister under this agreement shall rest with the Recipient, unless otherwise agreed to. The Minister is not liable for a loan, lease or other contractual obligation entered into by the Recipient to acquire equipment.

12. NOT A PARTNERSHIP

The Minister and the Recipient expressly disclaim any intention to create a partnership, joint venture or agency. It is understood, acknowledged and agreed that nothing contained in this Agreement nor any acts of the Minister or the Recipient shall constitute or be deemed to constitute the Minister and the Recipient as partners, joint ventures or principal and agent in any way or for any purpose. The Recipient shall not represent or hold itself out to be an agent of the Minister. No party shall have any authority to act for or to assume any obligations or responsibility on behalf of the other party.

The Recipient agrees to be liable to the Minister for any liability that the Minister incurs by virtue of being found to be liable with the Recipient as a partner of, joint venture with, or principal of the Recipient. For greater certainty, the Recipient assumes no responsibility for any liability arising to the Minister as a result of the act or omission of the Minister or his agent which are the basis for the finding that the Minister or his agent is a partner of, joint venture with, or principal of the Recipient.

13. DURATION

This Agreement shall bind the Parties for the period beginning on the effective date and ending on **March 31, 2009**.

14. AMENDMENTS

This Agreement may be amended. Any amendment to this Agreement shall be in writing and signed by the Parties.

15. TERMINATION

The Minister may terminate this Agreement and withdraw from the project if, in the opinion of the Minister, the Recipient fails to meet the original objectives, as set out in Clause 2.

Additionally, either the Recipient or the Minister may terminate this Agreement on one (1) month written notice to the other Party. Payment for incurred costs and non-reversible commitments by the Recipient for the purposes set out in Clause 2 will be covered by the Minister.

This Agreement and the obligations of the Minister under this Agreement shall terminate upon receipt of notification to the Minister of a notice of the Recipient's death, dissolution or insolvency.

16. ENTIRE AGREEMENT

This Agreement, along with the Terms and Conditions in Appendix A and any other appendices and schedules cited in this Agreement, shall constitute the entire and sole Agreement between the Parties and shall supersede all other communications, negotiations, arrangements and agreements of any nature between them prior to the date of this Agreement.

IN WITNESS WHEREOF the Parties have executed this Agreement on the effective date mentioned on the first page of this agreement.

FOR THE RECIPIENT

**FOR HER MAJESTY THE QUEEN
IN RIGHT OF CANADA**

Les Smith
President
Clean Annapolis River Project

Larry Hildebrand
Manager
Sustainable Communities and
Ecosystems

Date

Date

Witness

Witness

Date

Date

