

# Marine Life Protection Act Initiative Central Coast Project



## FACILITATOR'S REPORT

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## Executive Summary

This report reviews our experience as the primary facilitators of the Central Coast Project Regional Stakeholder Group (CCRSG) convened as part of the Marine Life Protection Act (MLPA) Initiative. It covers work conducted with the CCRSG from May 2005 through December 2005, as well as follow-up work conducted through the spring of 2006.

The report is organized chronologically. In it, we recap the approach we brought to the project, the results achieved, and key lessons learned. We also include commentary on specific process challenges faced and our strategies for addressing them. We finish with key recommendations for process modifications. Our focus is on issues of greatest interest to the designers of future Marine Protected Area (MPA) designation processes.

This report is intended very much as a first person narrative; we anticipate that it will be complemented by other reports prepared as part of the MLPA Initiative Lessons Learned Project.

### Key Elements of the MLPA Initiative Process and Challenges Faced

This project had several distinct features relative to our other experience mediating and facilitating collaborative efforts to address complex environmental policy issues. First, the MLPA Initiative Central Coast Project came on the heels of two previous efforts to implement the MLPA that had not been successfully realized. As such, many of the stakeholders entered the process with preconceived notions of how the project would operate. Second, the CCRSG process was operating under a relatively short seven-month time frame that presented informational, logistical, and time-management challenges to stakeholders and support staff alike. Third, much of the technical information to support the CCRSG's deliberations (e.g., the regional profile, assessment of existing MPAs, socioeconomic analysis, GIS-based decision support tool, and the methodology for evaluating MPAs and MPA networks) was being developed concurrent to the CCRSG process. This required flexibility and nimbleness on the part of all.

Lastly, several of the key process design decisions had been made before CONCUR entered the project. These were specified either by the enabling legislation (the MLPA), the MLPA Master Plan Framework (MPF), the memorandum of understanding developed for the principal parties, or administrative policy decisions. These included decisions regarding CCRSG recruitment, composition, and group size; the charge that the CCRSG produce a suite of alternative MPA packages rather than a single consensus MPA package proposal; and the roles and relationships between the CCRSG and other bodies in the MLPA Initiative process, including the MLPA Blue Ribbon Task Force (BRTF), the Master Plan Science Advisory Team (SAT), the California Department of Fish and Game (DFG), and the California Fish and Game Commission (Commission). Some proved to be quite challenging. For example, some of the CCRSG members came into the deliberations expecting not mutual gains bargaining but "battles" to be won or lost. Additionally, the transition between the CCRSG and BRTF processes was not well defined. This led to confusion over how the

alternative MPA packages developed by the CCRSG might evolve once they entered the domain of the BRTF.

## Key Process Decisions

Several key process choices significantly influenced the CCRSG process.

- **Robust staff support.** From our perspective, the project conveners assembled an exceptional group of MLPA Initiative staff members (the I-Team) to support the Central Coast Project. The I-Team was characterized by robust policy, technical, process, and administrative expertise, outstanding commitment to the objectives of the initiative, and a “can do” attitude. CONCUR was an integral member of the I-Team and worked closely with all of the other members. The I-Team operated in a remarkably integrated fashion, manifested by weekly strategic planning teleconferences, monthly CCRSG preparatory meetings, a dynamic document review process which included all I-Team members, and the use of a list-serve in which all I-Team members were copied on nearly all transmittals. While the effort to stay on top of the many I-Team activities was significant, we found the quality and responsiveness of I-Team work to play a major role in the success of the CCRSG process.
- **Informative stakeholder assessment.** In the weeks before convening the first CCRSG meeting, we conducted a stakeholder assessment that included nearly all of the primary CCRSG members. We found CCRSG members to be very willing to talk and appreciative of the in-person introduction, the chance to learn more about the process, and the opportunity to air their potential concerns. Key concerns included a caution about possible stakeholder tactics that might be used to slow or derail the project, confusion over the role of the CCRSG relative to the BRTF, the SAT, and the Commission, and concerns that the timeline for the CCRSG process was overly ambitious. We relied on the assessment throughout the CCRSG process to inform process and planning decisions.
- **Responsive ground rules adopted and enforced.** The process of creating and adopting process ground rules was particularly important in the Central Coast Project. We used the ground rules to address CCRSG member concerns, such as media contact and decision rules. We also placed a premium on successfully adopting the ground rules at the first CCRSG meeting (which we did), and we were active in enforcing the ground rules, at times engaging the assistance of I-Team members or the stakeholders themselves.
- **Ongoing strategic planning.** The Central Coast Project was characterized by significant levels of I-Team strategic planning. Over the course of the project, we also developed the process of crafting detailed “game plans” for future meetings that, in a very detailed fashion, laid out the goals, sequence of events, and I-Team roles for individual meetings, as well as contingency plans for responding to stumbling blocks that might arise.

- **Targeted use of straw voting to track levels of support and bases for objection.** To assist CCRSG development of regional goals and objectives, and to support CCRSG development and assessment of MPA packages, we established several detailed straw voting processes. We relied on both oral votes and paper ballots and crafted questions to elicit CCRSG views, preferences, and concerns. We found these straw-voting processes to play a critical part in sustaining momentum and building agreement in the CCRSG deliberations.

## **Key Recommendations for Process Modifications**

From our perspective, the CCRSG process was characterized by significant investments of time, energy, creativity, and good will on the part of the CCRSG members, the I-Team, the SAT, and the BRTF. On the whole, the CCRSG accomplished the goals it set for itself at the beginning of the process. Nevertheless, we can envision several alternate choices in process architecture and individual process choices that may lead to the more efficient production of work products. Many of these recommendations are made possible by the work products and tools developed in the Central Coast Project. Key recommendations are as follows:

1. Conduct an initial round of stakeholder interviews well in advance of convening the next regional stakeholder group (RSG). Use the results of the interviews to inform the recruitment of RSG members, the pacing of work products, and the nature of upfront analytic work. Then, conduct a second, targeted round of stakeholder interviews with appointed primary RSG members who were not interviewed in the first round.
2. Place upfront emphasis on recruiting individuals committed to use a mutual gains bargaining approach, and bringing a regional (and not just local) perspective to the task of MPA package creation. At a minimum, this means a commitment to building integrative solutions. At best, it means working hard to come up with a single consensus recommendation.
3. Provide more explicit incentives and a clearer expectation for stakeholders to converge on an agreed-upon package, with the expectation that they will come up with multiple MPA packages and then rank them as a step toward converging on a single package. It is not an unreasonable expectation that the stakeholder group could come to support a single package that most successfully integrates the interests of multiple stakeholder groups. Several structural adjustments and incentives could make this more likely. Perhaps the most important would be a commitment that a consensus RSG MPA package, informed by robust DFG input, would very likely be the DFG preferred alternative that would be forwarded to the Commission for decision. This in turn would probably entail DFG staff to be more active negotiating participants in the RSG.
4. Establish a crisp and comprehensive terms of reference for the SAT. Address issues such as disciplinary coverage, dealing with real and apparent conflicts of

interest, methods of deliberation, and nature of the interface with the RSG and the BRTF.

5. Provide timely access to solid biological and socioeconomic data, and introduce the rationale and logic of the MPA evaluative criteria much earlier in the process.
6. Consider the merits of spacing RSG meetings at 6-week intervals to allow more extensive interim analytical work and work team meetings.
7. Structure main RSG meetings largely as plenary meetings, and convene them in alternating parts of the region to accommodate different stakeholders. Convene interim work team meetings in particular subregions to focus on subregion-specific issues and concerns.
8. Ensure that the GIS-based decision support tool, or its analog, is fully functional and available in advance of convening the first work session on MPA delineation.
9. Provide stakeholders with a clearer blueprint of the look/feel of the final work product.
10. Streamline the creation of regional objectives to better reflect their actual role in the delineation of MPA packages (we found them to play much less of a role than SAT guidance on MPA size, spacing, and habitat representation). Future regional objectives could conceivably effectively build off of the central coast objectives.
11. Increase support for stakeholder caucusing within and across interest groups (both in meetings and during interim work sessions).
12. Structure meeting agendas to provide greater opportunities for robust dialogue and exchange of information and views between the RSG and the SAT.
13. Clarify early in the process the BRTF's role relative to the RSG's alternative MPA packages and the BRTF charge to select a preferred alternative. Consider bounding the role of the BRTF with regard to MPA package development to reviewing and offering comments on RSG-derived packages, and identifying a preferred alternative without hybridizing or amending RSG packages.
14. Adjust the schedule and process design so that the full RSG is still intact when the BRTF reviews candidate alternatives.
15. Continue to derive lessons learned, and "go to school" on this and later regional processes. Explicitly document process choices, results, and the apparent causes of success or shortcoming, and continue refining the approach.

# FACILITATOR'S REPORT

## I. Introduction

This report reviews our experience as the primary facilitators of the Central Coast Regional Stakeholder Group (CCRSG) under the Marine Life Protection Act (MLPA) Initiative. It covers work conducted with the CCRSG from May 2005 through December 2005, as well as follow up work conducted through the spring of 2006. In this document, we aim to recap the approach we brought to the project as well as the results achieved. We include commentary on the strategies we used and the challenges we faced. We also focus our attention on those topics we believe to be of greatest interest to the designers and implementers of future MPA designation processes. This report is intended very much as a first person narrative; we anticipate that it will be complemented by other reports prepared as part of the MLPA Initiative Lessons Learned Project.

We also want to observe that much of our work as facilitators was closely coordinated with and indeed integral to the broader efforts of the MLPA Initiative-Team (I-Team). See Appendix A for a list of I-Team members. Many of our process choices, once the CCRSG effort got underway, were developed with the I-Team; conversely, CONCUR filled an important strategic planning role for the I-Team in addition to our in-meeting facilitation. Our narrative tries to capture this dynamic. In particular, we worked very closely with MLPA Project Director Michael DeLapa and Executive Director John Kirlin, conferring on almost a daily basis. We conferred almost as frequently with Senior Planner Mary Gleason, DFG MLPA Coordinator John Ugoretz, Strategic Planning Consultant Don Maruska, and Central Coast Outreach Coordinator Kirk Sturm.

This account of events and observations presented here is the responsibility of CONCUR. (Note: We did discuss some of these themes in a "lessons learned" meeting with the full I-Team and in our interview with process evaluators Jonathan Raab and Michael Harty. We have elected to include here selected observations from our I-Team colleagues.)

Three overarching considerations guided our work. First, we stressed that our stance in the project was that of a neutral, nonpartisan. We were not invested in any particular substantive outcome. Rather, we were focused on developing work products consistent with the guidance of the MLPA and the MLPA Master Plan Framework (MPF). Second, we worked hard to be guardians of a process that was viewed as fair, transparent, and accountable. Third, we were committed to working with other members of the I-Team to help the CCRSG to meet the aggressive seven-month timeline stepped out for its work products. We also brought a strong sensibility (and academic background) in marine policy and marine resources management to this work. This enabled us to pay close attention to both the substantive science and policy issues under discussion to ensure that the CCRSG's deliberations were well informed, understandable, and relevant to the policy charge.

## **Organization of This Report**

This report is organized into eight sections:

- I. Introduction (this section)
- II. Preparation – Stakeholder Assessment
- III. Initial Process Design – Structure and Organization
- IV. Early Work Products and Process Decisions
- V. Joint Fact-Finding and Science Advising
- VI. Regional Goals, Objectives and Design Considerations
- VII. Development of MPAs and Alternate MPA Networks
- VIII. Reflections on Overall Results and Outcomes

Also included here are eight appendices:

- A. List of I-Team members
- B. Interview Instrument for Stakeholder Assessment
- C. Stakeholder Assessment Memorandum
- D. Summary of Key Process Choices and Results Achieved
- E. Adopted Ground Rules
- F. Game Plan Documents
- G. Adopted Regional Objectives
- H. Comparison of Key Challenges Faced in the Channel Islands Marine Reserve Working Group and Approach Used in Facilitating the CCRSG

## **II. Preparation – Stakeholder Assessment**

### **A. Approach**

A core element of CONCUR's method of practice is to conduct an upfront assessment of stakeholders before we begin to convene and facilitate a multi-interest group of stakeholders. Stakeholder assessments are built around a series of interviews, ideally conducted in person. They are aimed at exploring the interests parties bring to the table, issues they find salient, concerns about the process, important information about past professional relationships with other stakeholders, and other advice they care to offer. Although CONCUR was brought on board only one month before the first scheduled CCRSG meeting (under contract with Marine Life Protection Act Initiative on May 1, 2005; first meeting on June 8-9, 2005), we recommended that we undertake in-person interviews. Our I-Team colleagues agreed.

We strive to follow a consistent procedure in carrying out stakeholder assessments. We treat the specific comments in the interviews as confidential, and we summarize the results in a synthesis memorandum that sums up our findings but does not attribute quotes to individuals. We work from a preliminary set of interview questions but give ourselves the flexibility to pose follow-up questions, or to address the questions in a slightly different order, to enable a natural flow of conversation. (The list of interview questions used in the CCRSG effort is shown in Appendix B). We then draft a report outlining our key findings, maintaining confidentiality, and share it with the stakeholders.

In bringing this method to the Central Coast project, we were able to implement most of the elements of our approach, although the timeline was a bit more accelerated than we might have preferred. We arranged our time to begin our discussions in the south, beginning in Morro Bay, proceeding to Cambria, and then working our way up the coast to Monterey and Santa Cruz. We also took steps to include Outreach Coordinator Kirk Sturm in the southern interviews, as Kirk had a collegial prior relationship with several of the CCRSG members. This had the additional benefit of giving us a chance to begin building our intra-team relationships. Overall, we found the effort extremely worthwhile and informative.

We interviewed thirty-one primary members of the CCRSG. Twenty of the interviews were conducted in person; the rest were conducted by telephone. We did not interview alternate members. Our interviews ranged from 40 minutes to two hours in length, with most running a bit over an hour. In general, we found CCRSG members to be very willing to talk and appreciative of the in-person introduction, the chance to learn more about the process, and the opportunity to air their potential concerns. We were also struck by the significant number of questions and concerns appointed members had about the CCRSG and its relationship to the MLPA Master Plan Science Advisory Team (SAT) and MLPA Blue Ribbon Task Force (BRTF).

We summarized our findings in an 8-page assessment memorandum (Appendix C). Upon re-reading it, we see that the document was a very valuable guide as we entered the process. Without a doubt, the assessment helped us as facilitators and other

members of the I-Team anticipate and respond to many (though not all) of the challenges that later arose in the CCRSG process. Key examples are described in the section below.

## **B. Key Findings of Stakeholder Assessment**

### **Finding: Participation.**

Several appointees cautioned us to watch for tactics that could slow or derail the process. These could include: a tendency to “wordsmith” obsessively; inclinations to revisit the text of the MLPA or the MPF; tendencies to request more information to cause delay; confrontational, oppositional styles of engagement; entrenched positions; and supporting litigation as a means to block implementation of the results of the Initiative. Respondents urged the facilitation team to exercise strong direction and guidance of meetings to avoid these tactics and instead help the full group to sustain its momentum.

Comment: We took this advice very seriously, as did other members of the I-Team. In particular, we re-directed questions that raised issues about the MLPA itself or the BRTF to be addressed by Executive Director John Kirlin and, in some cases, BRTF Chair Phil Issenberg.

### **Finding: Intended Goals of MLPA and Roles of Respective Participating Groups.**

Many respondents expressed confusion or lack of clarity over the role of the CCRSG relative to the SAT, the BRTF, DFG, and the Fish and Game Commission. Some of these respondents were also concerned about the relationship between the CCRSG and the MPF. Still others were confused about the role and selection of alternates. Nearly all of the respondents requested that the MLPA Initiative staff provide additional role clarification along these lines.

Comment: The questions posed in the interviews helped the I-Team anticipate potentially confusing aspects of the process design as well as occasional “pushback.” Some of the questions of respective roles of the respective groups raised in these findings remained salient throughout the CCRSG process. Although the role of the SAT became clearer as members presented briefings and evaluated draft packages, the ultimate role of the BRTF did not come into clear focus until early 2006.

### **Finding: Schedule and timeline.**

Nearly all respondents noted that the timeline was ambitious. Many expressed the concern that the CCRSG would not have enough time to complete its stated goals. Several of these same participants, however, also acknowledged that the compressed time frame might also be an asset by serving to focus people's attention. Others expressed the view that the aggressive timeline may be just what the process needs. Some of these respondents recommended developing a clear work plan with steps and milestones well laid out and revisiting this work plan periodically.

Comment: At the first CCRSG meeting, we did present a work plan with detailed milestones. The question of the aggressive timeline came up as one of the concerns and periodically throughout the process. In the end, the pacing was at times an asset and at other times a hindrance.

### III. Initial Process Design – Structure and Organization

#### A. Background

“Process design” refers to establishing: the structure, format, and sequence of meetings in a collaborative effort; the extent of fact-finding; the respective roles of policy-level decision makers, stakeholders, advisors, scientists and technical experts; and the broad outlines of the work products the actors in a collaborative process are asked to generate.

Usually, when CONCUR enters a collaborative process as a facilitator or mediator, we have a substantial role in the design of the process, based in part on a critical up-front stakeholder assessment step. In the Central Coast Project, the assessment was vital in helping establish relationships with stakeholders, anticipate issues, and plan strategically, but it was not so central in overall process design.

In this instance, substantial amounts of the process had already been designed. Certain elements of the process design were specified in the enabling legislation, the MLPA. Other elements of the “project design architecture” were further established by the memorandum of understanding (MOU) or the MPF. These were supplemented as well by decisions made by senior I-Team leadership, the BRTF, and managerial staff of DFG before CONCUR came on board.

Among the key process decisions made prior to CONCUR’s involvement in the project were:

1. CCRSG recruitment, composition, and group size.
2. The charge that the CCRSG produce a suite of alternative MPA packages rather than a single consensus MPA proposal.
3. The CCRSG is not the final decision-making body. The CCRSG (along with the SAT) is serving in an advisory capacity to the BRTF, which is, in turn, serving in an advisory capacity to CDFG and the Commission. The Commission is the ultimate decision-maker.
4. The MLPA calls for the use of the “best readily available science” in designing and managing MPAs (recognizing that the MLPA has a timeline, and awaiting additional research results is not a practical option).
5. The CCRSG meetings would be structured to include a combination of plenary and north/south breakout meetings.

We agreed, upon being retained by the executive director of the MLPA Initiative, that we would have the opportunity for frequent strategic planning discussions to take stock of process steps and make recommendations for revisions. In fact, this review and taking stock activity was exceptionally inclusive (of I-Team members) and robust in the Central Coast Project.

## **B. Process Structure and Organization**

### **1. Convening Organizations**

Most collaborative processes on complex public policy issues are initiated by a convening organization. Such a convenor calls parties together, articulates the charge, provides resources, and often receives the work product or transmits it on to a decision-making agency. Sometimes, the convening organization is a single public agency. In other cases, it is a consortium of key agencies and interest groups. In still other cases, it is a consortium of agency staff and private contractors. In the MLPA Initiative, CDFG staff, together with MLPA Initiative staff (collectively known as the “I-Team”), constituted the “convening organization” for the purposes of the CCRSG.

### **2. I-Team Operation**

From our perspective, the project conveners assembled an exceptional group of MLPA Initiative staff members (the I-Team) to support the Central Coast Project. Composed of approximately 15 members, the I-Team was characterized by robust policy, technical, process, and administrative expertise, outstanding commitment to the objectives of the initiative, and a “can do” attitude. The I-Team operated in a highly integrated fashion, manifested by weekly strategic planning teleconferences, monthly CCRSG preparatory meetings, a dynamic document review process which included all I-Team members, and the use of a list server in which all I-Team members were copied on most transmittals. For I-Team members, there was an almost constant need to process information, weigh the relative importance of particular pieces of information, and choose whether or not to engage.

We found that the quality and responsiveness of I-Team work played a major role in the success of the CCRSG process.

### **3. CCRSG Recruitment, Composition and Group Size**

The CCRSG included 32 primary members and 24 alternates. Members were recruited using an application process managed by the CDFG and MLPA Initiative staff. I-Team staff described the size of the CCRSG as a balance between robust stakeholder representation and process manageability.

Given the timing of our engagement by the initiative, CONCUR did not participate in either the establishment of the application or the applicant review and appointment process.

DFG staff and key members of the I-Team reviewed the CCRSG applications. Key considerations in the recruitment process included recruiting individuals knowledgeable about specific regional areas and who were viewed as capable representatives of commercial and recreational fishing communities,

conservation organizations, divers, ocean-related recreational businesses, governmental agencies, or research/education institutions. An overarching goal was to achieve diversity with respect to perspectives, expertise, interests, geographic distribution, and experience with past MLPA processes. Another goal was to achieve balanced representation among consumptive and non-consumptive resource users. Additional selection criteria included availability, ability to work collaboratively with other stakeholders, and access to a broad communications network.

One challenge faced was whether to specifically recruit for people with broad familiarity in the region, or alternatively, to seat representatives whose main concern is a very localized fishing spot or dive site.<sup>1</sup>

Appointments were made jointly by the director of the CDFG and the chair of the BRTF. This appointment method strikes us as appropriate; it signals the seriousness of the process and importance of the task.

Many alternates regularly participated in the CCRSG meetings, as did several SAT members, the full I-Team, and a BRTF representative. As such, we were effectively facilitating a plenary group of about 60-70 people. Even with the plenary deliberations focused on the primary, this runs to the high-end of the size of stakeholder groups we have facilitated.

Upon reflection, we see a number of alternate choices that might have been made in convening the stakeholder group. Often, we find that there is a tradeoff between detailed local knowledge and the need to provide advice across a broader region. Accordingly, one choice would have been to give more weight to the ability to bring knowledge of the broad region, and to de-emphasize concern about a single localized area. Another choice would have been to recruit members of local communities who were not closely aligned with a specific fishing or conservation interest. Additionally, the I-Team could have asked for a more overt commitment to take the needs of other stakeholders and the greater region into account.

#### **4. Configuring the CCRSG: A Unified CCRSG or Split North/South Groups?**

One aspect of the process design that was a bit up in the air as we began the CCRSG process was the prospect of alternating and/or splitting meetings between northern and southern portions of the study areas. One early concept had been to essentially convene two replicates of each meeting, with the same core presentations, but then move toward detailed discussions of resource values and user needs in the respective north/south “subregions”. (Note: this was an early use of the term “subregion”; later we used “subregion” to mean one

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<sup>1</sup> The I-Team heard pervasive concerns from the Pacific Grove-based Tide Pool Coalition—which applied to be a member of the CCRSG and was not selected—that not enough local representatives were included.

of seven geographic areas configured to display mapped information; see comment below). One driver for this arrangement was to tap and take advantage of local knowledge. A second was to keep the number of CCRSG members attending the meetings reasonably small. A third motivation was to help bring the dialogue to the local community that would benefit from and be impacted by MPAs, while a fourth was to reduce travel time for CCRSG members. As CCRSG members were being recruited, they were apparently told that this model would be used.

When CONCUR was brought on board, we believed the impetus for subregional meetings to be important, but initially recommended that this concept be reconsidered. We had three main factors in mind: (1) the charge was to create a package of MPAs for an entire study region, not two halves of a study region; (2) building MPA packages inherently requires tradeoffs, which are best made over the entire study area; and (3) some CCRSG members (especially those from the Monterey Bay National Marine Sanctuary and broad-scale environmental groups) would almost certainly want to attend both meetings, and so could be perceived to be stacking the deck a bit. We also noted that our experience with other large-scale natural resource issues (e.g. defining methods for water conservation in California agriculture) typically pull people from many diverse geographic regions.

Based on this discussion, the I-Team developed a hybrid concept. We began the CCRSG process with the understanding that we would initiate the effort in full plenary, meeting alternately in the northern and southern parts of the region. Then, by about the 3<sup>rd</sup> meeting the process would shift to a structure with alternating north and south meetings, each composed of about half of the CCRSG, to focus on subregion-specific issues. The group would then reconvene in plenary for its final two or so meetings to discuss MPA packages. It soon became apparent to I-Team members that the benefits of meeting in plenary outweighed the benefits of splitting the CCRSG into north/south groupings. We settled on a final meeting structure consisting of seven plenary meetings that alternated between northern and southern venues. We supplemented this by convening interim work team meetings either in the northern or southern parts of the region to address subregion-specific issues related to the development of regional goals and objectives, individual MPAs, and MPA packages.

**Comment on the Coining and Consistent Use of Nomenclature: “Subregional Approach”**

We used the term “subregional” in two ways in the CCRSG process. In one usage, it referred to two halves of our study region: the “South” centered around Morro Bay and the “North” centered around Monterey. The second usage referred to slicing the study region into seven approximately equal portions to facilitate consistent display of mapped information.

(comment continued)

There was substantial discussion among the I-Team regarding the merits of using the subregional mapping approach to display information. Some felt that the subregion is a manageable scale for maps. Our senior environmental planner noted: “Subregions were simply more manageable on a map and for discussion. It was never considered necessary to have MPAs in each one.” Others expressed the concern that the subregional approach may have artificially driven the SAT analysis. Still others commented that the multiple use of the term subregional was confusing to stakeholders. One noted: “Stakeholders might have wondered how they relate to the north and south subregions or bioregions.”

## 5. Meeting Frequency

In our experience facilitating multistakeholder processes on complex issues, we find that scheduling plenary meetings on about a monthly basis offers several advantages. It enables stakeholders to remain focused, it provides predictability, and it still allows a reasonable amount of time for interim work by stakeholder work teams and technical staff.

In the CCRSG process, the stakeholder group met on a monthly basis. The interim periods were typically characterized by work team meetings and significant document preparation.

Given the overall timeline of the Central Coast Project, we found the monthly intervals to be appropriate. It is fairly obvious that convening more frequent meetings would have been infeasible from a logistics and staff energy standpoint. As it was, planning for and meeting monthly intervals became a kind of sprint.

For CCRSG members, as was the case for I-Team members, there was an almost constant need to process information and to assess whether and how best to engage in any particular issue or task.

If we were designing a new process from scratch, we might suggest a slightly longer interval between meetings—perhaps six weeks. This would allow for more interim analytical work; it would also allow for a more relaxed pace for interim work team meetings and caucuses.

**Comment on the Effort Invested by CCRSG Members:**

Overall, the effort invested by CCRSG members was very substantial. It included a minimum of two full days per month, and very likely much more to review materials or confer with colleagues.

Over the course of the seven meeting sequence, we saw a wide variation in the effort invested by individual CCRSG members. Some appeared to be working close to full time on the effort. Some of these were being compensated by their organizations, while others were not. We estimate that all told, the CCRSG collectively invested hundreds of hours of un-compensated volunteer time. We note that dedicated and tech-minded individuals like this might not be always available, especially from the fishing community.

We also note that this project used an approach typical of public policy collaborative processes. That is, stakeholder participants were compensated by the MLPA Initiative for their travel and expenses but not for their time.

## **IV. Early Work Products and Process Decisions**

Our work with the CCRSG was characterized by numerous process decisions. Some of these were made in advance of the meetings, in regularly scheduled I-Team strategic planning discussions. Others were made during the CCRSG meetings, many in real time. Appendix D contains a summary of many of these process decisions. The sections below focus on several of these in particular: establishing ground rules, articulating policy “side boards” to guide the CCRSG discussion, and sequencing key work products. We also explore below the potential value of building in training in negotiation and mutual gains bargaining.

### **A. Ground Rules: Establishment, Adoption, and Enforcement**

CONCUR’s approach to facilitation of multi-stakeholder processes rests on setting and enforcing ground rules. We approach the ground rules as a key foundational piece of work. In our view, ground rules establish a set of expectations and commitments that stakeholders make to each other in a collaborative process.

We used our experience in 40 other major multi-stakeholder efforts, advice received from I-Team staff, and suggestions put forward by our CCRSG members in the up-front interviews to craft draft ground rules. As part of the assessment interviews, we explicitly asked what ground rules CCRSG members would recommend. CCRSG members suggested about a dozen ideas in all, many of which were focused on two topics in particular: media contact, and decision rules.

#### **1. Key Elements of the Ground Rules**

Key ground rules involved the following topics:

##### **a. Representation.**

We proposed a ground rule stating that CCRSG members will commit to keeping their constituents informed and reporting back relevant feedback to the CCRSG.

##### **b. Participation.**

We proposed a ground rule stating that CCRSG discussions will focus on primary members at the CCRSG meetings. Facilitators may call on alternates at their discretion. Alternates can participate in work teams, but primary consideration is given to primary members.

##### **c. Cooperation with SAT.**

We proposed a ground rule stating that CCRSG members will work cooperatively with the SAT in the development of options and work products.

##### **d. Media contact.**

The media ground rule was interesting and challenging in several respects.

About half of the stakeholder assessment respondents commented on the need for a ground rule governing media contact. Several offered caution, describing accounts of past collaborative processes that had run into difficulties when participants began misrepresenting the process or each other's interests in the press.

Building on the assessment results, our overarching goal in crafting a media ground rule was to avoid two common pitfalls that can accompany media contact: (1) negotiating through the press; (2) broadcasting very tentative proposals before stakeholders have sufficient time to deliberate and consider these draft policy options. We considered a couple of options that varied in "stringency" relative to contact with the media. One option was to ask stakeholders to refrain from speaking to the media about the CCRSG process until the work was completed. A second option was to acknowledge that contact with media may be a part of the routine process of briefing constituents and ask CCRSG members to avoid prejudging final decisions or characterizing the interests or positions of others.

Drawing on the most common recommendation from the stakeholder interviews, we decided, as an I-Team, to propose the more stringent version. We anticipated, however, that we might get pushback on the original ground rule and perhaps find it impossible to enforce. This is indeed what happened, but we were also prepared to drop back to a more moderate ground rule.

The revised media ground rule stated:

- "In general, media contact regarding the project will be handled by MLPA staff.
- CCRSG members recognize the need to maintain a balance between providing timely information to constituents and making statements to the media that could undermine the success of the MLPA process. Appropriate topics for CCRSG members to address in speaking to the media include their own group's interests or where the CCRSG is in the MLPA process. CCRSG members agree to avoid: a) making statements to constituents or the media that may prejudice the project's outcome, b) speaking on behalf of another group's point of view or characterizing their motives, or c) stating positions on preliminary proposals while they are still in development or refinement by the CCRSG.
- CCRSG members are encouraged to refer requests for additional contacts to MLPA staff or the CCRSG contact list. If needed, the CCRSG may convene a multi-interest media subcommittee to work with MLPA staff to develop briefings for the media.
- In briefing constituents, CCRSG members are encouraged to rely primarily on the Key Outcomes Memoranda produced for the meetings."

The CCRSG adopted the revised ground rule.

**e. Decision rule.**

Another challenging ground rule dealt with the decision rule for adopting or otherwise concluding work on key CCRSG work products. Based on the advice of I-Team colleagues, the charge to produce multiple packages, and the oft-repeated guidance from our stakeholder interviews, we opted NOT to propose a definition of consensus that required *unanimity* of all CCRSG members. At the same time, it was apparent that a simple majoritarian decision rule would not be appropriate. Stakeholders noted here that a decision rule emphasizing “consensus seeking” could help address concerns about a lack of exact numerical parity among interest groups.

To help frame these choices, we reminded the CCRSG of their advice-giving role (reminding them that the Commission has the final decision making role). The ground rule on CCRSG decision rules states:

“In their advice-giving role, CCRSG members will strive to reach a high level of consensus in developing and advancing alternative proposals for MPAs. However, it is not the intent here to accord CCRSG members a de facto veto on substantive issues, but rather strive for an expression of proposals that earn broad support across CCRSG members’ interests. The objection of a few CCRSG members will not be grounds to impede movement.”

For two key work products—the ground rules and regional goals and objectives—we did strive for and achieve unanimity.

To track progress toward building broad-based agreement, we used straw votes. We also contemplated, early on, that we would use straw votes to test the sense of the group and to make interim process decisions.

That adopted text states:

“CCRSG members recognize the need to make simple process agreements to move the effort forward. CCRSG facilitators will use straw votes to track progress and help the group move forward in an efficient fashion.”

**f. Multi-interest Work Teams.**

CONCUR’s model of practice typically includes specific steps to foster cross-interest group work in both plenary sessions and smaller work groups.

Although not contemplated specifically in either the MPF or the communications that preceded appointment of the stakeholder group members, we chose to make the expectation for cross-interest work groups explicit. The ground rules state:

“DFG and MLPA Initiative staff expect that cross-interest work teams will be an essential way to develop constructive, integrative work products between and during CCRSG meetings. The aim of such work teams is to encourage multi-interest options and work products rather than work products put forward by a single bloc or interest group.”

Clearly, stating an expectation in a ground rule can have a beneficial effect.

Over the course of the CCRSG process, we convened over a half-dozen work team meetings. Some took place by teleconference, while others were in person. In-person meetings were convened in Monterey, for the northern stakeholders, or Morro Bay, for the southern stakeholders. Examples of work team tasks included producing recommendations for regional goals and objectives, and clarifying and narrowing the range of candidate MPAs.

We found the work team meetings to be valuable in several ways. First, they were important opportunities for stakeholders to clarify interests and brainstorm ideas. Second, we used them to advance work in between plenary meetings. For instance, we convened a work team to develop recommendations for eleven draft regional objectives that the CCRSG was not able to address during its August meeting. The work team produced broadly-supported recommendations for nine of these objectives plus multiple options for the last two. Third, the work team meetings provided key opportunities for stakeholders to share emerging questions and concerns with the ongoing process. The work team meetings stimulated a number of critical process modifications and innovations, including the conceptualization of “design considerations” and “implementation considerations” to accompany the regional goals and objectives, and the development of a “To Be Determined (TBD) Bin” to address outstanding issues of concern (e.g., water quality, marine mammals, safety).

Work teams were less successful, though, in creating integrated proposals to address “hot spot” issues. It had been our aspiration to use small work teams composed of key interested stakeholders to address user conflicts in high use areas. We found that getting work team members to converge around a single preferred option in these cases was quite difficult. The work teams were more comfortable producing a range of options to be considered by the full CCRSG.

## **2. Adoption of Ground rules at the First CCRSG Meeting**

Based in part on advice from I-Team staff, and also based our experience in other similar projects, we viewed adoption of ground rules at the first CCRSG meeting as an absolutely essential step in running an effective CCRSG. It generated momentum for the Initiative. It also demonstrated our seriousness and skill as facilitators in guiding the (relatively large) CCRSG in the project.

The process we used to secure adoption of ground rules included introducing the expectation of the ground rules as a June meeting work product, introducing the purpose of ground rules as an essential first commitment the parties could make to the process and each other, and reviewing some of their most salient findings of the stakeholder interviews relative to ground rules. Then, we took questions and provided an interval of time for CCRSG members to propose revisions to the ground rules. We chose not to get into a word-by-word text review in plenary. Rather, we took the comments offline and worked with our I-Team colleagues to revise the text to respond to CCRSG comments. Then, on Day Two, we brought back the revised ground rules, walked through the revisions, and then asked for a show of hands for adoption. All CCRSG members raised their hands, signaling assent, marking the first agreement of the Central Coast Project. The Adopted Ground Rules are attached as Appendix E.

### 3. Enforcement of Ground Rules

We saw enforcement of ground rules as an essential step in upholding the seriousness of the process. We were very mindful of the need to deal with ground rule infractions and problems. We also recognized that not all of them could be dealt with in real time at the meetings. Often issues would be resolved offline.

CONCUR was the “front line” enforcement voice in plenary meetings of the CCRSG. Particularly after the somewhat difficult 2<sup>nd</sup> and 3<sup>rd</sup> meetings of the CCRSG process, we enlisted John Kirilin in specific offline outreach to CCRSG members who had “crossed the line.” Informal conversations with stakeholders also turned out to be an effective way in which MLPA staff let them know that the ground rules were to be taken seriously.

#### **Case Example—Enforcement of Media Contact Ground Rule**

Shortly, after the June 2005 meeting, a sportsman’s organization, the Western Outdoor News, characterized our media ground rule as a “gag order” in one of their newsletters. The author was reporting, based on the webcast, the text of the draft ground rule—one that was not in fact adopted by the CCRSG.

To set the record straight, we convened a multi-interest media work team to develop a clarifying response. Part of the reason we went to this effort was to demonstrate that the I-Team and the project put great weight on accurate reporting. We also wanted to reinforce our serious commitment to the ground rules as a whole.

## **B. Articulating Policy “Side Boards” to Guide the CCRSG Discussion**

It was evident from our initial interviews that many CCRSG members had questions about the relationship between the MLPA Initiative and other ongoing developments in fisheries regulation and marine policy. Some members of the CCRSG, in the early meetings, seemed inclined to debate or re-interpret the MLPA, the MPF, the rockfish closure, or other recent expressions of DFG policy.

At some level, this concern was understandable and arguably justified. MPA designation for the whole central coast is, after all, a big topic. Absent another forum for deliberation, it is not surprising that the CCRSG would be the focus for such discussion.

From the I-Team’s standpoint, though, extensive discussion and second guessing of the MPF and was at least counterproductive and at worst a stalling tactic incompatible with our aggressive timeline.

The I-Team scheduled time early in the process to establish sideboards regarding the CCRSG’s role relative to the MLPA. When additional questions continued to arise regarding the CCRSG’s relationship to other policies and regulations, it became apparent that a more deliberate and authoritative approach was needed. The I-Team developed the strategy of preparing memoranda that set forth statements of existing policy. In some cases, these were drafted by policy analysts on the I-Team; in other cases, they were drafted by senior attorneys in the CDFG.

The basic point here is that, from the beginning, we recognized and deployed the capability of accurately interpreting, reporting, and using policy guidance to help shape the deliberations and propel them towards a conclusion.

## **C. Sequence of Key Work Products**

As noted above, some of the most important process decisions were in regard to the question of the sequence of work products. At the first CCRSG meeting in June 2005, the I-Team clearly articulated the sequence of CCRSG work products:

- Regional goals and objectives
- Regional profile (for the study region)
- Profile of existing MPAs (including a gap analysis)
- MPAs (including goals/objectives of individual MPAs)
- Alternative MPA packages

The I-Team also described supplemental tasks, which would be more staff or consultant driven. These included:

- Analysis of socioeconomic impacts
- Monitoring and evaluation plan
- Enforcement plan
- Adaptive management strategy

#### **D. Potential Value of Building in Training in Negotiation and Mutual Gains Bargaining**

The task of building packages of potential MPAs is at some point a negotiation-based process, requiring offering proposals, give and take, making tradeoffs, and reaching small agreements. It was evident that CCRSG members brought a range of experience and personal style to their deliberations. In our view, there is an important negotiation-based component to this work that would benefit greatly from some shared understandings in mutual gains bargaining, the difference between interests and positions, distinctions between zero sum and integrative bargaining, making tradeoffs, ranking preferences, and caucusing with colleagues.

When CONCUR entered the process, it was clear to us that we were already on a very accelerated schedule, and there was no readily obvious block of time that might have been allocated to training in negotiation.

Absent a shared set of understandings to use mutual gains bargaining, and given the stakes involved and the array of cautions we had heard, it was not surprising that some CCRSG members resorted to very positional behavior. In particular, it was not surprising to us as facilitators to see the CCRSG members treat very small word choices as “battles” to be won or lost rather than as opportunities to seek and find common ground.

Some negotiators overtly brought an almost struggle-based conception of negotiation to the CCRSG deliberations, which put great weight on numerical parity between consumptive and non-consumptive representatives and approaching the straw votes as “battles.” In our view, this was highly counterproductive and should be avoided in future study regions by framing the work to be done as an opportunity for mutual gains bargaining.

It is also possible, as one of our I-Team colleagues has suggested, that formal negotiation training might have generated substantial push back. We nevertheless think that a more explicit effort to explain and reinforce mutual gains bargaining, right from the beginning of the recruitment process, would have been beneficial. While the concepts of principled negotiation and mutual gains bargaining may seem abstract at first, framing the incentives to come closer to agreement after the handoff to a BRTF policy level group would be an important component to build into future study regions.

## **V. JOINT FACT-FINDING AND SCIENCE ADVISING**

The Central Coast Project was an intrinsically science-intensive enterprise. Each one of the core tasks -- identifying critical resources to be protected, delineating potential MPAs, taking stock of socioeconomic impacts, evaluating consistency with the MLPA and MPF, and the crafting of a coherent recommendation for packages of MPAs -- all call out for extensive amounts of “best readily available” information, made available in a timely way. This must be complemented with a strong effort to clearly convey and translate information into readily understandable forms and to be as transparent as possible about the key working assumptions and analytical methodologies used.

In many marine resource issues, there is a pervasive tendency for parties with different interests to bring “their” information to bear, often falling into a pattern we might call “advocacy science” or “adversary science.” It is not uncommon for one group of interests to recruit experts to support their position and perhaps attack the logic or methods of experts aligned with other interests.

An alternative formulation is the approach known as “joint fact-finding,” which rests fundamentally on a commitment to share and pool information, and make it readily accessible to participating stakeholders. A core concept in joint fact-finding is to foster a direct dialogue between scientists and other key stakeholders on scientific matters in question, to elevate the shared understanding of a problem, and to inform development of wise public policy. Other core elements of joint fact-finding including working with parties to frame the expertise needed to support policy discussions, framing questions for deliberation, receiving briefings on the results, ensuring clear “translation” of findings into a form understandable to lay people, and jointly discussing policy implications with scientific experts.

We bring a frame of joint fact-finding to our work as facilitators and find this frame useful to summarize and comment on the CCRSG process. In our view, the Central Coast project had many attributes of a joint fact-finding process. There were also a few junctures where adversary science cropped up. At the same time, there are some elements—such as crafting a clear and detailed Terms of Reference—that might have been given more attention.

This section of the report discusses important jointly-created work products, the recruitment and composition of the SAT, and the relationship between the SAT and the CCRSG. We also comment on the use of decision support tools and offer other comments on the integration of science advising in public policy.

### **A. Key Joint Fact-Finding Analyses**

Joint fact-finding efforts in the Central Coast Project took a variety of forms. Key products of joint fact-finding efforts included the following:

## 1. Regional Profile

From a stakeholder process standpoint, completion of the Regional Profile made several important contributions to the overall Central Coast project. First, assembling the Regional Profile was a task that oriented CCRSG members to the technical aspects of the issues involved. Second, it presented an opportunity (but not one fully used) to tap local knowledge. In this respect, it probably fell short. Third, it reinforced the concept of using best readily available information, and it modeled the development of credible work products on a very timely basis.

While these are also virtues in the spirit of joint fact-finding, we suggest that it would be worth looking for ways to front load aspects of the Regional Profile preparation. For example, a first cut draft could be prepared in advance of the next RSG's first meeting and distributed with the strong message that it is only a first cut and needs substantial review by stakeholders before it is ready for to be used as a foundational tool.

### **Comment on Opportunity for Co-Developing Information**

From our perspective, the CCRSG process would have benefited from additional opportunities for stakeholders to participate actively in joint fact-finding through the co-development of information. The Regional Profile is an example of a work product that might have benefited from more thorough stakeholder engagement.

As it was, the Regional Profile was primarily an I-Team-prepared synthesis. It certainly benefited from CCRSG review of draft versions, but the extent of stakeholder contributions was fairly limited. Stakeholders would like to have descriptive information on the study region presented and discussed, even though this information is also in the Regional Profile. We needed more of a group "fact-finding" effort during stakeholder meetings, rather than just soliciting comments on the Profile. Once the Profile was completed, we did not get the sense that it was read or used extensively.

The I-Team's Senior Planner (Mary Gleason) suggested that another pathway for co-developing information might have been to conduct a subregional "virtual" tour of study area-- spending time looking at and getting input on the GIS data more systematically as a plenary or breakout group effort during a stakeholder meeting. Such an effort would be educational for stakeholders and a good way to get additional qualitative information mapped. Of course, such a step requires considerable time and data resources.

(comment continued)

For the Regional Profile and other analytical building blocks of regional projects, there need to be good sideboards (about purpose and content) and a sound explanation for why we are completing each item. Future Regional Profiles would be an opportunity to introduce the subregional scale, which would then be used later in delineation of MPAs and packages.

Our view is that there is both strong educational value and building of legitimacy that occurs as stakeholders co-invent the synthesis of the best readily available information.

## **2. Socioeconomic Analysis Function: Ecotrust Analysis**

The Central Coast project included an early commitment to evaluate the potential socioeconomic impact of MPAs and to give this information considerable weight as candidate packages of MPAs were being formulated.

One aspect of this analysis was a methodology carried out by the organization Ecotrust, which has considerable experience in forecasting possible socioeconomic impacts of potential fishery regulation. The intent of the analysis was to directly engage Central Coast commercial fishermen in identifying areas of greatest value, to aggregate this data in a fashion that would protect confidentiality, and to provide a synthesis in mapped format in time and at a scale useful to inform the delineation of candidate MPAs. A core element of the methodology was to give fishermen themselves the opportunities to identify the most important fishing grounds. In this, it was reasoned, MPAs could be configured to avoid the most valuable fishing grounds. The intent was for the Ecotrust analysis to become available in advance of, or at least concurrent with, the effort to map candidate MPAs.

Based on reports and comments we heard from CCRSG members, it appears that the Ecotrust analysis faced several challenges in its design or execution, which may have undermined its perceived credibility and utility in the Central Coast process. (Here, we stress that our comments are from the vantage point of deliberative process; we are not making observations or critiques on the methodology.) We heard at the first meeting in June 2005 that even the name “Ecotrust” was suspect in the eyes of some fishermen. The seating of an Ecotrust senior staff as a member on the SAT also raised concerns about potential “conflict of interest”, or at least role confusion.

Results from the Ecotrust interviews and analyses were not available to the CCRSG until the November meeting. Because of confidentiality concerns, only aggregated analyses were made available. All of these challenges undermined what could have been a very promising and innovative method, and in the end the Ecotrust data was only marginally accepted and had only limited use in the

process during CCRSG meetings. The Ecotrust analyses of maximum potential impacts on commercial fisheries were presented to the BRTF in evaluations of proposed packages of MPAs. The data are also being used by another contractor in the analyses of potential economic impacts of packages for the CEQA analyses.

### **3. Use of the Marine Protected Areas Decision Support Tool**

The Marine Protected Areas Decision Support Tool (MPA-DST) was developed by IM Systems Group, Inc. in collaboration with MLPA Initiative staff, National MPA Center staff, MBNMS staff, and Marine Science Institute / UCSB staff. With this web-based decision support tool, users can view all (non-confidential) data layers, draw candidate MPA boundaries, assemble groups of candidate MPAs into packages, analyze data layers underlying candidate MPAs, and create reports on the amount of habitat or other features captured in candidate MPAs based on these analyses. Candidate MPAs could be “published” and shared with group members or kept private. The data layers in this tool included all of the habitat layers (hard and soft bottom by depth zone, canyons, kelp, eelgrass, estuaries, shoreline types, etc.), biodiversity hotspots for fish and seabirds, existing MPAs and fishery closure areas, and selected socioeconomic information.

The intent of the MPA-DST was to make available to CCRSG members a tool that could use to delineate a candidate MPA relative to known coordinates expressed in latitude and longitude and to quantify the extent of resources protected in that MPA and the proportion of habitat type protected. Each CCRSG member was provided with his/her own individual account. The I-Team developed both a tutorial and provided multiple GIS staff at CCRSG meetings so that CCRSG members could become conversant or facile with the tool.

The MPA-DST was still under development during the CCRSG process, and its operation generally proved to be too slow to use in a fast-paced work group setting during stakeholder meetings. It typically required about five minutes to identify, delineate, and save a candidate MPA, but this was significantly slower than the conversation used to specify each one. So, there was a fair amount of “waiting around for the tool to work.” However, at least a dozen stakeholders, and especially the package leads, used the tool extensively on their own time to generate the candidate MPA packages. The tool has since been refined to be much faster and should be more useful in a group setting in the next study region.

In addition to the decision support tool, stakeholders could interact with all of the same data layers on an Internet Mapping Service (IMS) site hosted at UCSB ([www.marinemap.org/mlpa](http://www.marinemap.org/mlpa)) that did not require as much technical expertise. The IMS site allowed users to access, view, query, and print maps of data layers using their internet browsers but did not have the functionality of the MPA-DST.

While the MPA-DST tool and the GIS staff support on this project were very good, our observation is that still better tools for viewing and analyzing the data, made available earlier in the process, might have aided the development of packages and the search for convergence. As well, such GIS-based tools require robust staffing. It remains to be seen whether more stakeholders will utilize these tool if it were made available earlier in the MPA delineation process.

## **B. Role of the SAT**

While CONCUR was not directly involved in structuring, recruiting, or managing the SAT, we do have several observations and reflections on their work from our vantage point as CCRSG facilitators.

Given the science-intensive nature of the project, we see the role of the SAT as essential and ideally integral to the work of the CCRSG. We noted that much of the flow of fact-finding and scientific advice in this process was framed as the SAT giving advice to the CCRSG. This was true as the SAT offered briefings, reviewed the Regional Profile, developed a list of species likely to benefit from MPAs, and reviewed draft and revised versions of the candidate MPA packages.

In our view, the relationship between the SAT and the CCRSG evolved over the course of the seven-meeting CCRSG process, and it was shaped both by the method of engagement of individual SAT members, their briefings, their responses to questions, and their analysis of candidate MPA packages. The relationship continued to evolve through the ensuing BRTF meetings in early 2006.

In our initial stakeholder interviews, we posted specific questions to the CCRSG members about their perception of the SAT. As this excerpt from our Stakeholder Assessment shows, two different concerns were expressed at the outset:

- First, several participants questioned whether input from science advisors was being so constrained as to limit the meaningful contributions of scientific information to the MLPA process. One suggested, "Maybe there's been an over-adjustment from the push back that DFG got when it rolled out draft maps in Round 1 of the MLPA process". Many participants also expressed confusion as to the role of the SAT Sub-Team supporting the CCRSG effort. Many of the respondents supported the strategy of convening work teams composed of a mix of CCRSG and SAT members as a way of bolstering direct interaction among the stakeholders and science advisors.
- Second, many respondents (including a majority of the fishing representatives interviewed) expressed concerns that, on the whole, the SAT is not yet perceived as sufficiently objective. Among the concerns expressed were that some members of the SAT are overly inclined to view MPAs favorably as a central management tool (for reasons of professional advancement or an inclination towards environmental advocacy). Others observed that MPA "skeptics" and those with a strong grasp of socio-economic issues are underrepresented on the

SAT. A few of these respondents suggested that lack of stipends may be a factor contributing to a potentially skewed distribution of SAT participation. Some recommended making funds available to support the participation of other scientists, perhaps in a peer review role. Several of the respondents cautioned, however, that the CCRSG process avoid becoming a battleground between opposing scientists. To address this concern, several respondents recommended inviting presentations from scientists who have different perspectives from current SAT members.

Both sets of concerns arose again in the CCRSG deliberations, and we took steps to address both of them. With respect to the level of involvement of the SAT, we sent a signal of their active engagement by specifically seating 2-4 SAT members at the table at every CCRSG meeting. SAT members also contributed actively in several ways during the plenary CCRSG meetings. They provided updates on the status of SAT work products (such as the list of species of concern), they offered comments on the SAT perspective during the deliberations on regional goals and objectives, they developed and refined a methodology to help evaluate packages relative to the MLPA and Master Plan Framework, and they commented on the strengths and weaknesses of packages at several junctures.

SAT members also interacted actively with the CCRSG by providing concise briefings on their respective research specialties, and showing how this research informs the design of MPAs. In general, these presentations were informative and well received. At our August 2005 meeting, we ran late with our deliberations on goals and objectives and pushed the presentations into the dinner hour. This was not effective, as our CCRSG members were fatigued from the day's meeting. We found daytime presentations to be more effective.

The I-Team also took several steps to build the credibility of the SAT. The I-Team extended (and in some cases re-extended) invitations to scientists viewed positively by fishing interests to participate more actively in the project, either as SAT members or supplementary reviewers. None of these individuals joined the process in a formal capacity. Instead, several provided support to fishing community representatives as they developed candidate MPA packages. Additionally, we convened meetings between SAT members and stakeholders to review draft packages. This dialogue was direct and transparent, and it was greatly appreciated by CCRSG members.

Perhaps the most intensive dialogue between the CCRSG members (mainly package leads) and the SAT occurred after the full CCRSG concluded its work in December 2005. In particular, the I-Team created opportunities for the SAT to work directly with package proponents in December 2005 and January 2006 as packages were being refined. Additionally, at both the January and March BRTF meetings, there was a brief dialogue between the SAT evaluation team and the package proponents. From our facilitator perspective, it seemed that four SAT members--Mary Yoklavich, Mark Carr, Rick Starr, and Steve Gaines--carried the bulk of the evaluative work. Through their availability, style of engagement, and hard work, these main four individuals appeared to earn "capital" with the CCRSG and the fishing communities. They were very

approachable; they were not accused of advocating. They attracted relatively little criticism and responded in professional and even-handed manner to questions about their methods or analysis, and other criticisms that arose.

In hindsight, it is possible to envision that we could have designed agenda items to create an opportunity for a more robust dialogue between the SAT and CCRSG. We may want to look at this closely for future study regions. Additionally, as our I-Team colleagues have remarked, there has been a considerable investment in data gathering and synthesis in the Central Coast project that could leverage future MLPA Initiative efforts. While additional education will need to happen for BRTF and CCRSG in next process, a significant body of scientific information has been generated. The next step is to lock it in, review it, and see how it can be used in next process.

### **Comment on the Recruitment, Charge and Composition of the SAT**

As we reflect on the Central Coast project along with other similar efforts, we suggest that more careful attention might have been given to specifying the recruitment of and charge to the SAT.

We often use the tool of a “Terms of Reference” (TOR) document to spell out selection criteria, the breadth and depth of needed expertise, the method of recruitment, and expectation of neutrality. Typically, a TOR also elaborates on the specific questions or the broad themes that will be addressed.

A TOR document can be a complement to a set of ground rules in that it also typically addresses expectations for objectivity. Such a TOR would also codify expectations for the role of experts relative to invention of options vs. evaluation options invented by stakeholders. A TOR document also typically includes guidelines for dealing with real and perceived conflicts of interests, which may include disclosure of current research, grant funding, and past work as an expert witness or expert reviewer on behalf of a particular stakeholder group. (Of course, there is not one “correct answer” as to how essential it is for all SAT members to be completely arm’s length from Central Coast issues; this is something that needs to be worked out in the TOR.)

From our wider work in the marine resource domain, we acknowledge that differing approaches exist to marine resource management—some more informed by fisheries science perspective, and others more influenced by ecosystem and conservation biology perspective. In the Central Coast project, we are aware that the project conveners made a concerted effort to recruit fishery scientists to the SAT, but that several nominees declined only to become involved in other ways. For example, one of our I-Team colleagues noted that one fisheries scientist declined a nomination (perhaps due to time constraints), but then worked as a consultant to the fishermen in developing their package of MPAs.

(comment continued)

Two fisheries scientists also declined invitations to serve on the SAT but subsequently served as experts in a critique of the SAT work commissioned by fishing interests (While the document's title characterized it as a "peer review", we note that the effort falls short of a classic "arm's length" peer review. If conducted in a joint fact finding mode, then peer reviewers would be tasked to work in concert with the full group of stakeholders, and would not be commissioned by or affiliated with a specific stakeholder group.<sup>2</sup> Again, it is possible that a TOR that called out the desired disciplines, the appointment method, and the charge might have created a slightly stronger incentive for fisheries scientists to work directly alongside other SAT members and craft a unified approach, rather weighing in later with a competing set of findings and recommendations.

On the whole, we did not perceive the SAT as having an advocacy bent, although there were times when interactions between CCRSG and SAT members had an advocacy flavor. We noted, for example, that some stakeholders consistently questioned the SAT methodology or findings, often drawing on the research or views of non-SAT scientists to make their points. They also suggested that the SAT was "changing the rules" as it developed its guidelines or was engaged in intentional or accidental "mission creep" in its evaluation of packages. Here again, it is possible that establishing and enforcing a clear TOR for the SAT might have helped bound stakeholder engagement with the SAT.

### **Comment on the Transparency of SAT Deliberations**

In the CCRSG process, the question arose as to the extent to which SAT deliberations should be entirely transparent to stakeholders. On one hand, it is important for SAT members to have the opportunity to deliberate only amongst themselves, especially in processes such as the Central Coast project where the information is complex and the timeline for generating scientific guidance is condensed. On the other hand, active dialogue between stakeholders and scientists is very much in the spirit of the joint fact-finding concept. As one of our I-Team colleagues noted, "Arguing between the stakeholders and scientists was actually educational, and the stakeholders found mistakes in SAT analysis. It gave the feeling to the stakeholders that they had the ability to touch the data".

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<sup>2</sup> Hilborn, Ray, Richard Parrish and Carl Walters (2006). "Peer Review: California Marine Life Protection Act (MLPA) Science Advice and MPA Network Proposals." Commissioned by the California Fisheries Coalition. May 25, 2006.

(comment continued)

Our experience in convening a dozen other independent scientific review panels is that a mix of public deliberations and panel caucuses is probably optimal. The logic of the panel caucuses is not to “make decisions in private”; rather, it is to allow the panelists time to brainstorm, to formulate and refine ideas, and begin to figure how to convey their findings in a coherent, understandable fashion.

**Comment on the Effectiveness of SAT Presentations and the Integration of Scientific/Technical Analysis and Policy Deliberations**

As we noted in the introduction to this section, clear presentation of scientific findings and their implications is one of the core elements of a joint fact-finding approach. Presentations and briefings of the SAT to the BRTF and the CCRSG were a major focus for this kind of discussion. Our informal conversations with BRTF and CCRSG members suggested that they sometimes felt that the briefings it received from the SAT were a bit opaque, or, in some cases, even unintelligible.

We specifically recommended conducting dry run rehearsals of SAT presentations in advance of BRTF or CCRSG meetings, in which I-Team members were able to serve as a sounding board. This approach was used prior to the January and especially the March 2006 BRTF meeting. The net effect was to stabilize the presentation, hone the message, and help SAT members convey the most important points. In our view, briefings to BRTF improved over time but rehearsal/dry run practice presentations should be hard-wired into the process.

## **VI. Regional Goals, Objectives and Design Considerations**

### **A. CCRSG Deliberations on Regional Goals, Objectives, and Design & Implementation Considerations**

#### **1. Key Challenges**

Our working expectation on the part of both the Project Manager and Facilitators was that CCRSG members would see negotiating the text on regional goals and objectives as a logical and moderately important stepping stone on the path to MPA delineation. In fact, it proved to be a critical early challenge of the Central Coast project—even more than delineation of MPAs.

Upon reflection, we attribute this challenge to three sources. First, the recruitment of stakeholders (discussed above) did not make it sufficiently clear that they were to work as integrative negotiators rather than positional advocates. (It was clear from many informal and formal comments that at least some CCRSG members equated “positional” behavior—stubbornly repeating a preference over and over—with “good” negotiating”. This stands in contrast to a mutual gains approach to negotiation, in which parties at the table negotiate hard on behalf of their interest, but also work hard to integrate the views of other stakeholders.)

Second, because the guidelines for delineating MPAs were still in development, CCRSG members used the goals and objectives discussion as a “stalking horse” for the (much later) delineation of MPAs. An example involved the contentious discussions over Goal 3, Objective 1—a Regional Objective focused on siting MPAs proximate to population centers, areas of traditional non-consumptive recreational use, and recreational/educational/study opportunities (e.g., dive sites, fishing harbors, and research facilities). In our view, certain stakeholders were trying to advantage or disadvantage the likelihood of particular MPAs in the user-heavy Monterey Bay area via the phrasing of this Regional Objective. The intensity with which CCRSG members argued for specific wording was a bit of a surprise, though in fact it mirrors some of our other projects in which contending groups of stakeholders first chance to “negotiate” is over broad and high minded mission statements or objectives.

Third, the relative weight of socioeconomic considerations was not yet “revealed,” but the goals and objectives was one place they could find expression as a prime consideration.

At both our June and July 2005 meetings, the I-Team went to some lengths to stress the importance of establishing goals and objectives up front. We invited Charlie Wahle (National MPA Center) to present on the manual “How is Your MPA Doing”, and we stressed that the CCRSG had a rare opportunity to

establish objectives first, rather than delineating lines on maps and then retrofitting a rationale.

In retrospect, this focus on objectives may have contributed to delays in focusing on what became the real work of the CCRSG—developing packages of MPAs that satisfied the Act and the SAT guidelines.

## **2. Challenges Seeking Agreement at the August 2005 CCRSG Meetings**

In hindsight, it appears that the I-Team made a few tactical errors in teeing up the discussion on regional objectives at our August 2005 meeting. First, as the I-Team framed the draft objectives document, in our eagerness to gain adoption, we titled it “Staff Recommendation.” As the I-Team and CCRSG had not fully settled in our respective roles, this framing was interpreted by some CCRSG members as evidence of an overly “staff driven” process. Second, it may have been apparent from the informal brainstorming session on Day Two of the July meeting and a subsequent interim work team teleconference in late July that there was quite a bit of divisiveness over certain specific draft objectives. Our facilitation team did not immediately recognize the breadth and intensity of these divergent views and perhaps assumed that the adoption of regional objectives would proceed in a straightforward manner. Third, at the August 2005 meeting, we worked very hard to frame wording choices, but time again found that underlying interests needed more time to be expressed and reconciled. Small logistical challenges also complicated the situation. As the draft text of the regional objectives had been recently revised, we did not have hard copy for CCRSG members and initially asked stakeholders to work from text projected via PowerPoint. This generated major push back, so we called a time out to make copies of key documents. (This was a learning we carried forward to all future meetings).

As the August meeting neared its end, it was apparent that we had sweated hard, but made only moderate progress. To help build on the momentum generated, the I-Team caucused and decided to put the following question to the CCRSG: “On balance, in the aggregate, do CCRSG members agree that the draft provisional regional objectives are approaching a reasonable first cut?” The CCRSG agreed with this general portrayal of the group’s accomplishments. Several members, in side conversations, also expressed the view that the discussions, though arduous, were useful and revealing.

## **3. Key Learnings from the August 2005 Meeting**

In retrospect, many parts of the difficult August meeting were productive.

During the meeting, participants made the important distinction between regional objectives and other considerations to be taken into account in the design of MPAs (“design considerations”). Initiative staff pointed out that the MPF specifically calls out the creation of such design considerations, and CCRSG

members agreed that design considerations were important components of MPA proposals. The CCRSG also had a productive and successful discussion on the question of the relative weight that objectives and design considerations would receive in evaluation of MPA packages by the BRTF. The CCRSG later made an additional distinction between design considerations and “implementation considerations”—i.e., considerations arising after the design of MPAs, during the implementation phase. These distinctions between regional goals, objectives, and design and implementation considerations were critical to achieving agreement on this part of the central coast process.

In our debriefing after the August meeting, CONCUR and other I-Team members identified a whole series of strategies to help improve the effectiveness of the agreement-seeking process. These included: framing memos from the Executive Director reminding the CCRSG of their charge and timeline; more active flip-charting of comments; more frequent strategic use of straw votes; the use of written straw ballots; and, when striving for agreement, retaining the possibility of referring selected closely split issues to the SAT or BRTF. We also identified the need to deploy members of the I-Team as a tighter, more unified team as we worked to facilitate agreement on the regional objectives.

To make this approach operational, we agreed on the vehicle of a drafting an I-Team process “game plan” -- a document that would spell out the strategies for working through each agenda item and the role of each I-Team member. Some of these were quite detailed. The game plan for the September CCRSG meeting, for instance, spelled out the sequence and timing for preparing, conducting, and tallying straw votes (a copy of this game plan is included as Appendix F). It also identified possible fallback strategies in the event certain items needed more time.

These game plans became a valuable tool to focus discussion and crystallize a unified approach, particularly among the Project Manager, Executive Director, facilitators and co-facilitators, and other I-Team colleagues.

#### **4. Responses to Challenges: Strategies for the September 2005 CCRSG Meeting**

We approached the September 2005 meeting with a much clearer game plan, as well as a considerable sense of urgency. The I-Team saw that the CCRSG needed to move soon to delineate individual MPAs and packages of MPAs. We were also aware that, as an I-Team, we needed to present a crisp, well-organized approach to the work. Our advice to the full I-Team was that we would probably want to use several tools in concert to increase the likelihood that the regional objectives were fully ratified at the September meeting.

Based on our experiences from the August 2005 CCRSG meeting and a subsequent work team meeting, we anticipated that the adoption of regional objectives would be challenging. Our strategy rested on three ideas: (1) setting

the context clearly by reinforcing the charge to the CCRSG; (2) using a variety of straw voting methods, including taking breaks if needed to compose straw ballots; and (3) allocating blocks of time within the formal flow of the agenda to allow I-Team staff to compose and tally straw ballots.

In more detail, the steps we took focused on reinforcing the charge to the CCRSG were as follows:

1. Provided a robust review of the CCRSG's overarching goals and main products as well as the anticipated process for completing the CCRSG's work (i.e., how to get to the finish line). Prepared and displayed "display boards" in the meeting room containing this information.
2. Presented a memo from the Chair of the BRTF reminding the CCRSG of their charge and project timeline, and specifying what would happen if the CCRSG was not able to complete its work on time (i.e., staff would review the CCRSG's work and continue the task of assembling recommendations to be brought to the BRTF for consideration). In other words, reminded CCRSG of their BATNA ("Best Alternative To Negotiated Agreement").
3. Formalized the concept of "design considerations" and "implementation considerations" and presented these in a memorandum from staff to the CCRSG. Explained how design/implementation considerations related to regional goals and objectives and how they would be used in the evaluation of MPAs. Invited CCRSG members to develop design/implementation considerations in conjunction with regional goals and objectives.
4. Created a "To Be Determined (TBD) Bin" process for tracking and addressing outstanding issues. This process included specific steps by which key issues would be recorded, evaluated and addressed, and responded to in the Central Coast project. These typically concerned issues viewed as important but not necessarily central to the objectives of the CCRSG. Initiative staff also prepared its recommendations regarding how to address such TBD issues as water quality, top end predators, safety, Pismo clams, and desalination plants.
5. Reinforced the notion that the regional objectives were provisional.
6. Established the protocol that in cases where support over possible objectives and design/implementation considerations was closely split, we would report the results and defer final decision to the BRTF.

We also made some fairly specific operational plans to use several alternate formulations of verbal and written straw ballots, to help gauge CCRSG member support for individual "provisional regional objectives and design/implementation considerations," as well as the entire package. We planned to use specific techniques for individual objectives to ensure that regional objectives would be ratified at the September meeting, recognizing that we lost some time in August. We used written straw ballots in part to avert scripted bloc voting. Key formulations included:

- To help gauge support for individual objectives and design/implementation considerations that had been developed by the work team, facilitators generally used the phrasing “Who cannot live with this text?”
- For three highly contested regional objectives, we composed a written straw ballot and asked participants to rank the options under each objective in order of preference. This produced a distribution of “points,” which were then reported back to the group.
- To adopt the suite of objectives and design/implementation considerations, facilitators asked CCRSG members whether they could “support the entire package”.

We also recognized that while caucusing among CCRSG members was valuable and important, our goal of building integrative agreements would be undermined by what we came to call “scripted block voting,” in which one caucus would strategically rank only one option as acceptable. We took care to craft some of our straw votes specifically to cause multiple options to be expressed. We accomplished this through straw vote-specific ground rules, such as requiring that CCRSG members rank order at least three options, with no more than one being deemed unacceptable.

All of these strategies were employed with an eye toward gaining closure on the CCRSG package of regional objectives and design considerations.

### **Key September CCRSG Meeting Outcomes**

During the September meeting, CCRSG members discussed, revised, and unanimously adopted a package for provisional “Regional Goals, Objectives and Design and Implementation Considerations” (Appendix G). Initiative staff committed to present this package to the Blue Ribbon Task Force (BRTF) at its September meeting.

Two key issues emerged from the CCRSG’s deliberations that were not resolved during the September meeting. The CCRSG remained closely split on the issues of: how best to address socioeconomic considerations (i.e., as a regional objective or as a design consideration), and whether to include larval retention areas as a habitat type. We proposed, and the CCRSG agreed, to have staff present these issues to the BRTF at its September meeting for review and guidance. We found the use of the BRTF in this way to be a very effective way of overcoming impasses at the level of the CCRSG. CCRSG members were generally receptive to the guidance of the BRTF.

## **B. Utility of Negotiating Agreement on Regional Goals and Objectives**

In our I-Team debrief of the CCRSG process, several I-Team colleagues observed that the discussion of regional goals and objectives produced a lot of conflict. The goals and objectives were one place where the tension between biological and socioeconomic criteria was played out. Our colleagues also noted that the creation of goals and

objectives created the expectation that these criteria would drive the process when in fact they did not; size and spacing guidelines and representativeness of habitat concerns carried far more weight in the SAT evaluation. It was the general impression of the I-Team that, in the future, less time should be devoted to goals and objectives (as they are now better understood), and the stakeholders need to get to MPA line-drawing sooner.

To this commentary, we would add several key benefits that emerged from the discussion on regional goals and objectives. First, this discussion revealed some potential conflicts over specific geographic areas. The extent of positional bargaining we encountered was a very useful catalyst for us to hone our approach. In our debriefing after the August meeting, we identified about a dozen steps we could take as a team, and we hit upon the tool of drafting a detailed game plan. Second, the process of defining goals and objectives provided stakeholders with an important opportunity to express fundamental interests. Third, the success in achieving agreement on the regional goals and objectives (arduous as it was) provided the CCRSG with significant confidence and momentum as they approached the next step of delineating MPAs and MPA packages.

### **C. Use of a Single Text Document**

The tool of a single text document is both a process and a product. As a process, the challenge we give to collaborative negotiators is to come up with a unified statement that accurately represents and integrates the interests of the full range of parties around the table. As a product, a single text documents sums up the results of a deliberation, and ideally reports the reaching of an agreement after a period of give and take by all parties. In contrast to the competing briefs or testimony that shape many public policy proposals, a single text document presents just one version of facts and recommendations.

The regional goals, objectives, and design considerations document was the one instance in the CCRSG process where we worked through iterative versions of what we call a single text document. An initial draft was produced out of a CCRSG brainstorming session. This was then reviewed and revised over the course of three work team sessions and two plenary meetings. For some regional objectives, work teams brainstormed as many as four alternate formulations of text. These were winnowed and consolidated at the plenary CCRSG table using a mix of discussion, entertaining proposals and counter-proposals, and framing straw votes.

## **VII. Development of MPAs and Alternative MPA Networks**

A major goal of the Central Coast Project was to develop one or more alternative packages of potential MPAs for consideration by the BRTF. The Master Plan Framework specified a multi-step process that took place over the course of 3+ meetings. Key overarching steps included:

- 1) Evaluate existing MPAs
- 2) Brainstorm and develop an inventory for potential new MPAs
- 3) Evaluate and consolidate the brainstormed MPAs
- 4) Build on this inventory to develop alternative region-wide MPA packages

We worked with the I-Team to develop detailed game plans for each of the October, November, and December meetings.

### **A. CCRSG Meetings -- Process Strategies and Results**

#### **1. Building Momentum at the September CCRSG Meeting**

To build momentum for the October CCRSG meeting, and to provide CCRSG members with the opportunity to begin addressing more tangible issues, we convened breakout sessions on Day 2 of the September meeting to allow CCRSG members to provide both their own first hand knowledge and their preliminary assessments of existing MPAs. We broke out the CCRSG by North/South to encourage members to provide their expertise. To guide this process, initiative staff presented a draft evaluation of existing central coast MPAs, including an evaluation of the amount of representative and unique habitats of the Central Coast in existing MPAs and an assessment of the extent to which existing MPAs meet the adopted regional goals, objectives, and design and implementation criteria. CCRSG members provided preliminary feedback on the MPAs based on this analysis.

#### **2. October CCRSG Meeting – Process Strategies and Outcomes**

The focus of the October meeting was on producing an inventory of MPAs. We created the term “MPA concepts” to clarify their preliminary status. We also invented the terminology “candidate MPA packages” to avoid the use of the term “proposal.” This would help clarify that the candidate MPA packages were not yet formal proposals.

The game plan for the October meeting focused on providing CCRSG members with an opportunity to brainstorm individual MPAs before moving on to assembling MPA packages. We organized CCRSG members into two north and two south breakout groups to build an inventory of possible MPAs, and we organized each breakout group to include a cross-section of interests. We structured the discussions so primary and alternate members could participate equally, and we did this in the spirit of “inventing without committing.” We also

invited participants to provide preliminary comment/feedback on the brainstormed MPA concepts.

To support this MPA inventing process, we took several additional steps as well:

- We arranged for I-Team members to provide training in the use of the MPA Decision Support Tool (GIS mapping tool).
- We encouraged CCRSG members to become adept so they could use the tool without the assistance of MLPA staff.
- Initiative staff presented a draft evaluation and habitat gap analysis of existing Central Coast MPAs.
- We also used a range of facilitation approaches (soft vs. more directive) in the north/south break out groups. We ended up switching the assignment of facilitators by groups on Day 2 to ensure that the groups completed their assigned tasks.
- Consistent with the process articulated earlier, the BRTF had established a process by which MPA packages could be developed outside the CCRSG. We indicated that the CCRSG would be asked to take these into consideration as part of their deliberations.

We established a follow-up step to take place during weeks following the October CCRSG meeting. We convened interim CCRSG work sessions in both the Monterey and Morro Bay areas for the CCRSG members to confirm the accuracy of the initial candidate MPA concepts and to discuss opportunities for modifying and consolidating these concepts (with an emphasis on developing MPA concepts with cross-interest group support).

We also encouraged CCRSG members during the interim period to begin thinking about candidate MPA packages. We encouraged creation of both interest-based and cross-interest packages.

**Comment on the Tone and Results of the October CCRSG Meeting**

We began the CCRSG October meeting deliberations with a session on evaluating existing MPAs. Initiative staff presented a draft framework for evaluating existing central coast MPAs. Our senior environmental planner noted that the I-Team's assessment of existing MPAs was rushed in preparation, and she ventured that it was "probably one of the less useful work products". In hindsight, a better approach might have been to sequence the work so that the SAT evaluation framework was completed, which would then be logically applied first to existing MPAs. The process might have also benefited from more clear and detailed guidance about designating MPA boundaries from the perspectives of management and enforcement.  
(comment continued)

As it turned out, the tone of the breakout sessions varied dramatically between the north and the south. Many CCRSG participants—particularly consumptive users from the southern part of the region—felt it was important to spend additional time reviewing existing MPAs before concluding that new MPAs were needed. Several of the participants from the south also appeared to have been less prepared to focus closely on the tasks of evaluating existing MPAs and delineating new ones, due to other time commitments immediately preceding the CCRSG meeting. Though we did not observe the breakout session in the south closely (it was facilitated by Don Maruska and Kirk Sturm), our sense is that the group almost needed a sort of “warm up” before talking about MPAs in earnest.

Many of the stakeholders in the north, on the other hand, were veterans of prior discussions of MPA designation or related issues in the context of the Monterey Bay Marine Sanctuary and were fairly ready to engage the questions. A notable exception here concerned discussions on particular MPAs involving the allocation of consumptive and nonconsumptive diving, shore and skiff fishing, and other recreational uses from the Monterey Breakwater to Carmel Bay. Continuing a pattern begun in the negotiations on regional goals and objectives, the discussions on MPAs in these areas were highly contentious.

The Day Two discussion at the October meeting was more productive; the break out sessions gained traction and CCRSG members began to identify and discuss potential locations for MPAs. We took the time in these sessions to use the GIS mapping tool, display maps of the study area, and literally code the vertices of the candidate MPAs in close to real time. We invited proponents of each MPA to give the MPA a name and recorded it as a file in the IMSG tool for later use and reference.

At this early stage, some CCRSG members from the south mentioned that the “status quo” of the current array of MPAs—perhaps with the deletion of one the small Pismo Clam State Marine Conservation Areas and with addition of the Vandenberg closed area as an MPA—was a good outline of their preferred alternative.<sup>3</sup> On the whole, it was CCRSG members from the

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<sup>3</sup> The Department of Defense initially took the stance that no MPAs would be allowed in the Vandenberg closed area but did express a willingness to open a dialogue with the California Secretary for Resources to discuss this further.

(comment continued)

environmental community who were the primary inventors of new MPAs.

There was valuable give and take in these small group meetings, particularly on Day Two, but it was apparent that much of the action would move to offline caucuses. This was true for two reasons: the incomplete availability of the MPA Decision Support Tool, and the need for CCRSG members to confer with colleagues who were not at the table, particularly in the fishing and conservation communities.

### 3. November CCRSG Meeting – Process Strategies and Outcomes

As noted above, we planned for intensive caucusing and work team activity after the October 2005 meeting so that we would enter the November meeting with packages of MPAs and not just a set of disconnected individual MPAs. During several interim work sessions, CCRSG members first refined and narrowed the inventory of MPA concepts. In follow-up informal meetings, CCRSG members prepared initial draft MPA packages. The I-Team offered extensive technical, scientific, and facilitation support for these discussions. We also encouraged package proponents to touch base with broader constituents between meetings to inform the creation and revisions of packages.

The primary focus of the November CCRSG meeting was on discussing the initial candidate MPA packages. During the meeting, CCRSG members presented and discussed candidate MPA packages. Initially, two packages were introduced: one by commercial and recreational fishing interests (Package 1), and the other primarily by conservation interests (Package 2). CCRSG members discussed these in plenary. Then, we provided a caucusing opportunity for the proponents of the individual packages to discuss possible modifications to the packages based on the plenary discussions.

During the November meeting, a group of unaligned CCRSG members began developing a “hybrid” candidate package (Package 3) built on elements of the two initial packages. The I-Team supported this development by making technical staff available to load the MPAs into the Decision Support Tool.

To help ensure effective discussions, we took the following additional process steps:

- We provided supporting background and technical information to support CCRSG deliberations.
  - MLPA Initiative staff distributed the updated Evaluation of Existing Central Coast MPAs.

- Ecotrust presented an overview of its research methods and results. Maps containing key microblock information were made available to the CCRSG.
- Initiative staff provided an overview of the “external” candidate MPA package proposals (i.e., those produced by stakeholders outside of the CCRSG process), assessing the sufficiency of each proposal in meeting the terms of the MLPA Initiative Master Plan Framework (MPF).
- Due to the multiple resource-use interests on the Monterey Peninsula, we suggested that initial packages not get too hung up initially on addressing MPAs for this area.
- We opted not to encourage inclusion of the “Initial Draft Concept” or “Revised Draft Concept” in the CCRSG’s deliberations unless requested by CCRSG members. (Note: the Initial Draft Concept was a proposal for a statewide MPA network developed largely by the original MLPA Master Plan Team of scientists as part of the initial effort to implement the MLPA. After significant pushback from stakeholders, DFG conducted a series of public workshops to solicit stakeholder feedback on the Initial Draft Concept. The Revised Draft Concept was the outcome of this process, although it was never formally completed nor made public.) However, one CCRSG member did request the IDC for the central coast be considered as a viable alternative.
- We scheduled interest-based caucusing opportunities during the meeting to revise/improve the candidate MPA packages per feedback received during plenary discussions.
- We encouraged the creation of new candidate MPA packages that sought to integrate the other packages and build on apparent areas of agreement.
- We created evening activities (e.g., dinner plans with semi-private rooms) conducive to continued caucusing.
- We asked the BRTF member in attendance to encourage convergence among the alternative MPA packages. (Note: the BRTF members in attendance were commonly invited to convey key messages to the CCRSG (in a way that carried the weight of the BRTF).)

**Comment on Key Outcomes of the November CCRSG Meeting**

As noted above, CCRSG members initially presented two candidate MPA packages—one developed primarily by commercial and recreational fishing interests, and the other created largely by conservation interests. A cross-interest group of CCRSG members also met before the October meeting to explore prospects for developing a cross-interest package. Despite their intentions, this group was not able to produce an initial candidate MPA package that they could all support. This turned out to be somewhat indicative of the difficulties stakeholders would have in converging their alternative MPA packages.

(comment continued)

Package 3, developed during the November meeting, did represent a convergence of sorts and was responsive to our encouragement of new “integrative” packages.

The proponents of Package 3 were predominantly representatives of public agencies, educational institutions, recreation-based businesses, resource consultants, or the community at large. A recreational fisher was also a member of the Package 3 “team”. They were not strongly aligned with either consumptive fishing or conservation interests. While “non-aligned”, they could not be said to represent a broad cross-interest effort to come to agreement, as they were fairly light on both fisher and conservation members. Rather, this group was focused pragmatically on highlighting and building on emerging areas of convergence from Packages 1 and 2.

#### **4. December CCRSG Meeting – Process Strategies and Outcomes**

Significant interim work session efforts took place between the November and December meetings to refine the three main candidate MPA packages. The goals of the December meeting were to discuss and further refine the revised packages and to assess the relative extent of CCRSG support for each one.

We designed the agenda for the December meeting to include a mix of package presentations, plenary discussion, and caucusing to consider potential revisions. To help focus the discussion on the candidate packages, we presented the results of recent SAT and BRTF deliberations. In particular, we highlighted the BRTF’s request that the CCRSG narrow the number of candidate MPA packages and converge on the MPA networks being proposed. We also presented on the areas of convergence between the candidate packages so CCRSG members could more readily see where they were close and where they were not.

One of the packages (Package 2) had also bifurcated somewhat around options for the Monterey Bay-Pacific Grove portion of study area. We facilitated a Package 2-specific breakout group to produce a unified Package 2 recommendation.

#### **Straw Voting**

To support the CCRSG assessment of the packages, we established a straw voting process (voting by primary members only, but including alternates if primary members were absent) that built on earlier CCRSG straw voting efforts. We structured the straw voting with several objectives in mind:

- Winnowing the number of packages (including external MPA packages) to a more manageable number, to respond to this specific request from the BRTF

- Creating the opportunity for CCRSG members to express relative preferences
- Providing the opportunity for CCRSG members to reflect on potential revisions that could make specific packages more acceptable

To implement this approach, we organized multiple (3) rounds of straw voting over a two-day period and built flexibility into the meeting schedule to ensure that the voting would be completed by the end of the meeting. We used paper “ballots” to ensure that the content of the straw votes was clear. We enlisted broad I-Team support to gather, tally, and post results of the straw voting.

The purpose of the *first round* (Day 1) was to *winnow* the number of packages. We asked participants to indicate their single-most preferred package. We established a threshold prior to the vote that packages needed to receive at least 3 votes (approximately 10% of the CCRSG primary members) to move to the next round. The results of the voting were as follows:

<b>Package</b>	<b>Received more 3 or more votes</b>
CCRSG package #1	yes
CCRSG package #2	yes
CCRSG package #2b*	yes
CCRSG package #3	yes
CCRSG package #4**	no
External package A	no
External package B	no
External package C	no

Five CCRSG members were absent or chose to abstain on this straw voting round.

\*Package 2b included an alternative MPA configuration in the Monterey area relative to Package 2.

\*\*Package 4 was the “Initial Draft Concept” developed during the 2001 MLPA process.

The purpose of the *second round* (Day 1) was to *rank* the remaining packages (1=first choice, 2=second choice, etc.) as a means of encouraging further convergence and informing future possible revision. We required that CCRSG members rank *all* of the packages, as a way of forcing them to array their preferences. We also invited participants to identify one (but no more than one) package as “unacceptable” to further clarify their ranking. We tallied the straw votes and then presented the number of first choice, second choice, etc. votes as well as the number of “unacceptable votes” received by each package. The results of the voting were as follows:

Package	Rank 1	Rank 2	Rank 3	Rank 4	Number of Unacceptable Rankings
CCRSG package #1	13	2	1	11	9
CCRSG package #2	5	6	14	2	2
CCRSG package #2b	4	5	4	14	12
CCRSG package #3	5	14	8	0	0

Five CCRSG members were absent or chose to abstain on this straw voting round. Package 2b included an alternative MPA configuration for the Monterey Bay area relative to Package 2.

Following presentation of the round 2 voting results, we provided CCRSG members with extended caucusing time to meet both across and within interest groups to discuss possible refinements and look for ways of narrowing areas of divergence.

The purpose of the *third round* (Day 2) was three-fold: 1) to *rank* the packages in terms of preference (1=first choice, 2=second choice, etc.); 2) to *score* the packages in terms of level of acceptability (A=acceptable, B=needs minor changes, C=needs moderate changes, D=needs major changes); and 3) to provide CCRSG members with the opportunity for each package that was not their preference to *identify critical changes* that would make it more acceptable. By the time this round of straw voting occurred, Package 2 proponents had consolidated their proposal into a single unified package.

The quantitative results of round 3 are as follows:

Package	Rank 1	Rank 2	Rank 3	No. of A's	No. of B's	No. of C's	No. of D's
Package 1	15	2	10	12	4	1	10
Package 2	10	1	16	9	1	3	14
Package 3	2	24	1	2	4	15	6

Five CCRSG members were absent or chose to abstain on this straw voting round.

Staff committed to compile the comments made regarding improvements to specific MPAs and forward these to CCRSG members within the next 2 days in order to inform further refinement of packages by the package leads.

### **Meeting Results and Next Steps**

Broadly speaking, CCRSG members responded to BRTF requests to winnow and evaluate candidate MPA packages. Specifically, the CCRSG winnowed the number of packages under their active consideration from 8 packages to 3.

CCRSG members successfully ranked the candidate MPA packages and listed specific revisions to improve those packages that were not their preferred ones. CCRSG members continued the process of seeking to increase the areas of convergence and decrease areas of divergence among remaining packages.

The final request we made of CCRSG members was for each of the three packages to identify package "point persons" (consisting of 2 person teams) for continuing correspondences and consultations. We provided guidance on how to complete the candidate MPA packages, including the development of objectives for individual MPAs, by the December 15, 2005 deadline. We also provided a briefing on the final steps in the Central Coast process, including an overview of SAT evaluation steps, upcoming BRTF meetings, the timing of the CDFG's decision on a preferred alternative, the anticipated timing of the Commission's action. We reminded CCRSG members that the BRTF meetings were public forums, and that the BRTF looked forward to hearing from both package leads and other CCRSG members as they carried out their deliberations in January and March.

The designation of "point persons" proved to be critical, as these individuals took on responsibility for revising the packages in response to ongoing SAT and BRTF review and evaluation.

We ended the meeting by concluding the work of the CCRSG as a formal body. We also planned time for the Executive Director and the Project Manager to express their thanks to the CCRSG for their hard work and for the CCRSG members to reflect on their efforts and accomplishments.

## **B. Commentary on Creation of MPA Packages**

### **1. Support for MPA Package Development**

A great deal of effort on the part of CCRSG members, I-Team staff, and SAT members was invested in the process of delineating candidate MPAs. In retrospect, many of the technical elements required to support the MPA package delineation process were being developed at the same time as the MPA packages themselves. This approach illustrates the "just in time" nature of the Central Coast Project. The process would have benefited had these elements been prepared in advance. Examples include:

- The MPA Decision Support Tool was being brought on line concurrent with MPA development. Early CCRSG efforts to use the tool were cumbersome and frustrating, even with I-Team support.
- Due to coordination challenges with DFG enforcement staff, the I-Team developed its guidance on MPA boundary designation after CCRSG members had begun developing its MPA inventory. This guidance included a preference for straight lines, preferably running north-south and east-west, to facilitate enforcement and monitoring. This preference

created difficulties for stakeholders who were creatively striving to address multiple interests by drawing curved or diagonal MPA boundaries in high use-value areas.

- SAT guidance on MPA size and spacing and habitat representation, as well as a ranking system of level of protection with proposed State Marine Conservation Areas, were also being developed concurrent with the delineation of MPA packages. This guidance evolved over the course of the CCRSG deliberations, causing some CCRSG members to complain about the difficulty of hitting a moving target.

## **2. Use of Interim Work Sessions and Discussions**

Our process for developing MPA packages relied heavily on the use of interim work sessions. Initiative staff convened many of these. They typically involved a broad cross-section of CCRSG members and were focused on forwarding the development of MPA packages through cross-interest dialogue. We found these meetings to be productive for brainstorming or as a way of addressing issues raised but not settled from the plenary meetings. We found these interim work sessions to be less effective as a means for resolving “hot-spot” issues where stakeholders had entrenched positions (in these cases, we typically had to raise these issues to the level of the BRTF to achieve resolution).

Other more informal interim work sessions were convened by CCRSG members themselves. These concentrated on the proponents of particular packages and tended to involve stakeholders from within interest groups (e.g., fishing interests, conservation interests).

An extraordinary number of one-on-one discussions among CCRSG members also took place between meetings. This is where much of the cross-interest dialogue took place. These discussions typically involved proponents of one package reaching out to other CCRSG members to explore ways of incorporating their interests into the existing packages.

## **3. Development and Evolution Among Three Main Candidate MPA Packages**

Three main MPA packages were developed over the course of the CCRSG process. Package 1 was developed by a consortium of fishing and consumptive diver interests, including both commercial and recreational fishers. Package 2 was developed by a consortium of conservation interests. Both Packages 1 and 2 evolved through extensive consultation with both their “core” stakeholder communities and through cross-interest consultations with other fishing and conservation stakeholders. Package 3 was initially developed at the November meeting as a compilation of areas of convergence between Packages 1 and 2. It included some initial concepts to bridge the gap in areas of divergence.

The proponents of packages continued to revise them through the end of the CCRSG process in December. Then, two complete additional iterations were informed by SAT and BRTF commentary.

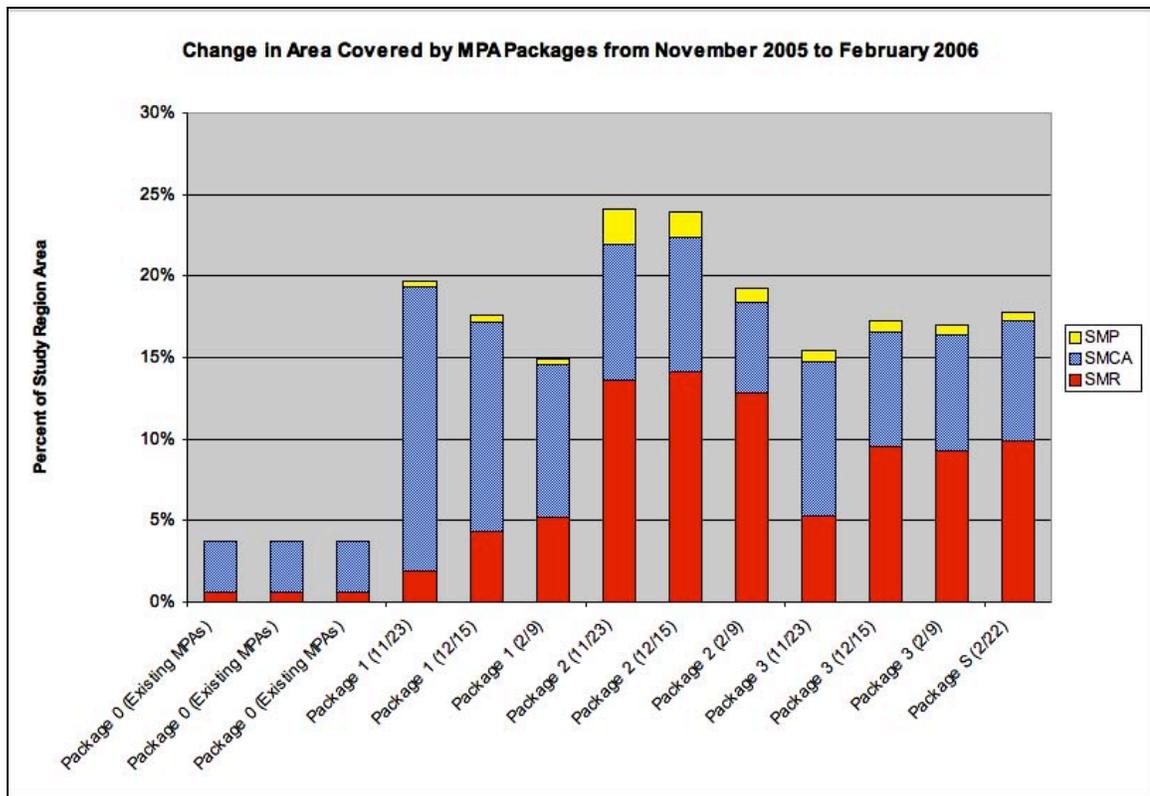
The net effect—as described in the text and illustrated in the tables and figures below—is towards a partial convergence in both the geographic areas designated as MPAs and the relative percentage of the Central Coast region with a high level of resource protection.

The Package 1 proposal decreased in area and number of MPAs but increased in protection level during the iterative process. Package 1 proponents made the most significant changes to their package to increase protection and better meet SAT guidelines after the January 2006 SAT evaluation of the December 15<sup>th</sup> version. The changes involved adjustments to size, spacing and protection levels of MPAs

The Package 2 proposal evolved through a reduction in the area and number of MPAs and small decreases in protection level. The most significant changes to MPAs in Package 2 were made after the January 2006 BRTF meeting where proponents received guidance to try to reduce potential fisheries impacts. Package 2 had two alternate versions moving along in parallel up until the very end of the stakeholder process; one version had more area in State Marine Reserve (SMR) designation in the popular non-consumptive dive sites along Monterey waterfront and the Carmel Pinnacles areas than the other.

Package 3 changed less (in numbers and area of MPAs) over time than Packages 1 and 2 and was consistently ranked intermediately between Packages 1 and 2 in the SAT evaluation.

<b>Version Date</b>	<b>Package 1</b>	<b>Package 2</b>	<b>Package 3</b>
<b>Nov. 23, 2005</b>	36 MPAs  19.7% of total area (1.9% in SMR)	37 MPAs  24.1% of total area (13.6% in SMR)	32 MPAs  15.4% of total area (5.3% in SMR)
<b>Dec. 15, 2005</b>	33 MPAs (20 high protection)  17.6% in total area (4.3% in SMR; 7.8% high protection)	32 MPAs (24 high protection)  23.9% in total area (14.1% in SMR; 16.8% high protection)	31 MPAs (22 high protection)  17.2% in total area (9.5% in SMR; 13.3% high protection)
<b>Feb. 9, 2006</b>	29 MPAs (20 high protection)  14.9% in total area (5.2% in SMR; 9.9% in high protection)	29 MPAs (22 high protection)  19.2% of total area (12.9% in SMR; 15.9% in high protection)	30 MPAs (20 in high protection)  17.0% in total area (9.3% in SMR; 12.2% in high protection)



All of the packages, in their final iteration, had identified roughly the same geographies as important for the network component, but their proposed MPA boundary designs differed at least slightly in almost every specific geographic area. The highest degree of convergence in MPA designs was for the intertidal SMRs proposed along the Ano Nuevo and Sandhill Bluffs shorelines and the estuarine SMRs in the areas of Elkhorn Slough, Moro Cojo Slough, and Morro Bay. All of the packages identified the need for high protection MPAs at major headlands such as Ano Nuevo, Point Lobos, Point Sur, Piedras Blancas, Point Buchon, and the Purissima to Pt. Arguello area. All of the packages proposed a state marine park off of Cambria, with differing boundaries. All of the packages proposed high protection MPAs in central Monterey Bay in deep rock and submarine canyon habitat, with differing boundaries or regulations. All of the packages proposed different zoning schemes for contiguous MPAs around the Monterey peninsula. These packages differed in their appeal to various user groups based on proposed allowable uses.

In regards to existing MPAs, all of the packages proposed elimination of 4 existing invertebrate State Marine Conservation Areas (SMCAs) in the Morro Bay to Pismo Beach area. All of the packages proposed either retaining or expanding Elkhorn Slough SMR, Big Creek SMR, Hopkins SMR, Pacific Grove SMCA (Packages 2 and 3 also proposed increasing the degree of protection in part of the area), and Carmel Bay SMCA. All of the packages proposed a significant

expansion of Point Lobos SMR. Some of the packages proposed elimination of Julia Pfeiffer Burns SCMA.

### **Comment on the Candidate MPA Package Development Process**

Given that the Central Coast study region was the focus of a pilot process, neither the I-Team nor the CCRSG had the benefit of “seeing the process run” from the CCRSG to the BRTF, to the CDFG staff, and ultimately to the Commission. This created both benefits and risks. The benefit is that we had opportunity to innovate on both the process design and analytical methodology fronts.

The risk is that the process presented the opportunity for a series of lobbying interventions or off-line negotiations, and there may have been a disincentive to push as hard as possible for a fully integrative solution. Our co-facilitator, Don Maruska, noted that the overall MLPA process, as designed, created an opportunity for stakeholders to have multiple “bites of the apple”—i.e., via the CCRSG, the BRTF, and the Commission. This resulted in behavior by the stakeholders in which they may have withheld, for strategic reasons, a set of concessions or tradeoffs that might have brought out a higher degree of convergence.

The BRTF did signal at the CCRSG meetings and via more formal statements at the BRTF level that they would strongly prefer the CCRSG to converge around one package, or at least to narrow their differences and agree on some MPAs in the Central Coast region. What was not so clear was precisely what kinds of action the BRTF might take absent a CCRSG consensus recommendation. As a result, neither the I-Team nor the CCRSG could gauge with certainty how much weight the BRTF would give to any particular package, whether they would “pick a winner” or “craft a hybrid,” how much the CDFG staff would modify the packages in composing its recommendation, and, finally, how the Commission would weight CCRSG and BRTF advice, respectively.

It may not have been apparent to the CCRSG that the BRTF would direct staff to prepare a new package, or that BRTF members would themselves tinker with individual packages or invent its own hybrid package (in fact, the I-Team did not know this either).

A corollary point about the “later bites of the apple” is that if CCRSG members know they can craft a package but then must hand it off to an uncertain future with the BRTF and the Commission, they might have a greater incentive to converge around a single package. In other words, it could be stressed to the stakeholders that, “if you create a package you can all ‘live with,’ it will most likely be chosen.” That is, “everybody’s second choice” would be a robust package, from the standpoint of both integration of interests and broad political acceptability.

#### 4. SAT Guidance and the Articulation of a “Solution Space” – A Comparison with the Channel Islands Process

One element of the MLPA process that bears contrasting with the previous Channel Islands MPA effort is the type of guidance provided by scientific advisors. (A side-by-side comparison of some of the process challenges encountered in each effort is presented in Appendix H.) As reported by Helvey (2004)<sup>4</sup>, the Channel Islands process was shaped in part by an early guideline suggested by the Science Advisory Panel (SAP) that at least 30% and possibly 50% of each habitat in each of three zones be established in the sanctuary. Helvey notes that “the derivation of the 30-50% range was not disclosed.” He comments, “Considering that science is a process based on rigorous methodologies and empirically justifiable outcomes, the 30-50% recommendation appeared more as a statement of policy” (p. 181).

Additionally, in the Channel Islands process, the Marine Reserve Working Group (MRWG) was constrained by Sanctuary Advisory Council (SAC) guidance restricting available management tools to “no take” reserves. “Limited take” reserves (e.g., state marine conservation areas, or state marine parks) were not an available tool, unlike in the MLPA Initiative. Helvey traces this choice back to an initial proposal of the Channel Islands Marine Resource Restoration Committee to the Fish and Game Commission. He points out that this approach remained unchanged as instructions were passed from the Commission through the SAC and ultimately to the MRWG. He also notes that some MPA proponents during the MRWG effort expressed the view that anything less than complete fishing closures is inadequate for achieving the biodiversity goal.

More broadly, this type of guidance can have an important impact on the “solution space” that develops over the course of a negotiation. In our view, there is value in pointing out when negotiators, through the draft packages they develop, are starting to converge around a solution space.

Part of the process of defining a solution space comes from early “sideboards” placed by convenors of a dialogue. In the MLPA Initiative, the major sideboards included the geographic boundary, the guidance to produce multiple packages, and the guidance to implement the MLPA and the MPF.

At the same time, these sideboards were, in a way, less restrictive than those of the Channel Islands Process. While the MLPA process did have important sideboards, it had neither the 30 to 50% goal nor the limitation of using “no take” reserves as the only management tool. This effectively created a much larger solution space for the CCRSG participants.

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<sup>4</sup> Helvey, Mark (2004). “Seeking Consensus on Designing Marine Protected Areas: Keeping the Fishing Community Engaged.” *Coastal Management*, 32:173-190.

We anticipate that for the MLPA process, the three CCRSG-developed packages forwarded to the DFG and Commission from the BRTF established the conceptual boundaries within which the Commission will make its decision.

We believe there is value in finding ways to be more explicit about the existence of an emerging solution space. One way would be to try to map the convergence of the packages. One approach would be to compare the metric of “percent of areas in high protection MPAs” across packages. Indeed, the comparison of package summaries as histograms with distinctions in levels of protection emerged as a comparison device over the course of the MPA package development process. It allowed CCRSG and BRTF members to see trends across packages. Though developing agreed-upon metrics can be challenging, such a diagram showed convergence of packages over time in the CCRSG case.

## **C. Transition Between CCRSG Process and BRTF Deliberations**

### **Continuing Refinements to MPA Packages at BRTF Meetings**

After the December 2005 CCRSG meeting, the focus for discussion on the evolving MPA packages shifted to the BRTF arena. Several key events occurred during this phase that had important implications for the CCRSG.

First, at the January 2006 BRTF meeting, the CCRSG package leads presented and discussed the three revised MPA packages. BRTF members noted that significant differences still existed among the three packages. They advised Package 1 proponents to better address the SAT guidelines, and they told Package 2 and 3 proponents to better address potential socioeconomic impacts to fisheries. Moreover, several BRTF members, in pressing for greater convergence, did not seem to recall that the CCRSG’s charge had been to develop multiple packages. Consequently, the BRTF requested that Initiative staff attempt to integrate the three packages in a new “Package S.”

This surprised many and raised the fear for some CCRSG members that the process was overly staff driven. This was a concern that we heard often in our stakeholder assessment and one that the I-Team worked diligently to address throughout the CCRSG process. At the March BRTF meeting, it was noted that Package S appeared to have relatively little support. This seemed to assuage some of the stakeholder concerns.

Second, at the March 2006 meeting, while in the process of assembling a comprehensive motion, BRTF members suggested their own revisions to some of the MPA packages. In particular, they directed Initiative staff to work closely with proponents of Package 3 to produce a hybrid Package 3R. They also proposed amendments around the Monterey breakwater and Carmel Bay in Package 2, producing Package 2R. Package 1 was unchanged.

This guidance from the BRTF was no doubt an effort to bring additional clarity to the packages. The revisions, and the manner in which they were initiated, however, took some CCRSG members by surprise. It was not apparent to stakeholders beforehand that the BRTF might make such a request. Moreover, due to time constraints at the March meeting, this BRTF guidance was informed by relatively little deliberations on the packages themselves.

Third, in addition to presenting their packages at the March 2006 BRTF meeting, several CCRSG members actively lobbied the BRTF members at different junctures over the course of the meeting. This constituted another point of influence on the part of the CCRSG that was not clearly formulated at the beginning of the project. It is debatable whether this behavior was in keeping with the spirit of the CCRSG's ground rules, as we did not craft any specific ground rules to guide the conversation between the CCRSG and the BRTF. But, since the CCRSG process was finished, management of this conduct now fell under the purview of the BRTF's own procedural rules. This was more the province of the BRTF chair.

#### **Comment on Linkage Between CCRSG and BRTF Deliberations**

The transition from the CCRSG to the BRTF was not as smooth as it could have been. In hindsight, it would have been helpful to specify more clearly and earlier in the CCRSG process exactly how the BRTF would weigh in on the MPA packages it received from the CCRSG. This detail might have been spelled out in the MPF, or, alternatively, in the I-Team's report of next steps in the process at the November and December 2005 CCRSG meetings. In particular, we could have created a clearer roadmap of the intended process to get from three (or multiple) CCRSG-produced packages to the development of a DFG preferred alternative package. Part of this roadmap would signal the CCRSG members as to what kind of weight their package would carry, whether the BRTF would modify it, and how they would participate in the BRTF process.

We also believe that the BRTF's decision to modify some of the CCRSG MPA packages had a detrimental impact on the perceived legitimacy of the process. At the June 2005 kick-off CCRSG meeting, the I-Team described the BRTF's role regarding MPA package development to include evaluating alternative MPA proposals (against the MLPA's standards and other relevant laws) and forwarding them to the CDFG. The I-Team described the DFG's role to include forwarding the alternative MPA proposals, as well as the DFG's own preferred alternative, to the Commission for decision. This was consistent with the roles outlined in the Master Plan Framework.

(comment continued)

This likely led to an expectation on the part of CCRSG members that their alternative MPA packages would be carried forward largely or wholly intact not just to the BRTF but also to the Commission as well. While creating hybrid options may be an example of a policy level body exercising its discretion, our sense is that it may have been perceived by some CCRSG members as an act of bad faith, leading to a loss of CCRSG ownership over their work products and a blow to the perceived legitimacy of the Central Coast project.

## **VIII. Final Reflections on Overall Results and Outcomes**

### **A. Potential Concepts for Process Redesign, and Implications for Future Study Regions**

From our perspective, the CCRSG process was characterized by significant investments of time, energy, creativity, and good will effort on the part of the CCRSG members, Initiative Staff, the SAT, and the BRTF. On the whole, the CCRSG accomplished the goals it set for itself at the beginning of the process. The CCRSG adopted ground rules at the first meeting, and on balance, stayed on task throughout the process. The CCRSG developed consensus regional goals, objectives, and design and implementation considerations, as well as individual objectives for proposed MPAs. More importantly, the CCRSG forwarded to the BRTF a suite of three alternative MPA packages and took part in evaluating externally-developed packages in a deliberate fashion. All of the internally-developed packages, after additional rounds of SAT review and refinements, eventually met the minimum MPA design guidelines set by the SAT.

This project was also unique in several respects, such as the degree to which I-Team members consistently produced high quality technical reports, invested concerted effort in strategic planning, addressed challenges comprehensively, and improvised aggressively in real time. All of these attributes contributed significantly to the success of the project. In our experience, this is a rare combination for a public policy initiative.

We can envision several alternate choices in process architecture and individual process choices that may produce a more broadly supported set of alternatives. We can also envision ways to structure the process to be somewhat more efficient and produce an equally well-informed outcome with possibly a less heroic level of effort on the part of the convening team and facilitators.

Key recommendations for modifying the process are as follows. We would welcome the opportunity to review these with the other Lessons Learned consultants, the I-Team, the SAT, and interested stakeholders as the Central Coast Project continues and the MLPA Initiative process for the next region ramps up. As well, we would be pleased to present our finding to the BRTF.

#### **Key Recommendations for Process Modifications**

1. Conduct an initial round of stakeholder interviews well in advance of convening the next RSG. Use the results of the interviews to inform the recruitment of RSG members, the pacing of work products, and the nature of upfront analytic work. Then, conduct a second, targeted round of stakeholder interviews with appointed primary RSG members who were not interviewed in the first round.
2. Place upfront emphasis on recruiting individuals committed to use a mutual gains bargaining approach, and bringing a regional (and not just local) perspective to the task of MPA package creation. At a minimum, this means a commitment to building

integrative solutions. At best, it means working hard to come up with a single consensus recommendation.<sup>5</sup>

3. Provide more explicit incentives and a clearer expectation for stakeholders to converge on an agreed-upon package, with the expectation that they will come up with multiple packages and then rank them as a step toward converging on a single package. It is not an unreasonable expectation that the stakeholder group could come to support a single package that most successfully integrates the interests of multiple stakeholder groups. Several structural adjustments and incentives could make this more likely. Perhaps the most important would be a commitment that a consensus RSG MPA package, informed by robust DFG input, would very likely be the DFG preferred alternative that would be forwarded to the Commission for decision. This in turn would probably entail DFG staff to be more active negotiating participants in the RSG.
4. Establish a crisp and comprehensive Terms of Reference for the Science Advisory Team. Address issues such as disciplinary coverage, dealing with real and apparent conflicts of interest, methods of deliberation, and nature of the interface with the RSG and the BRTF.
5. Look for ways to streamline the sequencing of work products relative to stakeholder group deliberations. In particular, provide timely access to solid habitat and socioeconomic data, and introduce the rationale and logic of the MPA evaluative criteria much earlier in the process. For example, a draft Regional Profile could be built by staff in advance of the first meeting. A provisional outline of regional objectives could also be built from the Central Coast project. I-Team colleagues suggested that, in hindsight, they could have imagined 3 months of preparation work before the CCRSG convened. Ideally, the value and acceptability of these upfront steps should be informed by the stakeholder assessment interviews.
6. Consider the merits of spacing RSG meetings at 6-week intervals to allow more extensive interim analytical work and work team meetings and caucuses. Strike a balance between a slightly more relaxed pace and the attention-getting “just in time” staff analysis, but build in a time buffer.
7. Structure main RSG meetings largely as plenary meetings, and convene them in alternating parts of the region to accommodate different stakeholders. Convene interim work team meetings in particular subregions to focus on subregion-specific issues and concerns.

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<sup>5</sup> It has been observed by some of our colleagues that building unanimous agreement on marine resource issues is very difficult. While we agree with this sentiment, we have seen that unanimous consensus is possible given the proper incentives, statutory guidance, aggressive negotiation of a single-text agreement, and a well-enforced deadline. CONCUR recently facilitated an Take Reduction Team under the Marine Mammal Protection Act that resulted in unanimous agreement on a Take Reduction Plan to reduce the incidental bycatch of pilot whales and Risso’s dolphins by the Atlantic pelagic longline fishery. While the statutory context is different, it may be worth looking at similarities and differences of the two projects.

8. Ensure that the MPA Decision Support Tool, or its analog, is fully functional and available in advance of convening the first work session on MPA delineation. Ensure that supporting GIS map layers are updated, complete, and accessible.
9. Provide stakeholders with a clearer blueprint of the look and feel of the final work product. (Note: we specifically proposed this step very early on in the CCRSG process, but it seemed to be too daunting a task to complete. And, there were many aspects of the process design and analytical methodology that evolved over the course of the project.)
10. Streamline the creation of regional objectives. In the CCRSG process, the regional objectives ended up playing less of a role in MPA package design than SAT guidance on MPA size, spacing, and habitat representation (although regional objectives still played a role in the development of a monitoring and evaluation program). This step could be significantly streamlined by starting with a good first cut of regional objectives (i.e., not brainstorming them from scratch) and clarifying for stakeholders the role that the regional objectives will play in MPA package delineation.
11. Increase support for stakeholder caucusing within and across interest groups (both in meetings and during interim work sessions). The facilitation of the Package 1 proponents in November was reportedly helpful in bringing the caucus to agreement. But, at the same time, we should look for ways to reinforce the expectation that cross-interest work teams will produce single recommendations for consideration in plenary.
12. Structure meeting agendas to provide greater opportunities for robust dialogue and exchange of information and views between the RSG and the SAT.
13. Clarify early in the process the BRTF's role relative to the RSG's alternative MPA packages and the BRTF charge to select a preferred alternative. Consider bounding the role of the BRTF with regard to MPA package development to reviewing and offering comments on RSG-derived packages, and identifying a preferred alternative without hybridizing or amending RSG packages.
14. Adjust the schedule and process design so that the full RSG is still intact when the BRTF reviews candidate alternatives.
15. Continue to derive lessons learned, and "go to school" on this and later regional processes. Explicitly document process choices, results, and the apparent causes of success or shortcoming, and continue refining the approach.

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## **Appendix A – Key I-Team Members**

### **MLPA Initiative**

John Kirlin, Executive Director

Michael DeLapa, Central Coast Project Manager

Michael Weber, Senior Project Manager

Melissa Miller-Henson, Operations & Communications Manager

Francine Edralin, Administrative Assistant to Executive Director

Rita Bunzel, Central Coast Regional Operations/Communications Manager

Amy Boone, Policy Analyst

Mary Gleason, Principal Marine Resources Planner, The Nature Conservancy

Evan Fox - Assistant Planner

### **Department of Fish and Game**

Mr. John Ugoretz, Nearshore Ecosystem Coordinator/Central Region Manager

Mr. Paul Reilly, Senior Marine Biologist: Central region coordinator

Mr. Chris Ball, Research Analyst I

Ms. Maura Leos, Office Technician

Mr. Paulo Serpa, Contracted GIS Staff

### **Consultants**

Don Maruska, Strategic Planning Consultant, Don Maruska and Company, Inc.

Kirk Sturm, Outreach Specialist, Sturm and Associates

### **Facilitation Services**

Scott McCreary, CONCUR, Inc.

Eric Poncelet, CONCUR, Inc.

## **Appendix B – Interview Instrument for Stakeholder Assessment**

### **Your Background:**

1. In brief, please tell us a little about your professional background and your current position and responsibilities.
2. What has been your involvement to date in discussions related to the establishment of Marine Protected Areas (MPAs) under the MLPA?

### **Your View of the MLPA Initiative and Your Interests:**

3. In your view, what is the MLPA Initiative trying to achieve, and what is the role of the CCRSG?
4. What are your organization's interests in the MLPA and the establishment of an improved network of MPAs for the central coast?

### **Learning from Past Efforts:**

5. Were you involved in past efforts to recommend a network of Marine Protected Areas? In your view, what worked in these efforts, and what could have been done better?

### **Useful Approaches:**

6. What are the keys to success for the CCRSG and the project more generally?
  - [Probe] What would help you contribute most productively to the CCRSG?
  - [Probe] Do you know of past similar stakeholder collaborative efforts that might serve as helpful models for this project? What key elements of these past efforts made them successful?
  - [Probe] What opportunities are there to integrate the diverse stakeholder interests involved in the development of a proposal for effective networks of MPAs as required by the MLPA?

### **Issues to be Addressed:**

7. In your view, what are the key challenges or barriers facing the project?
  - [Probe] What concerns do you have with the CCRSG's role and how it operates?
  - [Probe] Participants in the CCRSG represent a wide variety of stakeholder perspectives. CCRSG meetings will also be supported by MLPA and DFG staff as well as technical expertise in the form of a Science Advisory Regional Sub-Team.
    - Do you have any questions or concerns about the role of MLPA or DFG staff in this project or the credibility of the scientists in the mix?
    - What could we do to help clarify these respective roles?

### **Process Design and Preparation Needs:**

8. *Representation.* You should have already received a list of the CCRSG representatives. The aim has been to produce a representative stakeholder body. What is your view on the representation?
9. *Meeting structure.* [Describe anticipated meeting schedule/locations and sub-group structure.] Are you comfortable with northern representatives attending the meetings focused on southern goals/profiles and southern representatives attending the meetings focused on northern goals/profiles?

10. *Participation and scheduling.* The first CCRSG is scheduled to take place in the Monterey Bay area on June 8-9 (1.5 day meeting). Future meeting dates are anticipated as follows [review draft schedule prepared by I-Team].
  - a. Do you anticipate being able to attend all of these meetings? Which are you likely to miss?
  - b. Are you willing to commit to work with your alternate to ensure continuity of representation of your interests? How do you envision coordinating with him/her?
11. *Building on past efforts.* [Describe past MLPA processes and outcomes—rounds 1 and 2.] Based on your knowledge of past MLPA efforts, what is the most appropriate way to build on past work regarding:
  - a. Development of regional goals
  - b. Development of regional profiles
  - c. Evaluation of existing MPAs
  - d. Recommendation of a network of MPAs
12. *Information needs.*
  - a. What specific information would be helpful to support these deliberations? Please recommend specific documents or presenters.
  - b. Are there key documents from past processes that would be particularly useful?
13. *Ground Rules.* When facilitating collaborative groups, we typically put forward draft ground rules that cover areas such as “Participation,” “Representation,” “Information Sharing,” and “Media Conduct.” What ground rules would you recommend including to help members work together effectively?

**Other Comments, Questions, or Advice**

14. Do you have any other questions, comments or advice for us? You are welcome to send us any additional thoughts by email (eric@concurinc.net).

## Appendix C – Assessment Report

# Stakeholder Assessment Memorandum

**Date:** June 6, 2005

**To:** Central Coast Regional Stakeholder Group Members

**From:** Scott McCreary and Eric Poncelet, CONCUR, Inc.

**Re:** Stakeholder Assessment Memorandum, CCRSG Process

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This Stakeholder Assessment Memorandum presents our summary findings from interviews we conducted with thirty-one primary members of the Central Coast Regional Stakeholder Group (CCRSG).<sup>6</sup> These interviews, and this Memorandum, represent a key part of our preparation to facilitate the CCRSG process.

Twenty of the interviews were conducted in person; the rest were conducted by telephone. Alternate members were not interviewed.

Our overarching finding is that appointees are taking the Marine Life Protection Act (MLPA) Initiative central coast effort very seriously, willing to commit the time, and taking steps to participate effectively. Nearly all appreciated having the opportunity to influence proposals for Marine Protected Areas (MPAs) in the Central Coast region. Many anticipated that the deliberations would be challenging, but most also see opportunities to find common ground.

This memorandum is organized into four main sections. Section A summarizes the interests expressed by the stakeholders. Section B summarizes key views on the project, highlighting potential challenges and keys to success. Section C synthesizes key information needs called out by the participants. Finally, section D summarizes advice from the CCRSG members to project staff to help prepare for the Central Coast project.

### A. Stakeholder Interests

In the interviews, respondents expressed a wide variety of interests in relation to the MLPA and the MLPA Initiative's Central Coast Project. Many of the respondents also acknowledged that they had multiple interests at stake and thus did not feel comfortable being pigeonholed into a single interest category.

Many of the interests expressed were common across all of the stakeholder perspectives. One common interest was in ensuring the continued health of marine

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<sup>6</sup> This represents the complete set of CCSRSG members appointed as of May 31, 2005.

resources along the Central Coast. Other commonly-held interests included: supporting sustainable fishing, conserving fragile habitat, designating Marine Protected Areas (MPAs) of sufficient size to enable assessment of meaningful results, accommodating recreational users, supporting continuation of fishing communities/culture, and ensuring that decisions are based on accurate information and built on strong scientific foundation.

Respondents also expressed a variety of hopes that they had regarding the CCRSG process. These included a desire to produce recommendations with strong, diverse stakeholder support; making rapid and sustained progress in the CCRSG meetings; and having an open, transparent, and fair stakeholder process characterized by mutual respect and acknowledgement of legitimacy of different interests at the table. Many expressed that hope that the CCRSG recommendations would be given considerable weight by the Blue Ribbon Task Force and the Fish and Game Commission and that political considerations expressed at the level of the Commission would not overturn CCRSG recommendations, particularly if they earned broad support at the CCRSG level.

## **B. Views on the Project – Potential Challenges and Keys to Success**

### **1. RSG balance and composition.**

Most participants found the composition of CCRSG to be reasonably well balanced and the CCRSG to be largely composed of people likely to participate in a constructive manner. However, there were some concerns expressed (see point 2). We heard a few comments from both consumptive and non-consumptive representatives that their interest group was underrepresented. This was more strongly expressed by non-consumptive representatives. Consumptive representatives pointed out some of the difficulties associated with consistent participation by fishermen, due to their need to out make a living rather than participating in meetings.

We also heard that certain key perspectives were potentially missing. Examples cited included those of: local governments that are home to fishing communities (mentioned most often), the Monterey aquarium, fishing interests out of Point Arguelo, an “old guy” with longstanding knowledge of fishing conditions, peer agencies with a stake in coastal management, hospitality industry/tourism, an other person from the south, and a “bird person”.

### **2. Participation.**

Most of the respondents found the CCRSG to be composed of people likely to participate in a constructive, collaborative manner. Several cautioned us to watch for tactics that could slow or derail the process. These could include a tendency to wordsmith obsessively; inclinations to revisit the text of the MPA or the framework, tendencies to request more information to cause delay; confrontational, oppositional styles of engagement; entrenched positions; and supporting litigation as a means to block implementation of the results of the initiative. Respondents urged the facilitation team to exercise strong direction

and guidance of meetings to avoid these tactics and instead help the full group to sustain its momentum.

Most respondents indicated their intention to attend all of the monthly meetings. A few stated the need to send their alternates at least part of the time. In general, CCRSG members preferred a delayed starting time and early finish time for two-day meetings, as this provides some time to travel between the Morro Bay and Monterey areas. Many of the participants expressed a desire to schedule future meeting dates as soon as possible.

### 3. **Science Team role and composition:**

There are multiple concerns, expressed by a wide range of CCRSG members, about whether the role of the science teams has been sufficiently established. There are two main issues here.

- First, several participants questioned whether input from science advisors was being so constrained as to limit the meaningful contributions of scientific information to the MLPA process. One suggested, "Maybe there's been an over-adjustment from the push back that DFG got when it rolled out draft maps in Round 1". Many participants also expressed confusion as to the role of the Science Advisory Regional Sub-Team in the CCRSG effort. Many of the respondents supported the strategy of convening work teams composed of mix of CCRSG and science team members as a way of bolstering direct interaction among the stakeholders and science advisors.
- Second, many respondents (including a majority of the fishing representatives interviewed) expressed concerns that, on the whole, the Science Advisory Team (SAT) is not yet perceived as sufficiently objective. Among the concerns expressed were that some members of the SAT are overly inclined to view MPAs favorably as a central management tool (for reasons of professional advancement or an inclination towards environmental advocacy). Others observed that that "skeptics" and those with a strong grasp of socio-economic issues are underrepresented on the SAT. A few of these respondents suggested that lack of stipends may be a factor contributing to a potentially skewed distribution of SAT participation. Some of the CCRSG members recommended making funds available to support the participation of other scientists, perhaps in a peer review role. Several of the respondents cautioned, however, that the CCRSG process avoid becoming a battleground between opposing scientists. To address this concern, several respondents recommended inviting presentations from scientists who have different perspectives from current SAT members.

### 4. **Project funding**

Many respondents, including several of those representing the fishing community, expressed concern regarding both the funding source and funding mechanism for the MLPA Initiative. These participants viewed the Packard Foundation in particular as having a pro-conservation agenda that is sometimes

expressed as an “anti-fishing” orientation. Several of these participants described this as a “conflict of interest” and questioned the legitimacy of the process. Others recognized the potential conflict of interest but did not see this dynamic as unusual for a process that remained ultimately political. When asked how questions of the project’s legitimacy might be addressed, participants generally responded that the project would have to demonstrate itself as open, transparent, and inclusive of stakeholder input. As one stakeholder noted, the “proof will be in the pudding.” A few others agreed that checking in with concerned stakeholders at various steps in the process might also be helpful.

#### **5. Schedule and timeline.**

Nearly all respondents noted that the timeline is ambitious. Many expressed the concern that the CCRSG will not have enough time to complete its stated goals. Several of these same participants, however, also acknowledged that the compressed time frame may also be an asset by serving to focus people's attention. Others expressed the view that the aggressive timeline is just what the process needs. Some of these respondents recommended developing a clear work plan with steps and milestones well laid out, and revisiting this work plan periodically.

#### **6. Taking account of concurrent initiatives.**

There was wide recognition of the need to take account of (but not get bogged down in) concurrent policy initiatives and to ensure that the MLPA process does not duplicate or conflict with these. Key policy initiatives mentioned included:

- Monterey Bay National Marine Sanctuary and the Sanctuary's MPA process.
- California's stated commitment (in the Constitution and Coastal Act Policies) to maintain and expand public access to coast
- Local initiatives focused on resolving local use conflicts in Monterey (which involve city jurisdiction)
- Basin Plan regulations of water quality, including agricultural and urban runoff
- NOAA Fisheries (Sustainable Fisheries) effort on Central Coast—essential fish habitat initiative
- Existing fishery management regulations

Some respondents suggested that the MLPA initiative would be more embraced if seen as “integrating” multiple initiatives. Others cautioned that the MLPA not be used to solve problems (e.g., water quality, fishery management) that should better be addressed via other more appropriate policy/regulatory instruments.

#### **7. Regional Stakeholder Group/Sub-group structure and operation**

Participants expressed strong support for the decision to form a single stakeholder group composed of multiple interests and charged with assisting in the development of multiple MPA options for consideration by the Department of Fish and Game and the Fish and Game Commission. While a few respondents said that the size of the group might prove to be unwieldy, nearly all of them supported the sub-group structure as a means of increasing participation and

efficiency. Many said "Good idea" when we explained that the rationale that the assignment is to produce a suite of options for the full Central Coast region, with the potential to make valuable tradeoffs for the whole the region. A few participants suggested that during the north and south sub-group meetings, emphasis be placed on those stakeholders with the greatest knowledge of those respective areas.

Nevertheless, respondents expressed varying degrees of uncertainty regarding the extent of CCRSG's decision-making role. Some were also not clear on the role of the CCRSG in relation to the ultimate decision-making bodies. Others questioned the degree to which the CCRSG could frame its own issues or whether these had already been framed in a top-down fashion. Still others desired clarity on the decision rules by which the CCRSG would operate.

#### **8. Intended goals of MLPA and roles of respective participating groups**

Many participants were unclear as to the end goal and end product of the CCRSG and the MLPA process. Accordingly, CCRSG members articulated a wide range of views as to the intended goal of the MLPA Initiative. Some viewed it as focused on marine resource conservation, while others described it as oriented toward fishery management. Some saw the goal as involving the consolidation or reorganization of existing MPAs, while other saw it as involving the expansion of existing MPAs. Many of the fishers expressed the concern that the ultimate intent of the MLPA was to increase close fishery closures, which could put them out of business.

Respondents also expressed a wide range of views as to the need for and expected benefits of the MLPA Initiative. Some described the MLPA as imperative to ensure the protection of the State's marine resources, while others believed that no new MPAs were needed given the current health of many fisheries.

As well, many respondents expressed confusion or lack of clarity over the role of the CCRSG relative to the Science Sub-Team, the Blue Ribbon Task Force, and the Fish and Game Commission. Some of these respondents were also concerned about the relationship between the CCRSG and the Master Plan Framework. Still others were confused about the role and selection of alternates. Nearly all of the respondents requested that the MLPA Initiative staff provide additional role clarification along these lines.

#### **9. Handling information developed in previous MLPA efforts**

Many, although by no means all, of the participants were familiar with some of the information developed in earlier efforts to implement the MLPA. Respondents expressed divergent views as to how information produced in previous rounds of MPA activity should be folded into this Central Coast process. In particular, several respondents commented on the provisional draft maps that came out of from Round 1 (including the public workshops) of the MLPA process. In general, these people cautioned against "reintroducing" the DFG maps and

suggested instead that the maps be used as "reference." Others suggested simply making available the "rationale" or "criteria" that went into the preparation of the maps, but not the maps themselves.

Given the compressed schedule of the CCRSG process, many recommended that stakeholders be provided with something to react to. Several added that the process does not have the time to generate all of the science from scratch.

#### **10. Anticipating potential areas of contention**

Several stakeholders noted that one key area of disagreement within the CCRSG would likely focus on key locations along the Central Coast—in particular, the coastlines in Monterey and Carmel Bays. Participants referred to these as "hot spots" that could invite lengthy discussion. Some advised taking steps to place localized use conflict in the context of the broader Central Coast project.

#### **11. Adaptive management for project implementation**

More than half of the participants were concerned that the results of the MLPA process (and especially the designation of new MPAs) would get "locked in" to place without a robust opportunity to revisit and reopen these decisions. They advocated that the CCRSG's proposal to the Fish and Game Commission specify a process for enforcing, monitoring, and revising the recommended MPA networks. Some feared, however, that funding would not be available to support this later step.

#### **12. Facilitation Team Expertise and Style.**

Respondents generally expressed the view that it was useful to have facilitators with experience in marine resource issues and urged that we adopt an active, directive facilitation style to stay on track. One respondent observed, "It seemed like we spent two whole meetings just on ground rules last time." Several advised us to strike a balance between attending closely to process needs and ensuring that substantive topics are discussed thoroughly. Many others cautioned against allowing the process to become derailed due to a lack of focus on the goals of the CCRSG or stakeholder efforts to address issues external to the intended scope of the project (e.g., debating the merit of MPAs or the legitimacy of the Master Plan Framework).

On the whole, respondents offered the view that the up front interviews and face-to-face meetings with the facilitation team were a good idea.

### **C. Participants identified several information needs.**

Participants identified a number of potential information needs. While there was some divergence as to whether all of these information sources are needed, in general, there was broad agreement that most of them would be valuable. As well, there was a strong desire expressed to receive this information or analytic tools as early in the process as possible. The information needs identified fell into the categories of technical information needs and process information needs as follows:

#### Technical information needs

- Description of existing types of MPAs
- Maps or other graphic tools of all MPAs, as well as "de facto MPAs" (e.g. the area off Vandenberg, rockfish conservation area), including rationale
- Status of performance of existing MPAs in California
- A concise summary of experience from other regions showing how MPAs perform (though some discounted the value of experience from tropical ecosystems)
- Status of species and habitat, including endangered species
- Location of spawning areas
- Maps or overlays showing fishing effort
- Maps of access points and haul out points
- Identification of pollution sources and anticipated pollutants of the future
- Socio-economic data for fishing
- Information on the benefit of "networks"
- Definition of terms: network, "replication" of MPAs, "best readily available science", conservation (vs. protection),

#### Process information needs

- Summary of existing regulations applying to the Central Coast region (NOAA Fisheries FMPs, Central Coast Basin Plan, etc.)
- Summary of existing collaborative efforts (and their goals) in the central coast region (e.g., Sanctuary, Marine Interest Group, etc.)
- A summary that clearly lays out the role of the various components of the project (e.g., role of DFG in the process, role of Science Advisory Sub-Team, intent of the MLPA, role/influence of funding institutions)
- A description of how Master Plan Framework was produced and approved.
- Participants also expressed general support for a decision support tool that allows simulation of alternate MPA boundaries and computation of areas and ratios included. Ideally, this tool would be linked to another tool that assesses economic impact of MPA boundaries.
- Brief history of past processes (rounds 1 and 2), to get everyone up to speed.
- Recap of changes in regulations, science, or biological status since Round 2 (e.g., new rockfish closure, fewer trawlers, new GIS data, changes in MPA science/findings)
- A clear description of the intended look and feel of final product from the Central Coast effort.

### **D. Meeting Preparation Needs – Ground Rules**

When asked, respondents offered a wide variety of potential ground rules that they believed would be helpful in guiding the work of the CCRSG over the coming months. Many also emphasized the importance of enforcing ground rules. Key recommendations include the following:

- Media contact. About half of the respondents commented on the need for a ground rule governing media contact. Several offered caution, describing accounts of past collaborative processes that had run into difficulties when participants began misrepresenting the process or each other's interests in the press. Respondents discussed the following options: 1) deferring contact with the media until CCRSG makes its final recommendations (most widely mentioned), 2) preparation of jointly produced media contact, 3) stakeholders agree not to represent others in the media.
- Decision rule. Many of the respondents discussed the need to clearly establish how the CCRSG would make decisions. Importantly, most respondents did not want to be hamstrung by either Robert's Rules of Order (where all decisions are made by a simple majority) or an unyielding need to reach total unanimity. Most expressed a preference for a decision rule that emphasized consensus building, while noting that achieving complete unanimity on substantive work products might be unlikely. Some participants noted that a decision rule fostering consensus could help address concerns that some participants may have if the CCRSG lacks exact numerical parity among interest groups.
- Respondents recommended a ground rule to guide communication between stakeholders between meetings.

Other specific ground rules recommended by respondents included:

- Everyone will help keep the process on track.
- CCRSG participants will make efforts to represent their constituencies, keep them informed, and strive to ensure buy-in.
- Interaction will be positive and respectful. Personal attacks will be avoided.
- Participants will share and not withhold pertinent information.
- Participants will avoid sidebars during CCRSG deliberations (one person will speak at a time).
- Primary CCRSG members will keep their alternates briefed so the alternates can step in and keep the process moving forward in an effective fashion. This will help minimize "backsliding" during the meetings.
- Participants will disclose their interests (to avoid the pitfalls caused by hidden agendas).
- Facilitators will be prompt in their production of meeting summaries.
- Participants will focus on interests, not positions. Here, respondents recommended spending time differentiating positions from interests and highlighting our interest-based approach. The key concern was avoiding discussions grounded in a "win-lose" mentality.
- Participants will make a "good faith effort" and commitment to achieving the goals of the CCRSG
- Participants will strive to think creatively and be open-minded.
- Participants will do more than simply oppose the ideas or proposals made by others; they will also propose alternative solutions.
- Participants will avoid revisiting past decisions.

Overall, these suggestions coalesce around a reasonable series of guidelines that are incorporated in the proposed Ground Rules for the CCRSG.

## Appendix D – Summary of CCRSG Key Process Decisions

### Draft Summary: MLPA Central Coast Regional Stakeholder Group (CCRSG) Key Process Decisions

Event	Key Objectives	Key Process Decisions	Results
<b>Master Plan Framework</b>		<p>The adopted MLPA Initiative Master Plan Framework reflects a number of important process choices made before the CCRSG was convened. Several of these we chose to reiterate and emphasize at strategic times throughout the CCRSG process. Key among these were the following:</p> <ol style="list-style-type: none"> <li>1. The charge that the CCRSG produce a suite of alternative MPA packages rather than a single consensus MPA proposal.</li> <li>2. The CCRSG is not the final decision making body. The CCRSG (along with the SAT) is serving in an advisory capacity to the BRTF, which is, in turn, serving in an advisory capacity to California Department of Fish and Game and the California Fish and Game Commission. The Fish and Game Commission is the ultimate decision maker.</li> <li>3. The MLPA calls for the use of the “best readily available science” in designing and managing MPAs.</li> </ol>	<ol style="list-style-type: none"> <li>1. BRTF approved MPF in August 2005.</li> </ol>
<b>CCRSG Preparations and Recruitment</b>		<ol style="list-style-type: none"> <li>1. Created an application for Regional Stakeholder Group membership. <ul style="list-style-type: none"> <li>• Key application fields included: Coastal community/public-at-large, fishing-commercial, fishing-recreational, ports and harbors, conservation groups, recreational (non-consumptive), government/military, research/education.</li> <li>• Selection was based on an effort to achieve <i>diversity</i> of perspectives, expertise, interests/constituencies, geographic distribution, and experience with past MLPA processes, and <i>parity</i> across consumptive and non-consumptive resource users.</li> <li>• Other key selection criteria included availability, ability to work collaboratively with other stakeholders, and access to broad communications networks.</li> </ul> </li> <li>2. Made major effort to identify and recruit alternate members.</li> <li>3. Developed provisional concept of alternating North and South meetings, with meetings conceptualized as replicates of each other (concept persisted into mid point of CCRSG process).</li> <li>4. Adopted a standard protocol for reviewing CCRSG documents (e.g., CCRSG meeting agendas, technical reports, PowerPoint presentations, etc.) in which draft materials were circulated to the entire MLPA Initiative team (I-Team) for review and comment prior to finalization. This made use of the broad expertise and experience of I-Team members, although it did mean that I-Team members received lots of MLPA email.</li> </ol>	<ol style="list-style-type: none"> <li>1. CA Department of Fish and Game Director and BRTF Chair appointed 32 primary and 24 alternate CCRSG members.</li> </ol>

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		Note: Appointment of CCRSG members largely preceded recruitment of the facilitators. The facilitators were chosen by the MLPA Initiative Executive Director and appointed by DFG director	
<b>Confidential Stakeholder Interviews</b>	<ol style="list-style-type: none"> <li>1. Clarify key interests at stake</li> <li>2. Identify key concerns</li> <li>3. Better understand the issues to be resolved</li> <li>4. Anticipate potential areas of agreement and disagreement</li> <li>5. Explore key preparation needs</li> <li>6. Begin establishing rapport with CCRSG members</li> <li>7. Identify key information needs</li> </ol>	<ol style="list-style-type: none"> <li>1. Recommended and conducted confidential stakeholder interviews with all appointed primary CCRSG members.</li> <li>2. Conducted as many in-person interviews as possible (approximately 20 out of 30) to build relationships, trust, and rapport. The rest were conducted by phone.</li> <li>3. Developed interview questions that elicited information on: personal background/experience, views of the MLPA Initiative, stakeholder interests, key issues to be addressed, key lessons learned from past efforts (e.g., past MLPA efforts as well as the Channel Islands process), keys to success of the CCRSG and the project more broadly, and process design recommendations (e.g., regarding representation, meeting structure, participation and scheduling, building on past MLPA efforts, information needs, and ground rules).</li> <li>4. Used the interview process to introduce the facilitation team and to pass on key information on the project (e.g., information on likely meeting schedule—meetings in both Monterey and Morro Bay areas, expectation of need for work teams to meet between plenary meetings to help generate draft work products)</li> <li>5. Incorporated the findings of the stakeholder interview process into CCRSG process design, such as the development of ground rules (see description from first CCRSG meeting below), the design of kick-off meeting goals and materials (e.g., goal of coming to closure quickly on ground rules, meeting materials clarifying project goals and roles), the determination of key information needs, and even seating arrangements (i.e., who sits next to whom at the meetings).</li> <li>6. Prepared and presented a Stakeholder Assessment Memorandum summarizing the results of our findings at the first CCRSG meeting. The Memorandum candidly discusses multiple concerns, including funding mechanism, composition of the Science Advisory Team (SAT), and concerns about individual members and their potential behavior</li> </ol>	<ol style="list-style-type: none"> <li>1. Stakeholder Assessment Memorandum presented to CCRSG at first meeting.</li> </ol>

<p><b>June 8-9, 2006 CCRSG meeting</b></p>	<ol style="list-style-type: none"> <li>1. Introduce CCRSG members and project support staff</li> <li>2. Review and adopt ground rules</li> <li>3. Review project goals and work plan</li> <li>4. Review key findings of stakeholder interviews</li> <li>5. Review background information and information needs</li> <li>6. Begin preparations for July CCRSG meeting</li> </ol>	<ol style="list-style-type: none"> <li>1. Discussed, revised, and adopted ground rules for the CCRSG. Key ground rules included:             <ol style="list-style-type: none"> <li>a. <i>Representation.</i> CCRSG members will commit to keeping their constituents informed and reporting back relevant feedback to the CCRSG.</li> <li>b. <i>Participation.</i> Discussions will focus on primary members at the CCRSG meetings. Facilitators may call on alternates at their discretion. Alternates can participate in work teams, but primary consideration is given to primary members.</li> <li>c. <i>Decision rule.</i> CCRSG will strive to achieve a high degree of consensus in their deliberations, but unanimity is not required to keep the process moving; facilitators will use “straw votes” to help the group arrive at short term decisions.</li> <li>d. <i>Cooperation with SAT.</i> CCRSG members will work cooperatively with SAT in the development of options and work products.</li> <li>e. <i>Media contact.</i> In media contact, CCRSG members will not make statements prejudging the outcome or speaking on behalf of others’ points of view; in general, media contact will be handled by MLPA staff.</li> </ol> </li> <li>2. Set and met goal of adopting process ground rules by end of first meeting.</li> <li>3. Presented briefings on the project goals and roles to create clear sideboards for the project. [Note: these messages were strategically reiterated throughout the CCRSG process.] Key messages included:             <ul style="list-style-type: none"> <li>• The project is not focused on reevaluating the MLPA.</li> <li>• A key end product is a suite of alternative MPA packages, not a single consensus package.</li> <li>• Stakeholders will have multiple other opportunities to influence the process in addition to the CCRSG meetings, including public comment at the BRTF and Fish and Game Commission meetings.</li> </ul> </li> <li>4. Took the time to place the CCRSG process within its broader context. Key information briefings to the CCRSG included:             <ul style="list-style-type: none"> <li>• MLPA goals</li> <li>• Regulatory and policy contexts</li> <li>• List of existing MPAs</li> <li>• Status of data and data collection, both existing and planned (e.g., Draft Regional Profile)</li> </ul> </li> <li>5. Requested stakeholder comment on the development of technical/scientific documents (e.g., Regional Profile). Note: this was done to support the production of other technical documents throughout the CCRSG process (e.g., evaluation of existing MPAs)</li> <li>6. Summarized results of stakeholder interviews to highlight and give voice to</li> </ol>	<ol style="list-style-type: none"> <li>1. Adopted ground rules for the RSG (see Attachment 1)</li> <li>2. Presented briefings on project goals and roles</li> <li>3. Formed three work teams to assist preparations for July RSG meeting. The focal areas for the work teams are as follows:             <ol style="list-style-type: none"> <li>1) <i>Goals and objectives.</i> The primary purpose of this work team is to provide input to staff regarding the preparation of preliminary regional Goals and Objectives. The entire RSG will discuss the topic of regional Goals and Objectives at the July RSG meeting.</li> <li>2) <i>Data presentation.</i> The primary purpose of this work team is to which information needs should be prepared as maps for RSG members.</li> <li>3) <i>Information scoping.</i> The primary purpose of this work team is to determine the scope of remaining information needs (with a key focus on pending socioeconomic information) and a timeline for generating this information. This work team will evaluate the need for additional information needs against the specific goals of the project.</li> </ol> </li> </ol>
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		<p>key stakeholder interests and concerns (e.g., regarding such issues as funding, CCRSG balance and composition, timing of the process, facilitation style, and problems with previous MLPA processes)</p> <ol style="list-style-type: none"> <li>7. Provided a description and led a group discussion on the difference between “goals” and “objectives” to assist in future CCRSG development of Regional Goals and Objectives</li> <li>8. Organized a breakout group activity inviting participants to discuss: a) how to define success in the project, b) their fears for the project, and c) things they could do to make the project a success. This gave CCRSG members another opportunity (in addition to the stakeholder interviews) to express key concerns and hopes).</li> <li>9. Convened multiple work teams (composed of CCRSG members, SAT, and staff) to assist preparations for the July CCRSG meeting. The objectives for the three Work Team included:             <ul style="list-style-type: none"> <li>• Provide input toward draft Central Coast goals and objectives</li> <li>• Determine what information needs to be presented on maps</li> <li>• Determine the scope of the remaining data needs (with a key focus on socioeconomic information)</li> </ul> </li> <li>10. During meeting debrief, identified the need to articulate policy sideboards as an integral part of meeting preparation and to plan more carefully for public comment period to avert unplanned outbursts.</li> </ol>	
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<p><b>July 7-8, 2006 CCRSG meeting</b></p>	<ol style="list-style-type: none"> <li>1. Review and provide targeted feedback toward refinement of draft Regional Profile</li> <li>2. Review and adopt regional goals</li> <li>3. Provide updates to CCRSG members on communication protocols and information development</li> <li>4. Convene work sessions and begin preparations for August CCRSG meetings</li> </ol>	<ol style="list-style-type: none"> <li>1. Used draft goals developed by interim work team to stimulate CCRSG deliberations on Regional Goals.</li> <li>2. Invited Dr. Charlie Wahle (National MPA Center) to present on the Center’s guidebook for evaluating MPA management effectiveness, with a focus on the role and importance of goals, objectives, and indicators.</li> <li>3. Established a public comment period to precede lunch on Day 1 for a logical breakpoint; agreed to poll members of public who wish to speak and allocate time among them.</li> <li>4. Added new ground rules as needed (e.g., ground rule on public comment).</li> <li>5. Established communications protocols by which CCRSG members would request and receive information: <ul style="list-style-type: none"> <li>• Process for recording and responding to science questions (involving the SAT)</li> <li>• Protocol for making other information requests (e.g., data or other information)</li> <li>• Communications with work teams</li> </ul> </li> <li>6. Established a protocol for submitting alternative MPA proposals from non-CCRSG members.</li> <li>7. Convened a small work team to respond to an editorial that incorrectly characterized one of the CCRSG’s ground rules. This represented an opportunity to model how ground rules would be implemented and enforced.</li> <li>8. Used breakout sessions to kick off interim Work Team activities.</li> <li>9. Convened two work teams to assist preparations for August meeting. Framed work team assignments as brainstorming; work teams were <u>not</u> tasked with producing unified recommendation for the plenary CCRSG. Work team objectives included: <ul style="list-style-type: none"> <li>• Develop draft Regional Objectives</li> <li>• Scope out needed socioeconomic information</li> </ul> </li> <li>10. Framed adoption of Regional Objectives as a task where a high degree of consensus would be sought.</li> <li>11. Decided to continue convening the CCRSG in plenary (i.e., and not break out into Regional North/South meetings) but to continue alternating meeting venues.</li> </ol>	<ol style="list-style-type: none"> <li>1. Reviewed and commented on draft Regional Profile</li> <li>2. Reviewed and adopted regional goals</li> <li>3. Reviewed and discussed several communications protocols, including an approach for recording and responding to science questions</li> <li>4. Received briefing on guidance for evaluating MPA effectiveness</li> <li>5. Heard public comment on the CCRSG process</li> <li>6. Convened four work sessions on the topics of: draft regional objectives, data presentation needs for future meetings, socioeconomic information scoping, and gathering additional information on the topics of low and no priority fishing sites, kelp beds, and important dives sites for mapping.</li> </ol>
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<p><b>August 10-11, 2006 CCRSG meeting</b></p>	<ol style="list-style-type: none"> <li>1. Review and discuss second draft of Regional Profile</li> <li>2. Review, discuss, and adopt Regional Objectives</li> <li>3. Review draft monitoring and evaluation report</li> <li>4. Begin preparations for the September CCRSG meeting</li> </ol>	<ol style="list-style-type: none"> <li>1. Initiated discussion of Regional Objectives with draft objectives produced by a work team. Pressed hard for adoption of Regional Objectives at August meeting. Framed draft Regional Objectives as a “recommendation.”</li> <li>2. Characterized the Regional Objectives as “provisional” to acknowledge that they still needed to be adopted by the BRTF (thus reminding CCRSG members of the link between CCRSG and BRTF work)</li> <li>3. At the end of the meeting, took an informal straw vote to gauge the level of support for the evolving provisional Regional Objectives -- to build momentum toward later approval (Question asked: “Are they a reasonable first cut, recognizing that more work is still to be done?”)</li> <li>4. Invited SAT members to present to CCRSG on important scientific topics (similar to presentations SAT members were making to the BRTF). Note: similar SAT presentations were made at several subsequent CCRSG meetings.</li> <li>5. Convened additional work team meetings to follow up on specific draft Regional Goals requiring additional discussion. Framed work team assignments as brainstorming; Work Teams were <u>not</u> tasked with producing unified recommendation for the plenary CCRSG.</li> </ol>	<ol style="list-style-type: none"> <li>1. CCRSG received an update and commented on a second draft of Regional Profile. The update included a briefing on the progress of mapping.</li> <li>2. CCRSG engaged in robust review and revision of draft provisional Regional Objectives. Participants reached substantial agreement on several specific objectives, which will be revisited in the context of the full package of objectives. Several additional issues remain to be addressed.</li> <li>3. CCRSG expressed the overall view that the draft provisional Regional Objectives are approaching a reasonable first cut, recognizing that more work is to be done. Further deliberation is scheduled for the September CCRSG meeting.</li> <li>4. CCRSG received a briefing on the anticipated SAT and BRTF review of the draft Regional Profile and the draft provisional Regional Objectives. SAT review will occur on August 30; BRTF review will take place on September 28-29.</li> <li>5. Science Advisory Team members made presentations to the CCRSG on the topics of: 1) ecosystems and ecosystems services, 2) marine habitats, and 3) the use of economic data in the design of MPAs.</li> <li>6. CCRSG received a briefing on preliminary efforts to develop an MLPA monitoring and evaluation plan.</li> </ol>
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			<ol style="list-style-type: none"><li>7. CCRSG received a briefing on the progress of the socioeconomic work team.</li><li>8. CCRSG unanimously adopted a ground rule governing public comment.</li></ol>
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<p><b>September 7-8, 2006 CCRSG meeting</b></p>	<ol style="list-style-type: none"> <li>1. Review process for completing CCRSG work</li> <li>2. Begin addressing outstanding issues of concern with a “TBD Bin” approach</li> <li>3. Review, discuss, revise, and adopt provisional Regional Objectives</li> <li>4. Begin evaluation of existing MPAs</li> <li>5. Provide update on final Regional Profile</li> </ol>	<ol style="list-style-type: none"> <li>7. Provided a robust review of the CCRSG’s overarching goals and main products as well as the anticipated process for completing the CCRSG’s work (i.e., how to get to the finish line). Prepared and displayed “display boards” in the meeting room containing this information.</li> <li>8. Presented a memo from the Chair of the BRTF reminding the CCRSG of their charge and project timeline, and specifying what would happen if the CCRSG was not able to complete its work on time (i.e., staff would review the CCRSG’s work and continue the task of assembling recommendations to be brought to the BRTF for consideration). In other words, reminded CCRSG of their BATNA.</li> <li>9. Introduced the concepts of “design considerations” and “implementation considerations” and presented these in a memorandum from staff to the CCRSG. Explained how design/implementation considerations would be used in the evaluation of MPAs. Invited CCRSG members to develop design/implementation considerations in conjunction with Regional Goals and Objectives.</li> <li>10. Created a “To be Determined (TBD) Bin” process for tracking and addressing outstanding issues. This process included specific steps by which key issues would be recorded, evaluated and addressed, and responded to in the Central Coast project. The issues typically concerned issues viewed as important but not necessarily central to the objectives of the CCRSG.</li> <li>11. Used alternate formulations of verbal and written straw ballots, to help gauge CCRSG member support for individual “Provisional Regional Objectives and Design/Implementation Considerations,” as well as the entire package. Planned use of specific techniques for individual Objectives to ensure that Regional Objectives would be ratified at the September meeting, recognizing that we lost some time in August. Used written straw ballots in part to avert scripted bloc voting. Key formulations included:             <ul style="list-style-type: none"> <li>• To help gauge support for individual objectives and design/implementation considerations that had been developed by the work team, facilitators generally used the phrasing “Who cannot live with this text?”</li> <li>• For three highly contested objectives, facilitators composed a written straw ballot and asked participants to rank the options under each objective in order of preference. This produced a distribution of “points,” which were then reported back to the group.</li> <li>• To adopt the suite of objectives and design/implementation considerations, facilitators asked CCRSG members whether they could “support the entire package”.</li> </ul> </li> </ol>	<ol style="list-style-type: none"> <li>1. Initiative staff reviewed for the CCRSG the process for completing CCRSG work.</li> <li>2. Initiative staff presented guidance on the relationship between regional objectives, design considerations, and implementation considerations. Staff will present this approach to the BRTF in late September.</li> <li>3. Initiative staff presented an approach for dealing with “TBD bin” issues. Staff also presented its recommendations regarding how to address such TBD issues as water quality, top end predators, safety, Pismo clams, and desalination plants.</li> <li>4. CCRSG members discussed, revised, and unanimously adopted a package for provisional regional goals, objectives and design and implementation considerations. MLPA Initiative staff will present this package to the Blue Ribbon Task Force (BRTF) at its September meeting and request BRTF review and guidance.</li> <li>5. Staff will present a staff recommendation and also request guidance on two key issues resulting from the CCRSG deliberations on the package: socioeconomic considerations, and the inclusion of larval retention areas as a habitat type.</li> <li>6. Several new issues were added to the TBD bin, including the appropriate level for assessing MPA networks, the appropriate level for replicating marine</li> </ol>
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		<p>12. In cases where support over possible objectives and design/implementation considerations was split, deferred final decision to the BRTF.</p> <p>13. Built flexibility into the meeting schedule to ensure that the voting would be completed by the end of the meeting.</p> <p>14. To build momentum for the next meeting, and to provide CCRSG members with the opportunity to begin addressing more tangible issues, convened breakout sessions to allow CCRSG members to provide preliminary feedback on existing MPAs. Broke out the CCRSG by North/South to encourage members to provide their expertise [Note: It was a strategic choice to keep the group together in plenary until after the regional goals/objectives had been decided and the group had turned its attention to actual MPAs.]</p>	<p>habitats, and funding assurances.</p> <p>7. Initiative staff provided an update on spatial data layers and a decision support tool.</p> <p>8. Initiative staff presented a draft framework containing criteria for evaluating existing central coast MPAs. Stakeholders provided preliminary feedback.</p> <p>9. Participants split into northern and southern central coast breakout groups and provided both information and preliminary assessments of existing MPAs. Evaluation of existing MPAs will be a major topic of discussion at the October CCRSG meeting.</p>
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<p><b>October 5-6, 2006 CCRSG meeting</b></p>	<ol style="list-style-type: none"> <li>1. Receive report back from the BRTF on key guidance</li> <li>2. Demonstrate MPA decision support tool (MPA-DST)</li> <li>3. Provide an overview of the process approach for evaluating and proposing MPAs</li> <li>4. Review the preliminary evaluation and habitat gap analysis of existing MPAs</li> <li>5. Begin producing an inventory of candidate MPA concepts, including initial evaluation and critique</li> </ol>	<ol style="list-style-type: none"> <li>1. Provided training in the use of the decision support tool (GIS mapping tool). Encouraged CCRSG members to become adept so they could use the tool without the assistance of MLPA staff.</li> <li>2. Invited the general public to propose MPA packages. Indicated that the CCRSG would be asked to take these into consideration as part of their deliberations.</li> <li>3. Organized the development of candidate MPA packages into a multi-step process intended to encourage brainstorming first before CCRSG members began assembling MPA packages:             <ul style="list-style-type: none"> <li>• Step 1 (to occur at the October CCRSG meeting): CCRSG members organize into North/South breakout groups to build an inventory of possible MPA concepts. Primaries and alternates participate equally. This was to be done in the spirit of “inventing without committing.” Participants are also invited to provide preliminary comment/feedback.</li> <li>• Step 2 (to occur at interim Work Sessions in the weeks following the October CCRSG meeting): CCRSG members to confirm accuracy of the initial candidate MPA concepts and to discuss opportunities for modifying and consolidating these concepts (with an emphasis on developing MPA concepts with cross-interest group support).</li> <li>• Step 3 (to occur in advance of November CCRSG meeting): CCRSG members to begin assembling proposed packages of candidate MPA concepts. We encouraged creation of both interest-based and cross-interest packages.</li> </ul> </li> <li>4. Used a range of facilitation approaches (soft vs. more directive) in the North/South break out groups (step 1 above); switched assignment of facilitators by groups on Day 2 to ensure that the groups completed their assigned tasks.</li> <li>5. Titled the first set of MPA packages “candidate MPA packages” to avoid the use of the term “proposal.” This would help clarify that the candidate MPA packages were not yet formal proposals.</li> </ol>	<ol style="list-style-type: none"> <li>1. MLPA Initiative staff distributed copies of the updated regional profile (v.3.0).</li> <li>2. Initiative staff briefed the CCRSG on the results of the September BRTF meeting.</li> <li>3. Master Plan Science Advisory Team (SAT) members conducted three informational presentations.</li> <li>4. Department of Fish and Game staff updated the CCRSG on current work on groundfish hotspots.</li> <li>5. Initiative staff provided an overview and demonstration of the MPA-DST</li> <li>6. Initiative staff presented a draft evaluation and habitat gap analysis of existing central coast MPAs.</li> <li>7. CCRSG members began building an inventory of candidate MPA concepts.             <ol style="list-style-type: none"> <li>a. CCRSG members initiated discussions on refining existing MPAs.</li> <li>b. CCRSG members initiated development of new candidate MPA concepts and provided initial commentary, critique, and refinement.</li> </ol> </li> <li>8. Initiative staff outlined next steps in developing candidate MPA concepts.</li> </ol>
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<p><b>November 9-10, 2006 CCRSG meeting</b></p>	<ol style="list-style-type: none"> <li>1. Present and discuss initial candidate MPA packages</li> <li>2. Provide CCRSG members with opportunities to caucus and refine or create new candidate MPA packages</li> <li>3. Outline the CCRSG’s presentation to the BRTF on candidate MPA packages</li> <li>4. Plan next steps for the December CCRSG meeting.</li> </ol>	<ol style="list-style-type: none"> <li>1. Due to the multiple resource use interests existing in the Monterey Peninsula area, encouraged that initial packages not get too hung up initially on addressing MPAs for this area.</li> <li>2. Opted not to encourage inclusion of the “Initial Draft Concept” or “Revised Draft Concept” in the CCRSG’s deliberations unless requested by CCRSG members. [Note: the Initial Draft Concept was a proposal for a statewide MPA network developed largely by DFG staff and scientific experts as part of the initial effort to implement the MLPA. After significant pushback from stakeholders, DFG conducted a series of public workshops to solicit stakeholder feedback on the Initial Draft Concept. The Revised Draft Concept was the outcome of this process, although it was never made public.]</li> <li>3. Scheduled interest-based caucusing opportunities to revise/improve the candidate MPA packages per feedback received from the entire group. Encouraged during this period the creation of new candidate MPA packages that sought to integrate the other packages and build on apparent areas of agreement.</li> <li>4. Created evening activities (e.g., dinner plans with semi-private rooms) conducive to continued caucusing.</li> <li>5. Offered extensive technical, scientific, and facilitation support to sponsors of individual candidate MPA packages so they could continue to revise/refine their packages between meetings.</li> <li>6. Encouraged package proponents to touch base with broader constituents between meetings to inform further revisions of packages.</li> <li>7. Asked the BRTF member in attendance to encourage convergence among the alternative MPA packages. [Note: the BRTF members in attendance were commonly invited to convey key messages to the CCRSG (in a way that carried the weight of the BRTF).</li> </ol>	<ol style="list-style-type: none"> <li>1. CCRSG members presented and discussed candidate MPA packages. Initially, two packages were introduced: one by commercial and recreational fishing interests, and the other by conservation interests.</li> <li>2. CCRSG deliberations on candidate MPA packages was supported by a series of staff documents and analyses:             <ol style="list-style-type: none"> <li>a. MLPA Initiative staff distributed the updated Evaluation of Existing Central Coast MPAs (dated November 4, 2005).</li> <li>b. Ecotrust presented an overview of its research methods and results. Maps containing key microblock information were made available to the CCRSG.</li> <li>c. Initiative staff provided an overview of the “external” candidate MPA package proposals, assessing the sufficiency of each proposal in meeting the terms of the MLPA Initiative Master Plan Framework (MPF).</li> </ol> </li> <li>3. CCRSG members caucused to discuss possible modifications to the initial candidate MPA packages. Confirming these changes will require further checking back with stakeholder constituencies.</li> <li>4. A group of CCRSG members began developing a hybrid candidate package built on emerging areas of convergence</li> </ol>
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			between the two initial internal packages. 5. CCRSG members discussed preparing for upcoming MLPA Initiative Science Advisory Team (SAT), BRTF, and CCRSG meetings.
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<p><b>December 6-7, 2006 CCRSG meeting</b></p>	<ol style="list-style-type: none"> <li>1. Report on SAT guidance, BRTF review, and staff analysis on candidate MPA packages</li> <li>2. Invite presentation and discussion on revised candidate MPA packages</li> <li>3. Assess CCRSG support for respective candidate MPA packages</li> <li>4. Outline presentation for January BRTF meeting</li> <li>5. Conclude plenary CCRSG work with thanks and appreciation</li> </ol>	<ol style="list-style-type: none"> <li>1. Presented results of SAT and BRTF deliberations as key guidance for CCRSG members.</li> <li>2. Presented on the areas of convergence between the candidate packages so CCRSG members could more readily see where they were close and where they were not.</li> <li>3. Facilitated Package 2-specific breakout group to produce a unified Package 2 recommendation on Monterey Bay-Pacific Grove portion of study area.</li> <li>4. Conducted straw voting (using written ballots) for the primary purposes of:             <ul style="list-style-type: none"> <li>• Winnowing the number of packages (including external MPA packages) to a more manageable number.</li> <li>• Creating the opportunity for CCRSG members to express relative preferences.</li> <li>• Providing the opportunity for CCRSG members to reflect on potential revisions that could make specific packages more acceptable.</li> </ul> </li> <li>5. Organized multiple (3) rounds of straw voting and built flexibility into the meeting schedule to ensure that the voting would be completed by the end of the meeting:             <ul style="list-style-type: none"> <li>• Round 1 (Day 1): Purpose was to winnow the number of packages. Participants were asked to indicate their single-most preferred package. Facilitators established a threshold prior to the vote that packages needed to receive at least 3 votes (approximately 10% of the CCRSG primary members) to move to the next round.</li> <li>• Round 2 (Day 1): Purpose was to rank the remaining packages (1=first choice, 2=second choice, etc.) as a means of encouraging further convergence and informing future possible revision. Participants were also invited to identify packages as “unacceptable” to further clarify the ranking. Facilitators presented the number of first choice, second choice, etc. votes as well as the number of “unacceptables” received by each package. Following presentation of the round 2 voting results, CCRSG members were provided with extended caucusing time to meet both across and within interest groups to discuss possible refinements and look for ways of narrowing areas of divergence.</li> <li>• Round 3 (Day 2): Purpose was to:                 <ol style="list-style-type: none"> <li>a) rank the packages in terms of preference (1=first choice, 2=second choice, etc.)</li> <li>b) score the packages in terms of level of acceptability (A=acceptable, B=needs minor changes, C=needs moderate changes, D=needs major changes)</li> <li>c) provide CCRSG members with the opportunity for each package</li> </ol> </li> </ul> </li> </ol>	<ol style="list-style-type: none"> <li>1. CCRSG members responded to BRTF request to winnow and evaluate candidate MPA packages. Specifically, the CCRSG winnowed the number of packages under their active consideration from 8 packages to 3.</li> <li>2. CCRSG members ranked the candidate MPA packages and listed specific revisions to improve those packages that were not their preferred ones.</li> <li>3. CCRSG members continued the process of seeking to increase the areas of convergence and decrease areas of divergence among remaining packages.</li> <li>4. CCRSG members identified “point persons” for each of the three active candidate MPA packages to assist future coordination and consultation between stakeholders and staff.</li> <li>5. CCRSG members received guidance from Initiative staff on how to complete their candidate MPA packages, including the development of objectives for individual MPAs, by the December 15, 2005 deadline.</li> <li>6. CCRSG members received a briefing on next steps in the Central Coast process.</li> <li>7. The CCRSG concluded its work as a formal body.</li> </ol>
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		<p>that was not their preference to identify critical changes that would make it more acceptable.</p> <ol style="list-style-type: none"><li>6. Enlisted broad I-Team support to gather, tally, and post results of straw ballots.</li><li>7. Provided guidance from the perspective of regulators. [Note: guidance from the enforcement perspective was also provided during the work sessions prior to the November CCRSG meeting.]</li><li>8. Designated “point persons” (consisting of 2 persons) from among each of the package sponsors for continuing correspondences and consultations.</li><li>9. Concluded the work of the CCRSG as a formal body.</li></ol>	
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## Appendix E – Adopted Ground Rules

### Final Ground Rules

#### Central Coast Regional Stakeholder Group

*(Adopted by the CCRSG on June 9, 2005; revised on August 10, 2005)*

The following ground rules have been informed by confidential interviews conducted with the primary Central Coast Regional Stakeholder Group (CCRSG) members as well as CONCUR's professional experience. These ground rules are intended to foster and reinforce constructive interaction and deliberation among CCRSG members. They emphasize clear communication, respect for divergent views, creative thinking, collaborative problem solving, trust building, and the pursuit of mutual gains. The CCRSG may decide to reconsider and revise these ground rules if they appear not to be serving the CCRSG process.

#### Representation

- **RSG recruitment and selection.** CCRSG members have been selected by the director of the California Department of Fish and Game (DFG) and the chair of the Marine Life Protection Act (MLPA) Initiative Blue Ribbon Task Force. CCRSG members were selected based on professional expertise or experience, diversity of perspectives, geographic location, communication network, capability to work with diverse viewpoints, and commitment to successfully completing the central coast process by March 2006.
- **Checking back with constituencies.** CCRSG members have been recruited based upon their ability to ably represent the views of an important constituency. CCRSG members commit to keeping their constituencies informed of the CCRSG's efforts and to reporting relevant feedback to the CCRSG. In reporting back, CCRSG members will strive to integrate the views of their constituency rather than resorting to a "lowest common denominator" portrayal.
- **Seating of primary participants.** During CCRSG meetings, the following primary participants will be seated at the table: primary CCRSG members, BRTF members, Central Coast Science Sub-Team members, lead MLPA Initiative and DFG staff, and project facilitators. CCRSG alternates, other support staff, and members of the public will be seated nearby.

#### Participation and Collaboration

- **Primary and alternate CCRSG members.**
  - Primary CCRSG members will make every effort to attend all of the CCRSG meetings. Alternate members are also strongly encouraged to attend all meetings.

- Primary CCRSG members will work with their alternates to ensure that they are up to speed on CCRSG deliberations. This will enable alternates to step in effectively as needed and keep the project from “backsliding.” Primary and alternate members are encouraged to confer in advance of the meetings or during meeting breaks.
- Discussion at CCRSG meetings will principally involve primary CCRSG members, SAT members, and staff. Primary members may call upon their alternates to address issues outside of their areas of expertise. At their discretion, meeting facilitators may call upon alternate members.
- **Active, focused participation.** Every participant is responsible for communicating his/her perspectives and interests on the issues under consideration. Voicing these perspectives is essential to enable meaningful dialogue. Everyone will participate; no one will dominate. Only one person will speak at a time. Everyone will help stay on track.
- **Respectful interaction.** Participants will respect each other’s personal integrity, values and legitimacy of interests. This includes avoiding personal attacks and stereotyping.
- **Integration and creative thinking.** In developing, reviewing and revising work products, participants will strive to be open-minded and to integrate each other’s ideas, perspectives and interests. Disagreements will be regarded as problems to be solved rather than battles to be won. Participants will attempt to reframe contentious issues and offer creative solutions to enable constructive dialogue.
- **Mutual gains approach.** Participants will work to satisfy not only their own interests but also those of other CCRSG members. Participants are encouraged to be clear about their own interests and to recognize the important distinction between underlying interests and fixed positions.
- **Commitment to ground rules.** As a set of mutual obligations, CCRSG members will commit to adhere to these ground rules once they are ratified. CCRSG members are encouraged to help uphold and enforce these ground rules. If a CCRSG member consistently deviates from these ground rules, that member may be replaced by another person upon confirmation by the director of the California Department of Fish and Game and the Blue Ribbon Task Force chair.

### **Commitment to process**

- Participants will make a good faith effort to achieving the goals of the project on the schedule proposed.

- Participants will review meeting materials in advance of the meetings and come prepared to address the meeting objectives.
- Meetings will start on time. Participants who know that they will be absent, late, or have to leave early will inform project staff in advance and coordinate with their alternates as needed.

### **Identifying and Valuing Alternatives**

- CCRSG members will strive to identify and value alternative MPA proposals. They will be open to proposals from others in the CCRSG or from outside the CCRSG. The valuation process will assess, using best readily available science and information, how each alternative satisfies the goals and objectives established for the MLPA Central Coast Project. The result of this process will allow the Blue Ribbon Task Force, the Department of Fish and Game, and the Fish and Game Commission to understand how the alternatives identified will satisfy the Marine Life Protection Act.
- The CCRSG facilitation team will seek to foster an approach to meeting management and to the identification and valuing of alternative MPA proposals that maximizes joint gains and mutual benefit, and also optimizes efficiency.

### **CCRSG Decision Rules**

- CCRSG members recognize the need to make simple process agreements to move the effort forward. CCRSG facilitators will use “straw votes” to track progress and help the group arrive at short-term decisions to propel the process forward in an efficient fashion.
- In their advice-giving role, CCRSG members will strive to achieve a high level of consensus in developing and advancing alternative proposals for MPAs. However, it is not the intent here to accord CCRSG members a “de facto” veto on substantive issues, but rather to strive for an expression of proposals that earn broad support across CCRSG members’ interests. The objection of a few CCRSG members will not be grounds to impede movement.

### **Cooperation with Central Coast Science Advisory Sub-Team (Science Sub-Team)**

- CCRSG members will work cooperatively with the Science Sub-Team in the development of options and work products. The Science Sub-Team will assist by reviewing supporting and draft documents, addressing scientific issues and information provided by the CCRSG, and framing and referring policy challenges to the task force.

## **Multi-interest Work Teams**

- DFG and MLPA Initiative staffs expect that cross-interest group work teams will be an essential way to develop constructive, integrative work products during and between CCRSG meetings. The aim of such work teams is to encourage multi-interest options and work products rather than work products put forward by a single bloc or interest group. It is anticipated that work teams will meet primarily by teleconference.
- Work teams will be composed to include appropriate expertise and balance of interests. To the extent possible, work teams will be composed of primary representatives. When a primary representative is unavailable or lacks suitable expertise, an alternate representative may be selected to serve.

## **Media Contact**

- CCRSG meetings are public and will be simultaneously webcast. Audio and video archives of the meetings will be available on the MLPA website a few days after each meeting
- In general, media contact regarding the project will be handled by MLPA staff.
- CCRSG members recognize the need to maintain a balance between providing timely information to constituents and making statements to the media that could undermine the success of the MLPA process. Appropriate topics for CCRSG members to address in speaking to the media include their own group's interests or where the CCRSG is in the MLPA process. CCRSG members agree to avoid: a) making statements to constituents or the media that may prejudice the project's outcome, b) speaking on behalf of another group's point of view or characterizing their motives, or c) stating positions on preliminary proposals while they are still in development or refinement by the CCRSG.
- CCRSG members are encouraged to refer requests for additional contacts to MLPA staff or the CCRSG contact list. If needed, the CCRSG may convene a multi-interest media subcommittee to work with MLPA staff to develop briefings for the media.
- In briefing constituents, CCRSG members are encouraged to rely primarily on the Key Outcomes Memoranda produced for the meetings.

## **Public Comment**

- Designated times at CCRSG meetings will be agendized for public comment. Efforts will be made to hold public comment at consistent time slots and keyed to important CCRSG work product discussions. At all other times of the meeting, comments and discussion will be only among CCRSG members and alternates, Science Sub-Team members, and MLPA Initiative staff.

- To the extent possible, public comments will be directed toward the work effort, products, or process of the CCRSG.
- Members of the public are encouraged to convey their comments to relevant colleagues who serve as CCRSG members or alternates. Members of the public are also encouraged to submit comments in writing (via email to [CCRSGcomments@resources.ca.gov](mailto:CCRSGcomments@resources.ca.gov)). Written comments will be distributed to CCRSG members.
- Public comments will be limited to up to 3 minutes per individual speaker. The CCRSG facilitation team will exercise flexibility in allocation of speaking time depending on the number of comments.

### **Information Sharing and Joint Fact Finding**

- CCRSG members recognize that the MLPA Central Coast Project depends on using the best readily available information.
- Participants are encouraged to be as specific as possible in identifying types of information they believe will support the development of work products, including alternative proposals for marine protected areas. CCRSG members commit to share, and not withhold, relevant information. Tentative information will be treated as such.
- In the event two or more data sets or interpretations appear to conflict, participants will work collaboratively with members of the Science Sub-Team to narrow or clarify the basis of disagreement.

### **Role of Facilitation Team**

- The CCRSG facilitation team is non-partisan and will not act as an advocate for particular outcomes. The facilitators will strive to ensure that all CCRSG members clearly articulate their respective interests and to assist members to complete their work in a well-informed and efficient fashion.
- The CCRSG facilitation team will prepare Key Outcomes Memoranda to summarize the main results of the CCRSG meetings. These Key Outcomes Memoranda will not strive to serve as a transcript of the meetings; rather, they will endeavor to summarize key decisions made, issues discussed, and the next steps identified for moving the project forward. The facilitators will prepare draft and final Key Outcomes Memoranda within 7-10 days of the meetings.

## **Appendix F: September and October Game Plan Documents**

### **September Proposed Strategy—Adopting Provisional Regional Objectives**

#### **General strategy**

##### **Keys to success**

- Addressing the regional objectives is predicated on successful discussion on:
  - TBD bin (where CCRSG is comfortable that these “other issues” will be satisfactorily dealt with elsewhere).
  - Design considerations – where CCRSG is comfortable that this is an adequate bin to move important issues that do not belong as goals/objectives.
- Provide good up-front briefings (status, recommendations, rationales) of individual objectives so as not to lose ground gained. Key message to CCRSG: let’s not backtrack.
- Reminder – the regional objectives are “provisional”; CCRSG can revisit, as appropriate.
- Use the phrase “drafting text”.
- Reinforce the need for integrative framing.

##### **Working through the regional objectives document**

- Addressing existing design considerations: as these have already been discussed, we should not spend much time on them.
- Addressing draft regional objectives:
  - Address objectives goal-by-goal, and objective-by-objective within goals. Attempt to bundle and address groups of objectives where appropriate.
  - Objectives already discussed and voted on: Set expectation that we will not be inviting comments on these.
  - Objectives from goals 1 & 2 that have not received comments to date: We take this as a sign that the CCRSG supports these objectives. We will address them at the end of our discussions as part of a consent agenda.
  - Objectives from goals 3-6 that have not received comments to date: We take this as a sign that the CCRSG is generally comfortable with these objectives. We take brief comments on these. We attempt to bundle them for voting. If CCRSG has comments, vote on them individually.
  - Objectives with recommendations: we provide history of discussion and describe in detail the rationale behind the proposed recommendation. Where appropriate, we provide a staff recommendation. We invite brief comments, then take straw votes on these objectives individually. Note: we are not encouraging new configurations.
  - In cases where individuals propose new objectives, we indicate that these will be moved on to the BRTF with staff recommendations. We need proposals in writing by 9/14/05.
  - In cases where the CCRSG cannot broadly support a particular objective or design considerations, staff will forward the decision (along with specific options for consideration and a report on the process) to the BRTF.

### **General process suggestions**

- Note on CCRSG comments: Ask CCRSG to focus their comments on devising proposed text that integrates multiple stakeholder interests.
- Straw votes: phrase as “is there anyone who can not live with this?” Assume anyone who does not respond supports the objective.
- Ballot voting: ask for ranked preferences.
- We need to remind CCRSG members (and reestablish the expectation) that complete unanimity is not required. Staff intends to pass on the complete set of CCRSG recommendations to the BRTF with an assessment of the support achieved for each individual objective/consideration and for the entire package (along with a report on the process).

### **General staff coordination**

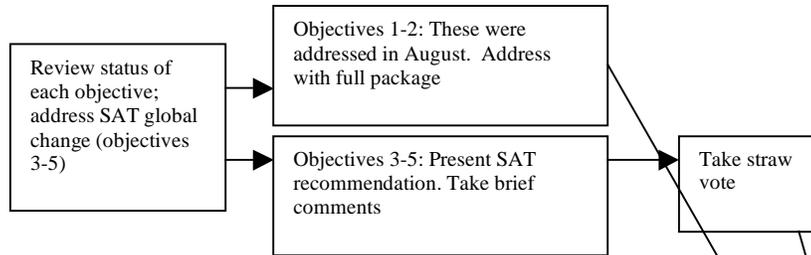
- SM/EP to take the lead in previewing the review process.
- EP to team with PR/JU in walking through the individual objectives.
- SM to mind the queue during discussions of individual objectives. EP to help track and to keep time.
- RB/MW to capture adopted text on a laptop and to prepare full draft package.
- Evan/KS/Carrie to tally votes from goal 3.
- DM to capture new proposed text, as appropriate, on flip charts.
- KS/MG to capture TBD bin ideas on a flip chart.
- As appropriate, staff to engage more proactively in proposing possible solutions.

### **General process/sequence for reviewing Regional Objectives**

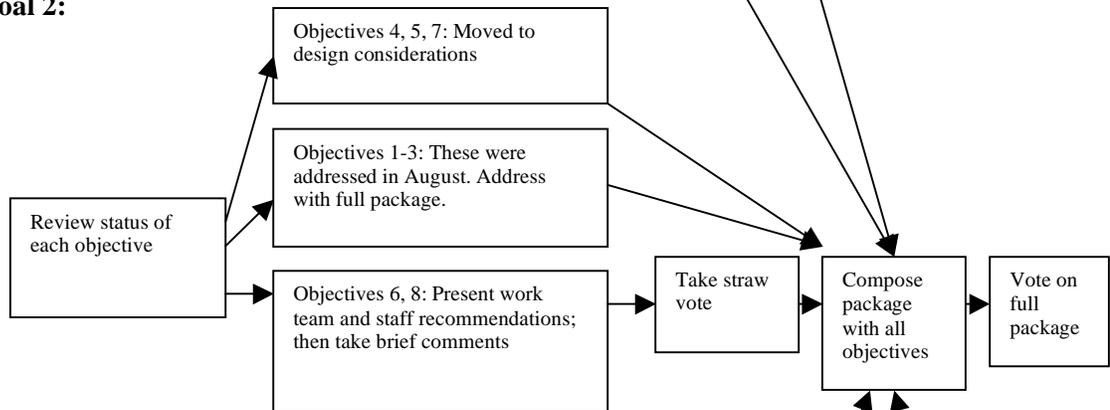
1. Provide overview of document; outline CCRSG review process
2. Move through 3 phase review process
  - Phase 1: Review goals 1-3  
Take a break after discussion of goal 3 to prepare and print the ballot
  - Phase 2: CCRSG fills out ballot for goal 3 objectives; staff begins to tally votes  
Begin review of goals 4-6  
Once tallying is complete, present voting results to CCRSG  
Continue review of goals 4-6  
Take break (or do Updates/Briefings agenda item) to finalize and print out full objectives package
  - Phase 3: Distribute, review and vote on full package

## Process for reviewing objectives goal by goal

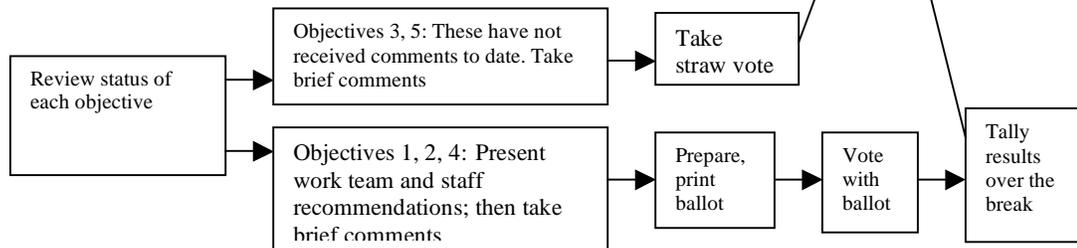
### Goal 1:



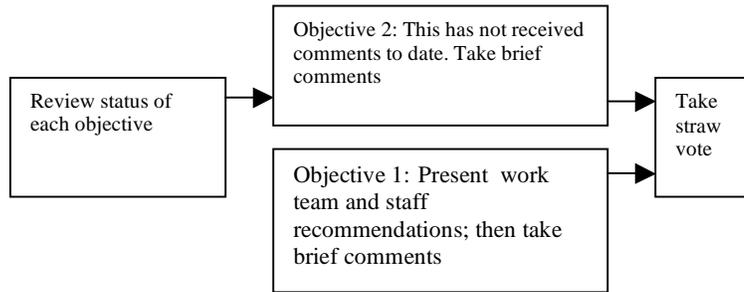
### Goal 2:



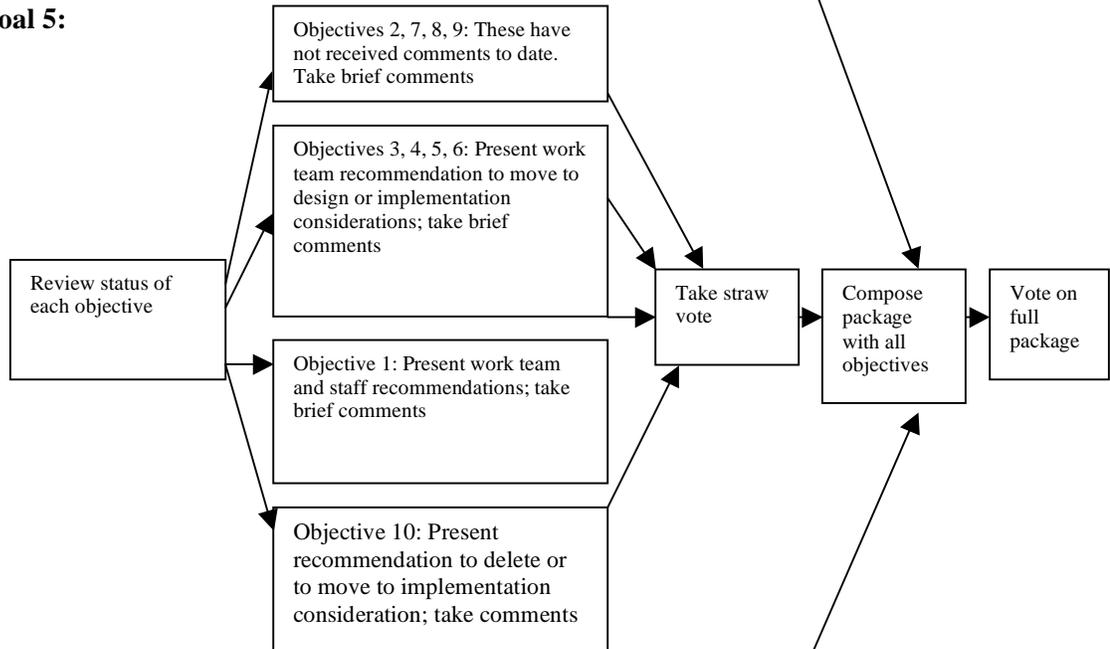
### Goal 3



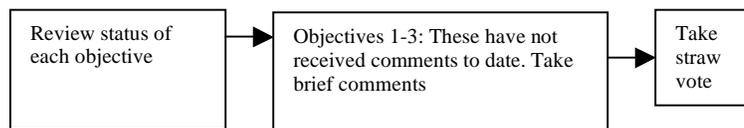
**Goal 4:**



**Goal 5:**



**Goal 6:**



**Possible issues that will come up:**

General: Some stakeholders may bring up new objectives that are not on the draft list

Goal 1: Objective 5: split support on inclusion of “structure, function”

Goal 2 Objective 4: Some stakeholders may shift positions on the issue of socioeconomic impacts as a design consideration, depending on how our earlier discussion on “equal weighting” proceeds.

Goal 3 Objectives 1, 2, 4: Some stakeholders may want to insert word “at” for #1. Others have been holding out on #1. Still may hold out on #4.

Goal 5 Objective 10: some stakeholders may want to delete this, while others will want to retain this as an implementation consideration. We may build agreement around the second of these two options.

**Proposed timing for working through this agenda item:**

<b>Sequential Tasks</b>	<b>Time (minutes)</b>
Provide overview of document and outline review process	25
Goal 1	15
Goal 2	30
Goal 3 discussion	50
Break -- prepare ballot	15
Goal 3: distribute ballots and vote on ballot	15
Goal 4	20 (tallying going on in parallel)
Goal 3: discuss results of voting	10
Goal 5	40
Goal 6	10
Prepare final package document	30 (during Briefings/Updates item)
Distribute final package and adopt	10
Extra time	30
<b>Total time</b>	<b>300 (5.0 hours)</b>

**Appendix G – Adopted Regional Objectives**  
**California Marine Life Protection Act Initiative**  
**Central Coast Project**  
**Adopted Provisional Regional Goals and Objectives Package**  
**as approved by the MLPA Blue Ribbon Task Force**  
**September 28, 2005**

*Design and Implementation Considerations*

*Introduction*

The members of the Central Coast Regional Stakeholder Group (CCRSG) agree that Regional Goals, Objectives, and Design and Implementation Considerations are all very important in the development of an effective system of marine protected areas (MPAs) that have stakeholder support. Regional goals are statements of what the regional MPAs are ultimately trying to achieve (Pomeroy et al. 2004)<sup>7</sup>. The Regional goals are largely taken directly from the Marine Life Protection Act (MLPA) itself. Regional objectives are more specific measurable statements of what must be accomplished to attain a related goal (Pomeroy et al. 2004).

Design considerations are additional factors that may help fulfill provisions of the MLPA related to facilitating enforcement, encouraging public involvement, and incorporating socio-economic considerations, while meeting the act's goals and guidelines. Design considerations will be applied as the location, category (reserve, park or conservation area), size and other characteristics of potential MPAs are being developed (Kirlin Memo, 8/22/05). Design considerations are cross cutting (they apply to all MPAs) and are not necessarily measurable (Kirlin Memo, 8/22/05). MPA alternatives developed by the CCRSG should include analysis of how the proposal addresses both regional goals and objectives and design guidelines. (Kirlin Memo, 8/22/05).

***Design Considerations***

In developing regional goals and objectives for the central coast, the CCRSG identified several issues that should be considered in the design and evaluation of marine protected areas. Like the “Considerations in the Design of MPAs” that appears in the Master Plan Framework, these considerations may apply to all MPAs and MPA proposals regardless of the specific goals and objectives for that MPA. The design

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<sup>7</sup> Pomeroy R.S., J.E. Parks, and L.M. Watson. 2004. How is your MPA doing? A Guidebook of Natural and Social Indicators for Evaluating Marine Protected Area Management Effectiveness. IUCN, Gland, Switzerland and Cambridge, UK. xvi + 216 p. (Accessed 17 January 2004). <http://effectivempa.noaa.gov/guidebook/guidebook.html>.

considerations below will be incorporated with the provisional goals and objectives and provided to the Master Plan Science Advisory Team, the Blue Ribbon Task Force, and the California Fish and Game Commission. Design considerations with long-term monitoring components (such as socio-economic impacts) will be used in developing monitoring plans and to inform the adaptive management process.

1. In evaluating the siting of MPAs, considerations shall include the needs and interests of all users.
2. Recognize relevant portions of existing state and federal fishery management areas and regulations, to the extent possible, when designing new MPAs or modifying existing ones.
3. To the extent possible, site MPAs to prevent fishing effort shifts that would result in serial depletion.
4. When crafting MPA proposals, include considerations for design found in the Nearshore Fishery Management Plan<sup>8</sup> and the draft Abalone Recovery and Management Plan.<sup>9</sup>
5. In developing MPA proposals, consider how existing state and federal programs address the goals and objectives of the MLPA and the central coast region as well as how these proposals may coordinate with other programs.
6. To the extent possible, site MPAs adjacent to terrestrial federal, state, county, or city parks, marine laboratories, or other "eyes on the water" to facilitate management, enforcement, and monitoring.

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<sup>8</sup>Design considerations from Nearshore Fishery Management Plan:

1. Restrict take in any MPA [intended to meet the NFMP goals] so that the directed fishing or significant bycatch of the 19 NFMP species is prohibited.
2. Include some areas that have been productive fishing grounds for the 19 NFMP species in the past but are no longer heavily used by the fishery.
3. Include some areas known to enhance distribution or retain larvae of NFMP species
4. Consist of an area large enough to address biological characteristics such as movement patterns and home range. There is an expectation that some portion of NFMP stocks will spend the majority of their life cycle within the boundaries of the MPA.
5. Consist of areas that replicate various habitat types within each region including areas that exhibit representative productivity.

<sup>9</sup>Design considerations from draft Abalone and Recovery and Management Plan:

Proposed MPA sites should satisfy at least four of the following criteria.

1. Include within MPAs suitable rocky habitat containing abundant kelp and/or foliose algae
2. Insure presence of sufficient populations to facilitate reproduction.
3. Include within MPAs suitable nursery areas, in particular crustose coralline rock habitats in shallow waters that include microhabitats of moveable rock, rock crevices, urchin spine canopy, and kelp holdfasts.
4. Include within MPAs the protected lee of major headlands that may act as collection points for water and larvae.
5. Include MPAs large enough to include large numbers of abalone and for research regarding population dynamics.
6. Include MPAs that are accessible to researchers, enforcement personnel, and others with a legitimate interest in resource protection.

7. To the extent possible, site MPAs to facilitate use of volunteers to assist in monitoring and management.
8. To the extent possible, site MPAs to take advantage of existing long-term monitoring studies.
9. To the extent possible, design MPA boundaries that facilitate ease of public recognition and ease of enforcement.

### ***Implementation Considerations***

Implementation considerations arise after the design of MPAs as the California Department of Fish and Game and any other responsible agencies implement decisions of the California Fish and Game Commission and, if appropriate, the California Park and Recreation Commission, with funding from the Legislature or other sources.

1. Improve public outreach related to MPAs through the use of docents, improved signage, and production of an educational brochure for central coast MPAs.
2. When appropriate, phase the implementation of central coast MPAs to ensure their effective management, monitoring, and enforcement.
3. Ensure adequate funding for monitoring, management, and enforcement is available for implementing new MPAs. [In addition to approving this language, the BRTF also adopted three statements related to funding<sup>10</sup>]
4. Develop regional management and enforcement measures, including cooperative enforcement agreements, adaptive management, and jurisdictional maps, which can be effectively used, adopted statewide, and periodically reviewed.

### **Provisional Regional Objectives**

***Goal 1. To protect the natural diversity and abundance of marine life, and the structure, function, and integrity of marine ecosystems.***

1. Protect areas of high species diversity and maintain species diversity and abundance, consistent with natural fluctuations, of populations in representative habitats.

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<sup>10</sup> 1. The MLPA requires development of a plan of protected areas, while implementing the program of protected areas occurs as resources are available (Section 2855[a]).

2. The adopted MLPA Master Plan Framework includes a feasibility analysis of proposed MPAs contingent upon funds reasonably expected to be available during implementation (Activity 3.4)

3. A lack of funding for implementation does not preclude designing and adopting MPAs.

2. Protect areas with diverse habitat types in close proximity to each other.
3. Protect natural size and age structure and genetic diversity of populations in representative habitats.
4. Protect natural trophic structure and food webs in representative habitats.
5. Protect ecosystem structure, function, integrity and ecological processes to facilitate recovery of natural communities from disturbances both natural and human induced.

***Goal 2. To help sustain, conserve, and protect marine life populations, including those of economic value, and rebuild those that are depleted.***

1. Help protect or rebuild populations of rare, threatened, endangered, depleted, or overfished species, where identified, and the habitats and ecosystem functions upon which they rely.
2. Protect larval sources and enhance reproductive capacity of species most likely to benefit from MPAs through retention of large, mature individuals.
3. Protect selected species and the habitats on which they depend while allowing the harvest of migratory, highly mobile, or other species where appropriate through the use of state marine conservation areas and state marine parks.

***Goal 3. To improve recreational, educational, and study opportunities provided by marine ecosystems that are subject to minimal human disturbances, and to manage these uses in a manner consistent with protecting biodiversity.***

1. Ensure some MPAs are close to population centers and research and education institutions and include areas of traditional non-consumptive recreational use and are accessible for recreational, educational, and study opportunities.
2. To enhance the likelihood of scientifically valid studies, replicate appropriate MPA designations, habitats or control areas (including areas open to fishing) to the extent possible.
3. Develop collaborative scientific monitoring and research projects evaluating MPAs that link with classroom science curricula, volunteer dive programs, and fishermen of all ages, and identify participants.
4. Protect or enhance recreational experience by ensuring natural size and age structure of marine populations.

***Goal 4. To protect marine natural heritage, including protection of representative and unique marine life habitats in central California waters, for their intrinsic value.***

1. Include within MPAs the following habitat types: estuaries, heads of submarine canyons, and pinnacles.
2. Protect, and replicate to the extent possible, representatives of all marine habitats identified in the MLPA or the Master Plan Framework across a range of depths.

***Goal 5. To ensure that central California's MPAs have clearly defined objectives, effective management measures, and adequate enforcement, and are based on sound scientific guidelines.***

1. Minimize negative socio-economic impacts and optimize positive socio-economic impacts for all users, to the extent possible, and if consistent with the Marine Life Protection Act and its goals and guidelines.
2. For all MPAs in the region, develop objectives, a long-term monitoring plan that includes standardized biological and socioeconomic monitoring protocols, and a strategy for MPA evaluation, and ensure that each MPA objective is linked to one or more regional objectives.
3. To the extent possible, effectively use scientific guidelines in the Master Plan Framework.

***Goal 6. To ensure that the central coast's MPAs are designed and managed, to the extent possible, as a component of a statewide network.***

1. Develop a process for regional review and evaluation of implementation effectiveness that includes stakeholder involvement to determine if regional MPAs are an effective component of a statewide network.

Develop a mechanism to coordinate with future MLPA regional stakeholder groups in other regions to ensure that the statewide MPA network meets the goals of the MLPA.

**Appendix H – Comparison Between Challenges Noted in the Channel Islands Marine Reserve Working Group (MRWG) Process by Helvey (2004)<sup>11</sup> and the Approach Used in CCRSG<sup>12</sup>**

<b>Challenges in MRWG Process Noted by Helvey (2004)</b>	<b>Approach Used to Address Challenge in CCRSG:</b>
<p>1. <i>Placing great weight on biodiversity goal relative to other goals.</i>                      The Science Advisory Panel (SAP) identified three biogeographical zones or regions to frame oceanographic variability operating within the Sanctuary. The implication was that the MRWG “was challenged to thrice replicate protection for various habitat types”.</p>	<p>MLPA goals were explicitly not weighted in importance relative to each other.</p> <p>There was a guideline in the Master Plan Framework to place a minimum of three replicates containing sufficient representation of each habitat type in the MPA network within each biogeographical region.</p>
<p>2. <i>Establishing ranges of the study area to be designated for habitat protection.</i>                      The SAP suggested at least 30% and possibly 50% of each habitat in each of three zones be established. Helvey notes that “the derivation of the 30-50% range was not disclosed.” He adds: “Considering that science is process based on rigorous methodologies and empirically justifiable outcomes, the 30-50% recommendation appeared more as a statement of policy.”</p>	<p>The SAT Evaluation explicitly avoided proposing a specific threshold percentage of habitat types to be protected but did convey the range reported in the literature.</p> <p>The SAT developed methodologies to help evaluate bracketed ranges of resources in MPAs.</p>
<p>3. <i>Not acknowledging the uncertainty of fishery benefits.</i>                      Helvey reports that the differences in scientific uncertainty between the benefits “inside” reserves (where the benefits on ecosystem protection is fairly well known) and “outside” of reserves (where the effect on fisheries management is not well know) were not acknowledged by the MRWG.</p>	<p>Discussion of this issue was more explicit in the CCRSG process. SAT members Mark Carr and Rick Starr made several presentations on the relationship of reserve size and anticipated fishery benefits, drawing on their research on larval dispersal distances for different marine organisms and on movements of marine species relative to MPAs.</p>

<sup>11</sup> Helvey, Mark (2004). “Seeking Consensus on Designing Marine Protected Areas: Keeping the Fishing Community Engaged.” *Coastal Management*, 32:173-190.

<sup>12</sup> We acknowledge that Helvey’s (2004) article on the Channel Islands process is one of several accounts of this effort. We selected it because it lent well to preparing a side-by-side comparison between the Channel Island and Central Coast projects.

<p>4. <i>Overlooking the expertise of fisheries scientists.</i>          Helvey notes that expertise in stock assessment science and fishery management measures was missing. As such, the MRWG did not adequately take into account the benefits of existing fishery regulations. Nor did the MRWG adequately acknowledge that some of the migratory species listed on their list of “species of interest” may be more successfully managed with traditional methods rather than reserves.</p>	<p>While fisheries science expertise on the SAT was also light relative to that of ecology or conservation biology, the SAT also made a couple of presentations to the CCRSG on the linkage between MPAs and fisheries (e.g., on the topics of larval dispersal and movements of marine species relative to MPAs). Starting in the September meeting, MLPA Initiative staff also began providing the CCRSG with regular updates on relevant fishery management research, discussions, and measures (including, for example, efforts to explore the potential benefits of overlapping groundfish hotspots with MPAs)..</p> <p>Given that several fisheries scientists did their own “peer review” of the SAT evaluation, it appears there was room for improvement in this integration.</p>
<p>5. <i>Timing presentation of socioeconomic analysis.</i>          A socioeconomic team was formed, but was late in getting started. It did not complete its analysis until six months after the SAP had unveiled its 30-50% recommendation. Delay made it hard to gain traction relative to continued refinement of mapped scenarios.</p>	<p>We faced some of these challenges in the Central Coast Project. As discussed, the Ecotrust analysis faced numbers of problems in execution and completion. Timeliness of completion was an issue, as the analysis only became available in November 2005. Additionally, confidentiality issues arose which prevented CCRSG members from obtaining access to discrete spatial data showing the locations of highly valued fishing grounds.</p>
<p>6. <i>Negotiating compromise.</i>          Helvey identifies what he calls a “series of challenges to negotiating compromise.” He points out that the MRWG had intensely expressed views on maximum protection of habitat, and equally intense views about avoiding socioeconomic impact.</p>	<p>The CCRSG faced challenges in negotiating agreement on regional goals and objectives. Careful framing, distinguishing design and implementation considerations, strategic and aggressive use of straw votes, restating the charge, and referring key issues to the BRTF for guidance helped break the deadlock.</p>
<p>7. <i>Enforcing ground rules.</i>          Helvey reports that ground rule enforcement was an issue. In particular, the facilitation team was inconsistent in enforcing one of the ground rules requiring dissenters to offer viable alternatives when disagreements surfaced.</p>	<p>We as facilitators, working with I Team colleagues, were quite aggressive and consistent in enforcing ground rules</p> <p>While we did not have a specific ground rule requiring</p>

	<p>dissenters to generate alternative options, we did constantly remind CCRSG members of the assignment to generate multiple options.</p>
<p>8. <i>Limiting management tools to “no take” reserves.</i>                  The MRWG was constrained by Sanctuary Advisory Council (SAC) guidance in recommending management tools other than complete no take reserves. Limited take MPAs were not an available tool (unlike in the MLPA Initiative). Helvey traces this choice back to an initial proposal of the Channel Islands Marine Resource Restoration Committee to the Commission. He notes “This approach remained unchanged as instructions were passed from the Commission through the SAC and ultimately to the MRWG.” “Certain opinions expressed by some MPA proponents during the MRWG effort suggest the existence of strong convictions that anything less than complete fishing closures are inadequate for achieving the biodiversity goal.”</p>	<p>The CCRSG was not constrained from recommending management tools other than complete no take reserves. The CCRSG also recommended state marine conservation areas (SMCAs) and state marine parks (SMPs).</p> <p>As CCRSG process proceeded, the SAT evaluation team devised a methodology to sort SMCAs into high, medium and low protection value. In this way, the SAT scaled these MPAs relative to the overall protection value of the proposed MPA network components..</p>
<p>9. <i>Deadlocking over reserve size.</i>                  Helvey notes “It is unfortunate that the deadlock over total reserve size was not recognized as an insurmountable obstacle early in the MWRG process.”</p>	<p>The Central Coast process did not prescribe a target for percentage of the region to be designated as MPAs, nor did it present establishment of such a target as an intended work product of the CCRSG process. Accordingly, this sort of deadlock did not arise in the Central Coast project.</p>
<p>10. <i>Integrating MPA designation with other fishery management tools.</i>                  Helvey also comments on the need to integrate MPA designation with other fishery management tools: “It may be unreasonable to expect fishermen to sacrifice excessively large areas when other fishery management measures are in place and the efficacy of marine reserves is poorly understood.”</p>	<p>The theme of “other fishery management regulation” came up time and again in the Central Coast project. Many CCRSG members pointed to the need to examine the combined effects of fishery regulations and MPAs. The need for stronger and tighter integration between MPA planning and other fishery regulation was also voiced by I-Team members and BRTF members alike.</p>
<p>11. <i>Engaging the broader fishing community.</i>                  Helvey also commented that the MRWG was challenged to find a way to effectively engage the broader fishing</p>	<p>In the Central Coast project, we did hear some concerns at the March 2006 BRTF meeting that some north coast squid</p>

community. This was a significant oversight that manifested itself in significant last minute changes at the MRWG's final meeting, where the MRWG's agreement on the total reserve size decreased from 18% to 12%.

fishermen may have been inadvertently excluded, and that an overly robust interpretation of guidelines for enforcement purposes may have created some unintended spillover in the areas designated in Staff Package S.

There is an important contrast to highlight, though, between the last meeting of the MRWG process, where fishing representatives dropped to back to a more conservative and de minimus position, and the trend we saw in the Central Coast project, which was toward convergence in the total area in MPAs in the respective packages offered, due in no small part to the guidance of the SAT evaluation subteam and the great weight placed on this guidance by the BRTF.