Conservation of Biodiversity in the Hudson River Estuary – The Process

A Report on a Multi-Stakeholder Workshop Series Using a Modified Version of TNC's CAP Process

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Contents

This report provides a summary of the process we used to facilitate this series of workshops. The actual results of our workshops are contained in a companion report *Advancing Biodiversity Conservation in the Hudson River Estuary Watershed: A Report on the Products of a Multi-Stakeholder Workshop Series.* Both reports and additional supporting materials are available online at http://conserveonline.org/workspaces/hrew.conserve.

1. Introduction

Importance of the Hudson River Estuary Watershed

The Hudson River Estuary Watershed (HREW) is a diverse and unique landscape of enormous ecological importance. Due to the tidal influence, which extends 154 miles inland to a natural elevation break at the Troy dam, and which at times brings salt water as far north as Poughkeepsie, the river is home to a wide array of plant and animal species. The geologic history of the area has led to the creation of a variety of upland landscapes as well, from forested mountains and rocky cliffs to rolling sand dunes and fertile valleys. Thanks to this diversity, the watershed contains a number of significant elements of biodiversity including 9 federally listed species and 233 state-listed threatened and endangered species, the majority of which are plants. The watershed also contains a number of globally imperiled and vulnerable ecological communities such as freshwater tidal swamps, rich fens, pitch pine-scrub oak barrens, and mountain fir forests.

In addition to its ecological importance, the HREW is also of enormous economic and cultural importance. Since colonial times, the watershed has played an important role in production of natural resources (including much of New York City's water supply), transport of goods, military strategy, art, tourism, and recreation, and even the birth of the environmental movement with the Storm King controversy in the 1960s. As a result, the HREW is home to a large number of different stakeholder groups, all with different views and opinions as to what needs to be done to protect this invaluable resource.

Impetus for these Workshops

Although the Eastern New York Chapter was founded as TNC's first official Chapter in the early 1950s, historically TNC has not done much work in the HREW. Over the past year or two, the chapter has decided to explore becoming more active in this landscape. Given the complex ecological and institutional setting in the watershed, before just jumping in, TNC staff decided that it would be a good idea to do an assessment of what was being currently done and where gaps might be.

The Eastern New York Chapter also had several precedents to look at including a planning process that had been conducted for Lake George and an earlier workshop using the 5-S methodology that had been conducted with a number of partners in the Catskill Mountains that brought together representatives from over 20 organizations to develop a plan for the conservation of the ecosystems in that landscape. This workshop had been well received and had demonstrated to potential HREW partners that the TNC Conservation Action Planning (CAP) methodology was a useful process to follow in these situations.

At the same time, Foundations of Success staff had been working with TNC Global Conservation Approach team members to refine the CAP process. As part of this work, the team was interested in exploring novel applications of the CAP process, including in particular, working with large groups of stakeholders in a landscape. The HREW thus seemed like a perfect opportunity to join forces and see if we could adapt the CAP methodology to meet these interests.

Overview of this Report

This report provides a summary of the process we used to facilitate this series of workshops. The actual results of our workshops are contained in a companion report *"Advancing Biodiversity Conservation in the Hudson River Estuary Watershed: A Report on the Products of a Multi-Stakeholder Workshop Series"* available at http://conserveonline.org/workspaces/hrew.conserve.

- **Audience for this Report –** We have primarily written this document for people who are interested in holding similar types of multi-stakeholder workshops based on TNC's CAP process. We assume that you have at least some familiarity with the CAP method (a summary of the method can be downloaded at http://conserveonline.org/workspaces/cap) and that you also understand the basics of workshop facilitation. Please also note that in writing this report, we struggled to walk the line between providing enough detail so that you could follow what we did, and avoiding overburdening the report with too much detail. In places, we may have strayed towards the latter – as a result, please feel free to skip any part that is not relevant to your work.

- **How this Report Is Meant to be Used –** We hope that you will use this report as a starting point to guide the development of your own multi-stakeholder workshops. You will obviously have to adjust the process that we present to meet your specific needs and situation.

- **How this Report is Organized –** Section 2 presents a summary of what we did during the different activities and sessions of the workshop series and how we did it, focusing in particular on the things that differed from standard CAP workshops. For each activity or session, we also provide a discussion of what worked and did not and what we would recommend going forward. Section 3 then contains a more general analysis of what worked and what did not. The Annexes of this report provide a summary timeline/budget for the workshop series and the facilitators' agenda for the sessions. Additional materials are also available online at http://conserveonline.org/workspaces/hrew.conserve.

2. What We Did

For our workshops, we used a modified version of TNC's Conservation Action Planning (CAP) process. When we began planning this workshop series in late 2004, the current version of the CAP Best Practices had not yet been released. As such we developed our own version of the CAP Cycle Diagram as shown in Figure 1. This version was a hybrid between the TNC Enhanced 5S process and the project cycle used by Foundations of Success. In future workshops, however, we would strongly recommend using the standard version of the cycle diagram as shown in Figure 2 as this will minimize confusion among people who are already familiar with the TNC process.

The following sections describe the different stages of the workshop process that we went through. For each stage, we describe briefly what we did and how we did it. In particular we focus on issues where we deviated from the traditional CAP process and why we did so.

Figure 1. Planning Cycle for Our Workshops

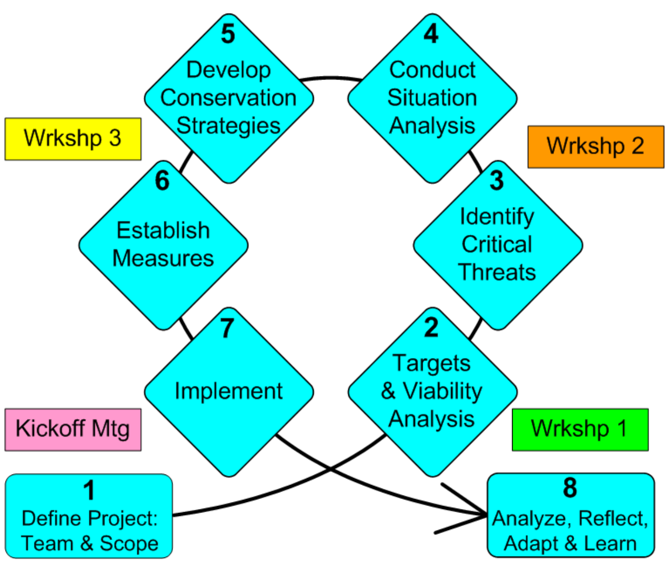


Figure 2. TNC's New CAP Process

Pre-Workshop Planning

As is the case with almost any meeting or workshop, one of the most important keys to success was the extensive work that we did prior to the start of the workshop series. Overall, the investment in this planning was very important to ensure that the workshop got started on the right foot. Specific activities included:

Initial Planning Among TNC Team

The overall idea and initial planning for this workshop series took place over a series of meetings among TNC Eastern New York chapter staff in early fall 2004. An important output of these meetings was to make sure that a variety of different roles were both covered and coordinated. The team was also able to source funds for the workshop from a generous donor who was interested in the process and in the Hudson River Estuary, and later from a successful grant application to New York State's Hudson River Estuary Program.

It was essential to have a number of different TNC staff involved in this work. Key staff included:

- Management: The Chapter Executive Director and Associate Director were both active participants in the overall process. Their involvement ensured that the process had credible backing within TNC and also enabled these managers to effectively represent the workshop process in interactions with advisors, other key stakeholders, and donors.
- Science team: The Director of Science and the Conservation Planning Assistant were the primary TNC staff involved in this work. Their intimate involvement gave the workshop team the knowledge, skills, and capacity to do extensive work and analysis between workshop sessions. In particular, the contribution of the Conservation Planning Assistant in quickly and competently doing everything from high level analysis to the basic work of sending out meeting invitations cannot be overemphasized.
- Field staff: TNC also brought in several experienced field staff members to help with the workshop process. The field staff was selected for their familiarity with the Hudson River in particular, their knowledge of watershed conservation in general, and their experience with facilitation and the Conservancy's conservation planning approach. These team members provided an important sounding board for workshop plans and also served as facilitators of breakout groups during each of the workshops.

> "Participation and effective use of the existing expertise within a TNC chapter or program's staff can greatly improve the execution of the CAP process. Often field staff, in particular, bring the unique perspective of on-the-ground experience in working with conservation targets and implementing conservation strategies and monitoring programs in the real world. Many times these same staff have a wide range of skills in facilitation and working with partner groups through involvement in multiple planning processes in a wide variety of settings within, and outside of, TNC."
> **– George Schuler, Delaware River Basin Project Director, ENY TNC**

Hiring External Workshop Facilitators

TNC staff developed a short-list of potential facilitators for this process, interviewed them, and then developed a contract with Foundations of Success (FOS).

> "This was a very efficient workshop. Probably the most efficient I have ever participated in."
> **- Anonymous, Workshop 2 Evaluation**

> "Excellent facilitators...very knowledgeable in the subject matter but able to convey thoughts and ideas very well."
> **- Anonymous, Workshop 2 Evaluation**

Overall, we would strongly recommend having a good facilitator for the workshops. Furthermore, if at all possible, try to obtain a "neutral" external facilitator who is familiar with the CAP process. Specific advantages include that it:

+ Improved the ability of TNC staff to participate in substantive discussions at the workshops and to express their opinions without having to remain "neutral", although this ability remained somewhat constrained by their identities as staff members and breakout group facilitators.
+ Provided a sense that TNC is not dominating the process for its own ends.
+ Provided an outside perspective on the process itself.

One caveat is that:

– A facilitator who is not familiar with the core CAP process has the potential to do more harm than good!

Convening a Steering Committee

One of the most important steps that we took was to convene a steering committee of key partners to help us with this process. In our case, steering committee members included representatives from a critical state agency (NYS DEC Hudson River Estuary Program), a major research institute (Institute of Ecosystem Studies), and two important NGO partners (Hudson River Foundation and Scenic Hudson).

The members of the steering committee participated in and took ownership of this process in a way that far exceeded even our most optimistic expectations. The steering committee played a number of important roles including:

+ Helping set the appropriate scale and scope for the planning process – Prior to the start of the workshop series, we discussed with the steering committee the different potential foci that could be taken during this planning process. For example, we discussed if it would be better to select a few target areas within the watershed, and conduct planning in these locations to help bring more definition to the effort, or should we take a more holistic approach and embrace the larger watershed and attempt to plan for all of its biodiversity, recognizing that such a process might initially end up with more general recommendations. At least two of these key partners expressed a clear desire for the latter, emphasizing that what this landscape needed was "a more holistic view" to provide the context for all the partners' efforts. This proved to be good advice.

> "Steering Committee members generously gave their time, expertise, and knowledge of the landscape – political, social, and environmental – to guide us. For example, the group encouraged us to make this planning process very open and participatory. Such sage advice was critical to the process."
> **- Katie Dolan, Executive Director, ENY TNC**

+ Providing feedback and advice – The committee reviewed all agendas and gave us good feedback and insights both before and after sessions.
+ Reaching out to other stakeholders – The committee gave us advice as to who we needed to include in various steps of the process.

- Providing resources – The committee provided important resources, including in particular, the venues that we used to host 3 out of the 4 workshops.
- Running interference – Because of the respect that they commanded, the steering committee members were important voices that helped keep the workshop moving forward.
- Demonstrating commitment – Three partners helped to present the final results of the workshop series with TNC staff to an outside audience at the end of the workshop series.

Mapping Ecoregional Priorities

The Eastern New York Chapter raised the necessary resources to explicitly link ecoregional planning results to this landscape planning process. It was recognized that TNC needed to have a clear and succinct assessment of the ecoregional priorities before attempting to engage partners in a participatory planning process. TNC Science staff completed a report for distribution and review to all the partners that included an assessment of the relevant ecoregional plans and placed the target occurrences on an overall map of the HRE watershed. The ecoregional priority watersheds were also compared to conservation priorities and high-quality habitats identified by other agencies and conservation organizations, demonstrating the value of this approach and the congruence of priorities identified by other efforts. This map and accompanying analytical report was then presented to the workshop participants as part of the kickoff meeting. Advantages of producing these products included that they:

- Provided an example of how TNC's large-scale ecoregional planning could be applied to the landscape.
- Demonstrated that TNC had "done its homework" and was familiar with existing scientific work on the watershed.
- Provided the biological foundation for the workshop and helped ensure that the focus of the workshops was on biodiversity conservation.
- Enabled us to largely sidestep the "where" question in our work, a question that requires different processes and participants to answer.

> "Following *Conservation by Design*, we felt that it was essential to clarify what the ecoregional priorities were in this large landscape, and compare them with the other ecological studies conducted in this well-researched basin before we started into a participatory planning process. It meant that we delayed our original starting date and had to raise additional funds to make this work possible, but it was well worth the effort."
> – **Tim Tear, Director of Conservation Science, ENY TNC**

Kickoff Meeting

Perhaps the biggest challenge facing any group of workshop organizers is making sure that you get the right people in the room for your workshops. If you have participants who don't know the subject matter, who can't represent their organizations, and/or don't really want to be there, then even the best organized and thought-out workshop will be wasted. Another challenge facing multi-stakeholder workshop organizers is to make sure that all groups that potentially could be involved in the workshop process are aware of what is being planned and understand it well enough to decide if they will participate.

To meet these challenges, we held an initial "kick-off" meeting for the workshop series to which we invited the leaders of all the relevant organizations so that they could learn about what we had planned and thus decide whether they wanted their organization to participate, and if so, who from their organization should attend. TNC's senior management and staff worked with the steering committee to identify the key organizations and to send out invitations to them.

The meeting itself was approximately 3 hours long and was held in the auditorium of one of our key partners centrally located in the watershed. We had approximately 61 people representing 45 organizations attending the meeting. See Annex 3 for the agenda for this meeting. Overall, the kickoff meeting seemed to be useful in launching the workshop process – we would definitely recommend that other groups do something similar. Specific advantages of this meeting included:

- + It was a relatively short meeting at a central location so that participants could attend without having to commit to a full workshop session.
- + It enabled organizations to decide whether to participate and who to send to the overall workshop series.
- + We provided lunch before the meeting which provided a networking opportunity for participants, and started the process off on a very positive note.
- + We provided an opportunity to chat informally following the meeting, and also supplied refreshments. This also helped to establish an atmosphere of genuine dialogue and information sharing. The investment in food was considered well worth it.

> "It was important that the process was open to a wide range of stakeholders, including those who are not traditionally interested in biodiversity. I also appreciated The Nature Conservancy's commitment to informing and engaging participants throughout the process."
> **- Karen Strong, NYS DEC Hudson River Estuary Program**

One minor caveat to this meeting was:

- – It might have been better to have made the meeting more interactive rather than simply a series of presentations, but given venue and time constraints, that wasn't really possible.

Workshop 1: Targets and Viability

Workshop 1 was a two-day meeting held in a hotel midway between Albany and NYC. About half the participants stayed in the hotel; the other half went to their homes overnight. Having the workshop in a conference center helped bring the group together.

Step 1: Define Project Team and Scope

We covered this step in a brief plenary session. TNC staff put forth an initial proposal based on the spatial analysis of ecoregional priorities that they had previously conducted. Perhaps in part due to the preparatory work done during the kickoff meeting, the group quickly came to consensus that they were at least temporarily functioning as the project team (we revisited this question at the end of the 3rd workshop). The group also quickly agreed that we were focusing primarily on biodiversity conservation. There was some debate as to the appropriate geographic scope, but we soon agreed to focus on the HRE watershed, south of the Troy Dam.

> "We were impressed with the diversity and caliber of the participants as well as how the overall planning process was conducted."
> **- Mary Beth Kolozsvary, NYS Biodiversity Research Institute**

This step went fairly smoothly. Some of the advantages that we had were:

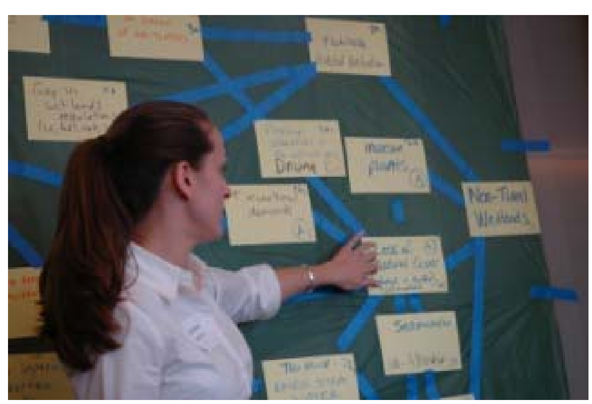
- ✚ The kickoff meeting helped forestall any conflicts.
- ✚ Although we did not need them, we were prepared with background materials in the event that some participants wanted to define non-conservation goals for the overall process.

Step 2a: Focal Targets

Unlike many other CAP workshops, we elected to do this step in a plenary session, using a sticky-board and card exercise (see Box 1 for instructions about how to create a sticky board). We asked participants to break into groups of 4 and for each group to answer the question: *"What 8 ecological systems, communities, and/or species would you select to represent the biodiversity of the Hudson River Estuary?"* (We got a bit sidetracked in a discussion over whether targets "represent" or "encompass" the overall biodiversity – be prepared with a clear answer to this question in advance.) Each group was then asked to pair up with one other group and winnow their 16 cards into 8.

Box 1. How to Make a Sticky Tarp

One of the most useful tools for stakeholder workshops is a sticky tarp that you can use to do both the target selection in Step 1 and the threat and situation analyses in Steps 2 and 3. A sticky tarp is simply a large (2x3 meters is a good size) nylon tarp that has been liberally sprayed with a "retackable" artist's adhesive (e.g., 3M Spray Mount Artist Adhesive #6065 – make sure you use the white can!) on one surface and allowed to air-dry. This creates a tacky surface that does not dry out and allows any paper item to stick to it and yet be readily repositioned. Always remember to fold the sticky tarp onto itself (i.e., sticky surface to sticky surface) and to open it carefully not to dislodge the glue from the tarp. Over time you may need to reapply the adhesive to the tarp.



At this point, the facilitator asked each of the new groups to select 2 or 3 of their clearest targets to put on the sticky board. The facilitator then put cards that seemed similar to one another in loose clusters, asking the room for their approval over each proposed move. The facilitator then asked each group for additional cards that contained different targets and then arranged the clusters in columns, giving each column a typographic symbol as a top card. The facilitator then asked the room to propose changes to the columns (combining them, splitting them, or moving cards). Once the room was generally happy with the results, the facilitator then asked the group to put up their remaining cards in the appropriate columns, adjusting the columns as necessary. Finally, the facilitator asked the group to come up with a summary name to replace the symbol on the top card for each column.

In this exercise, we were able to come up with seven focal targets that the entire group agreed on fairly quickly. These included one species target (migratory fish) and six ecosystem targets. We also spent a fair amount of time discussing whether we should include an eighth target to represent specific species of interest. Although we revisited this question several times throughout the workshop process, we never came to a clear resolution.

Overall, we would strongly recommend using this type of plenary card exercise for selecting targets. Specific advantages of this methodology include that it:

- **+** Avoided the problem of having different breakout groups come up with different sets of targets that then have to be painfully reconciled.
- **+** Was a fun exercise involving discussion and lots of collaboration that started the workshop off on a good note.
- **+** Enabled both expert biologists and non-experts to contribute to and understand what a target is, and how they are selected.
- **+** It was extremely transparent and demonstrated to the participants that TNC staff had not preselected the targets.

> "I expected TNC to have predetermined the targets, but it became clear as we went through the process that there was no way they could be stacking the deck."
> **- David Diaz, Scenic Hudson**

A couple of caveats that you might want to keep in mind are:

- **–** Plenary groups generally want to be inclusive rather than exclusive. This tends to lead to selection of broad ecosystem targets (e.g., estuary ecosystem) that then have to be disaggregated during the Key Ecological Attribute (KEA) and indicator selection process.
- **–** This technique requires skilled facilitation – if you have never done a card exercise like this before, you might want to practice before you try it when it really matters. The Institute of Cultural Affairs (http://www.ica-usa.org/) offers formal training courses in the Technology of Participation methodology on which this technique is based.

Step 2b: Viability Analysis

We conducted this session in pretty much standard CAP style. We began by giving people an overview presentation about the whys and hows of viability analysis. We then divided people into four breakout groups, with each group taking on two targets (one group had one large target). Their task, which was clearly spelled out in the instructions for the group, was to take their targets and develop initial key ecological attributes (KEAs), indicators, and rating schemes. Positive aspects of this step included:

+ Owing in large part to the experience level of the breakout group facilitators, we were able to get through all of the targets in a relatively short time. We generally achieved our objective of getting people familiar with the concepts of KEAs and indicators.

+ We were able to get a start on getting a draft list of KEAs and indicators for each target. However, we certainly did not complete this task during the workshop itself.

Overall, however, we would strongly recommend downplaying this step at this point in this process for the following reasons:

– It is good to introduce people to the concepts but not really necessary to get complete listings of indicators.

– The rating schemes were the most difficult portion of this session to complete, since the participants generally felt that they did not have the necessary expertise or information to make those decisions

– We also found that given the aggregated nature of most of the ecosystem targets, we had to subdivide them into strata (e.g. different classes of migratory fish).

– We did not end up with an actual rating of viability for any of our targets, which has implications to the overall planning process, which we agreed would be dealt with in later iterations of the plan.

> "It’s hard to see where the process will lead as implementation phase is so far removed."
> **- Anonymous, Workshop 1 Evaluation**

Following this workshop, as homework, the TNC Science Team worked to fill in some of the missing gaps in the KEA analyses and then these results were circulated by e-mail to all participants for comments.

> "A good balance between working within a set process and folding in new information/opinions."
> **- Anonymous, Workshop 1 Evaluation**

Workshop 2: Threats and Situation Analysis

Workshop 2 was a one-day meeting held in the offices of the Hudson River Foundation in Manhattan overlooking the harbor and the Statue of Liberty. This location, at one end of the estuary, meant that some people did not come and others arrived late. It also reduced the time available for the workshop since we had to allow for travel time and were limited to one day. However, this did not prevent us from satisfactorily completing all of the steps. Although the meeting rooms were small, this did have a nice benefit of making the sessions feel both intimate and well-attended.

Step 3: Threat Rankings

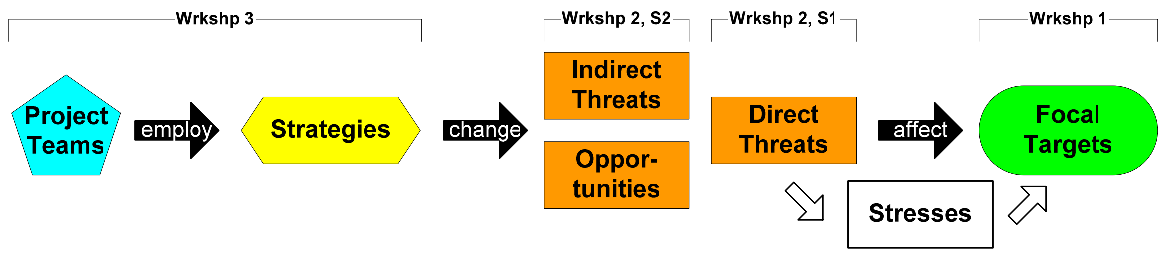
The standard CAP process calls for doing a two-step threat ranking procedure that involves first identifying and rating stresses and then identifying and rating sources of stress that lie behind these stresses, before then combining these ratings to produce the overall threat rankings. Although this two-step procedure allows project teams to capture some of the nuances of the ways in which threats affect targets, it is also more complex and difficult to teach to people who may not be familiar with this way of thinking. To this end, for this workshop we decided to test a simplified threat ranking procedure.

We started by presenting an overview of threats and the threat ranking procedure. We then divided participants into roughly the same four breakout groups that we had used at the previous workshop. Each group was given a sticky tarp (see Box 1) and index cards. Their tasks were to:

1) Take one target, write it on a card, and place it on the far right of the tarp. If necessary, also show the different "strata" making up the target on separate cards.
2) Brainstorm specific direct threats that could potentially affect the target (try not to include

Box 2. Definitions of Terms

The following diagram shows a generic model of a conservation project, the terms that we used in our workshops, and how these terms mapped across our workshop series. The diagram also shows how stresses, which we did not cover, would fit into this picture.



Focal Targets – A limited suite of species, communities, and ecological systems that are chosen to represent and encompass the full array of biodiversity found in a project area. In theory – and hopefully in practice – conservation of the focal targets will ensure the conservation of all native biodiversity within functional landscapes

Stresses – Disturbances that are likely to destroy, degrade, or impair targets that result directly or indirectly from human sources. Used in the traditional CAP Process, but not in this workshop.

Direct Threats – Agents or factors that directly degrade targets (e.g., logging).

Critical Threats – Direct threats that are most problematic. Most often, "very high" and "high" rated threats based on the rating criteria of their impact on the focal targets.

Indirect Threats – Factors identified in an analysis of the project situation that are drivers of direct threats (e.g., demand for timber). Often an entry point for conservation actions.

Opportunities – Factors identified in an analysis of the project situation that potentially have a positive effect on targets, either directly or indirectly (e.g., growing demand for sustainably harvested wood). Often an entry point for conservation actions.

Strategies – Broad courses of action that include one or more objectives, the strategic actions required to accomplish each objective, and the specific action steps required to complete each strategic action.

"indirect threats" or "stresses").
3) Put each direct threat on a card and put it to the left of the target.
4) If necessary, put specific key ecological attributes linking each threat to the target.
5) Discuss the threats and if necessary, combine, split, remove, or add cards.
6) Once the initial list of direct threats is completed, rate each threat according to the criteria of scope, severity, and urgency (see Box 3) and record the ratings as shown in Figure 3.
7) Arithmetically combine the criteria ratings to come up with an overall rating for each threat for each target. Rank these overall ratings to determine the critical threats.

Figure 3. Example of Threat Rankings for One Target

TARGET: Estuary Ecosystem

Direct Threat	***Scope***	***Severity***	***Urgency***	***Total***
New & current invasive species	4	4	4	**12**
Development (overall watershed)	4	4	4	**12**
Development (shoreline)	4	4	4	**12**
Sea-level rise	4	3	4	**11**
Sediment inputs	4	2	3	**9**
Toxic contaminants	3	2	3	**8**
Water diversion (community/big pipe)	3	2	3	**8**
Thermal pollution	2	3	3	**8**
Nutrient pollution	3	1	2	**6**
Recreational use	2	2	2	**6**
Pathogens	2	2	2	**6**
Acid rain	3	1	1	**5**

Following the workshop, we combined the threat ratings to produce overall ratings for each threat and target. This step required the TNC staff to match the threats up to a common taxonomy across targets. We also converted the arithmetic rankings to a more traditional rule-based ranking system. There was a general although not perfect correlation between the arithmetic and the rule-based threat rankings. The revised threat rankings were circulated to the project team for comments.

Overall, we were pleased with this approach to threat ranking and would strongly endorse that workshops involving lots of stakeholders take a similar approach. Advantages include that it:

> "I liked that the workshop is active and gets everyone involved in the process."
> **- *Anonymous, Workshop 2 Evaluation***

+ Was relatively simple and thus straightforward for participants to understand and do (groups completed initial threat rankings for their two targets in about 2 hour's time!).

- ✚ Enabled most if not all participants to understand the concept of threats and thus produced good discussions – in the workshop evaluations, people said they really enjoyed the process, and felt that the threat rankings were a valid product of the process useful in advancing our understanding about the natural resources in the watershed.
- ✚ Stimulated the development of a stepwise process to build in more complexity to the threat ranking process as necessary.
- ✚ Set up the subsequent situation analyses since the threats analysis completed the "right-hand" side of the diagram with targets and direct threats.

Box 3. Criteria for Threat Ranking

We rated each direct threat on the following criteria. In the workshop, we then translated these ratings to a 4-point scale (Very High = 4, High = 3, Medium = 2, Low = 1).

Scope – Most commonly defined spatially as the proportion of the overall area of a project site or target occurrence likely to be affected by a threat under current circumstances (i.e., given the continuation of the existing situation).

- **Very High:** The threat is likely to be very widespread or pervasive in its scope, and affect the conservation target throughout the target's occurrences at the site.
- **High:** The threat is likely to be widespread in its scope, and affect the conservation target at many of its locations at the site.
- **Medium:** The threat is likely to be localized in its scope, and affect the conservation target at some of the target's locations at the site.
- **Low:** The threat is likely to be very localized in its scope, and affect the conservation target at a limited portion of the target's location at the site.

Severity – The level of damage to the conservation target that can reasonably be expected under current circumstances (i.e., given the continuation of the existing situation).

- **Very High:** The threat is likely to destroy or eliminate the conservation target over some portion of the target's occurrence at the site.
- **High:** The threat is likely to seriously degrade the conservation target over some portion of the target's occurrence at the site.
- **Medium:** The threat is likely to moderately degrade the conservation target over some portion of the target's occurrence at the site.
- **Low:** The threat is likely to only slightly impair the conservation target over some portion of the target's occurrence at the site.

Urgency – The importance of taking immediate action to counter the threat.

- **Very High:** The threat must be countered today OR limited action today will likely mitigate much more intensive action in the future
- **High:** The threat must be countered in the next 5 years OR limited action in the next 5 years will likely mitigate much more intensive action in the future.
- **Medium:** The threat probably will need to be countered in the next 5-10 years, but does not need to be dealt with before then.
- **Low:** The threat does not need to be countered in the next 10 years.

In summing up the ratings across the three criteria, to come up with overall ratings of each threat for each target, we used: Very High = 11-12 total points, High = 8-10, Medium = 5-7, Low = 3-4

+ Enabled us to quickly compute summary rankings in a transparent fashion that did not have the "black-box" aspect of the 2-prime and 3-5-7 rules.

Costs of this approach were that it:

– Is different from current CAP protocols and thus might confuse people familiar with the current CAP process (although the end product – a determination of the critical threats across targets – is directly comparable). This is a particularly important issue when using breakout group facilitators who are familiar with the standard protocol. We might have avoided some confusion by more clearly communicating changes in the process to our facilitation team and taking the time to prepare them adequately.

– Is not compatible with the current CAP Excel workbook, except through use of the override feature.

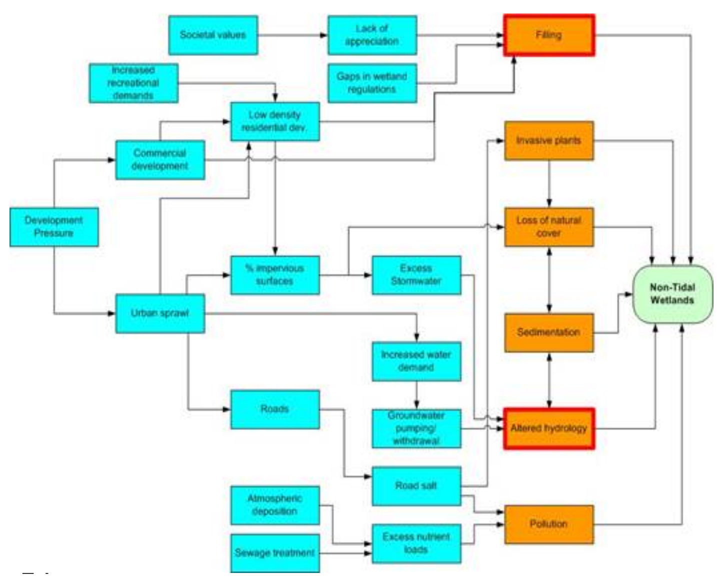
– Makes it more difficult to depict situations where one direct threat might cause multiple stresses on one or more targets (although the methodology does not preclude people from adding stresses between direct threats and targets where necessary for clarity).

Step 4: Situation Analysis

Once the breakout groups completed the threat rankings, the next step was to build on their threats analysis to do a situation analysis of the indirect threats and opportunities behind each of their critical direct threats. We started as usual, by presenting an overview of the concepts and the procedure. We then sent participants into the same breakout groups from the morning. Using their sticky tarp and cards, their first task was to take each highly ranked direct threat and brainstorm the factors (indirect threats and opportunities) behind it. They were then asked to put each factor on a card on the sticky board and show the links between the factors using pieces of tape as connecting arrows (see Figure 4).

Following this workshop, as homework, the TNC Science Team worked to transcribe the situation analyses into MS Visio, cleaning them up somewhat in the process. These results were circulated by e-mail to all participants for comments.

Figure 4. Example of Situation Analysis from Workshop and After Clean-Up



Workshop 3: Strategies and Measures

Workshop 3 was a two-day meeting held at the Institute of Ecosystem Studies, where we also held the kickoff meeting. The large auditorium had the disadvantage of limiting face-to-face plenary discussions and making the room seem empty.

Step 5: Develop Conservation Strategies

This has always been a challenging step in the CAP process because strategy development is a very creative and even artistic process that is hard to distill into a step-by-step procedure. As a start, in between the 2nd and the 3rd workshops, we sent around a questionnaire to all organizations participating in the workshop series that asked them to outline what strategies they were currently doing or planning. We received responses from 13 organizations and were then able to collate the results on an overall map that we could hand out to workshop participants. The strategies were also placed on an overall situation analysis to evaluate which direct threats were already being worked on.

We began the session by presenting an overview of strategy development. We then split the participants into breakout groups. For this workshop, we decided not to use the same groups divided by conservation targets, but instead to form new groups around critical direct threats as this seemed a more appropriate unit for strategy development. We gave each group copies of the situation analyses for reference. Each group was then asked to select one of their threats and to use the situation analyses to brainstorm where along the chain leading to that threat they might intervene and what actions they might undertake. They were then asked to develop at least one draft objective for that chain and to refine the objective using criteria cards that we provided to them.

Most if not all the groups were able to develop at least one or two strategies including actions and objectives for each major threat that they were assigned. Overall, we think this session went reasonably well. Advantages include that it:

+ Got people to understand the concepts of strategies and the need for setting good objectives.
+ Enabled us to get some preliminary strategies and objectives for some key threats.

> "Getting input from a large trained group of 'partners' worked excellently…I hope it will continue (it's the only way to make the progress that needs to be made)."
> **- Anonymous, Workshop 3 Evaluation**

+ People found the "criteria cards" very helpful in developing good objectives.

Costs of this approach were that it:

– Didn't result in actionable strategic plans – people simply didn't have the time to get to implementation level details.

– The situation analyses were not as useful as they could have been, if we had had the preparation time to re-organize them by threat to reconcile diagrams made by multiple target groups. There were also several threats for which situation analyses had not yet been completed, which limited the progress of those groups.

Step 6: Establish Measures

We began the session by presenting an overview of monitoring, focusing on audiences, information needs (both status and effectiveness measures), indicators, and methods. We then had participants go into the same breakout groups from the strategy sessions to develop basic indicators and methods for their specific proposed strategies. We also asked them to think about status measures that they might recommend collecting. The lists of draft KEAs from Workshop 1 were provided for reference.

Advantages include that it:

- + Got people to understand the concepts of monitoring both status and effectiveness.
- + Developed some preliminary indicators.

Costs of this approach were that:

- – As in many planning workshops, it was hard to sustain the momentum for this critical step in the overall process coming at the end.
- – It did not result in a final monitoring plan.

Next Steps Discussion

In the last session of the workshop, we met briefly to discuss the overall workshop series and consider where to go next. The facilitators presented a four point spectrum of how the group could potentially move forward:

1. Work on separate agendas, often at cross-purposes
2. Work on separate agendas, but periodically inform each other of work
3. Develop "sub-projects" focused on specific threats or topic with combinations of different groups
4. Create one big project going forward to collaboratively manage the HREW.

Although we did not come to a firm conclusion, it was clear that the group was generally somewhere between points 3 and 4. Finally, we had participants fill out an evaluation of the overall workshop series.

> "We anticipate that the products of this planning process will be applicable for smaller-scale watershed groups and help to improve our level of coordination in conservation of the river."
> **- Manna Jo Greene, Hudson River Watershed Alliance and Clearwater**

Workshop Follow-Up

We had a few activities to follow-up the workshop series.

Touchdown Meeting

The afternoon of the second day of the third workshop, we arranged a brief presentation of results of the overall workshop series. We had invited the same people who had attended the "kickoff" meeting, but only a few of them stayed. We also invited some key TNC donors. We had prepared presentations in advance of the meeting and then added to them during the last sessions. Presentations were given by TNC staff and steering committee members. Specific advantages of this meeting included that it:

- Enabled us to close the loop on the workshop series.
- Provided a reason to quickly develop summary presentations.
- Enabled donors to see the enthusiasm from the participants.
- Allowed participants an opportunity to show commitment to the process and its products.

Wrap-Up and Reporting

Following the workshop series, we developed a draft product report as well as this process report and circulated them to all participants. The brainstormed strategies from workshop 3 were reorganized to fit the hierarchy of objectives and strategic actions, and clustered under 9 general strategies. This list was distributed as an appendix to the draft product report. Participants were asked to fill out a short survey ranking these strategies and indicating their desired level of future participation.

> "The workshops laid the foundation by building a shared vision, and establishing the sense of collaboration that will be needed to move these strategies forward."
> **- Tony Wilkinson, Deputy Director, ENY TNC**

Starting the Next Iteration

Finally, as a result of the discussion of the last workshop, the overall group decided to have another meeting in Fall 2005. This meeting will seek to start the next iteration of this work. In particular, we hope to develop working groups around specific thematic topics that can then go through the next loop of the CAP cycle, fleshing out the products from this iteration in more detail. It is our hope that through these multidisciplinary teams, some lead by TNC, others lead by partners, we will advance conservation strategies in the project area. It is our belief that the training received in our planning process will result in greater capacity within the project area to carry out essential conservation work. We hope that through this process, the coordination of these teams with a shared vision for conservation success will, in the longer term, result in conservation impact greater than what would be accomplished by carrying out these same efforts individually.

3. What We Learned

In the previous sections, we have attempted to draw out a number of specific lessons about each workshop session. Here we try to focus on some more general lessons.

Things That Worked…and Why

General Points

- **Simplification of CAP Method Useful in Multi-Stakeholder Context –** The CAP method is a powerful tool for doing conservation planning. Overall, however, we were pleased with some of the adaptations that we tried in this workshop. In particular, we found that our de-emphasis of the full viability analysis and simplification of the threats analysis were useful modifications as they made the overall process much more accessible to non-TNC participants, including non-scientists in particular. These simplifications seemed to make the overall workshop more interesting, and yet still credible.

- **Downplaying the CAP Workbook –** The CAP Excel Workbook is a powerful tool to guide project teams through the CAP process. It is also, however, a bit intimidating to people who are not familiar with it. We made a conscious decision not to use the CAP Workbook in this workshop series, relying instead on more traditional workshop tools like sticky boards and markers and flipcharts. Overall, this seemed to be a good choice as it kept people engaged and focused on the content rather than the software.

- **TNC Had Lots of Credibility as a Convener, But Had to Work to Demonstrate Neutrality –** It seems safe to say that people and organizations agreed to participate in the workshop series because they had respect for TNC's process and because they were curious as to what would take place and didn't want to miss out. As might be expected, however, in the early stages of the workshop series, people were also worried that TNC would be using the workshop to push its own preconceived agenda – they didn't necessarily believe our statements that we had no set priorities going into this work. TNC staff worked hard, however, to demonstrate their neutrality and this really paid off over the long term in terms of people being willing to trust the process and go forward with it.

Workshop Roles

- **Steering Committee Was Essential –** As discussed in detail above, the time invested in developing and working with the steering committee was more than amply repaid.

- **TNC Staff Played Many Critical Roles –**It was important to have the management team actively involved in and visibly supporting the workshop. It was vital to have the Science team involved in workshop planning and able to do the huge amount of work that was required between sessions. And it was critical to have TNC staff available who were familiar with the Hudson River Estuary and the CAP process and could facilitate breakout groups.

We recommend that planning teams make use wherever possible of the expertise existing within their staff.

- **Outside Facilitation Helpful –** Also as discussed above, having an outside facilitator who was intimately familiar with the CAP process was also very useful.

- **Good Internal Communication is Key –** With such a large team filling so many roles, good communication between the management and science staff, and between TNC staff and the facilitators and steering committee, becomes extremely important. It is crucial to keep all parties informed so that the workshop organization is consistent and efficient. As mentioned previously, this requires a certain amount of additional time and planning by the team to ensure that everyone understands their role and assigned tasks.

Workshop Structure

- **Time Between Workshop Sessions Useful –** Initial CAP processes can either be conducted by going through all sessions in one 3-5 day workshop or, as we did, in a series of 1 and 2-day workshops with time in between. Obviously, if it is expensive to convene participants (for example, if they are coming from long distances) then that would argue for having one long workshop. Holding one workshop also has the advantage of ensuring the same participants attend all the sessions and stay in the workshop mindset. One advantage of doing multiple short sessions, however, is that there is time to refine the workshop products and to do homework between the sessions. If anything, it would have been helpful to have even greater intervals between workshops to organize information, although there is a tradeoff with decreased momentum and focus from participants. We also found that the shorter sessions were more efficient in keeping people's energy levels high.

- **Pre-workshop Planning Is Essential to Success –** Discussing the complexities and nuances of different agendas, and crafting clear, concise breakout group instructions are essential to a successful workshop. Making sure that the entire facilitation team is "on the same page" about how to facilitate each step in the process is essential for consistency in TNC's message, and improving the quality of the workshop products.

- **Breakout Groups Are Very Effective –** The basic structure of each session involved an initial presentation about the material being covered, breakout groups to actually do the work, and then brief presentations and discussions to report back from each group. Overall, this format seemed to work well. People especially valued the breakout group work and (with some dissention) the report-back periods. Efforts to streamline reporting back to focus only on key interesting issues are needed to help keep the process moving smoothly.

> "The process is not transparent in that one sees the necessary level of detail at each step but each step is underlain by a great deal of careful thinking about what happens next. Therefore, a neophyte to the process (as most of us were) concentrates on one task at a time and we learned to trust that the cyclic nature would let us re-visit as necessary."
> **- Stuart Findlay, Institute of Ecosystem Studies**

- **Making Sure the Workshop Process and Product Development are Transparent** – As mentioned in the previous point, we were able to refine and complete the workshop products in between sessions. In doing this work, however, we were very careful to track all changes made and to circulate the edited products to all participants so that they could see and comment on the changes. This transparency was very important to give participants a sense of ownership over the products and the overall workshop. Sharing products is also a good way to maintain communications with the participants between workshops and ensure that the project doesn't drop off their radar.

- **With Good Facilitation, You Can Do a Lot Quickly** – We packed a lot into each of our workshop sessions. Although our evaluations revealed that people did feel rushed in some cases, overall we were amazed at how much work the groups were able to accomplish in short time frames. This was due in part to effective facilitation, especially by the breakout group leaders, but also because the short timeframe meant that groups could not get stuck on pedantic points, but felt they had to keep moving forward to meet presentation deadlines.

Workshop Logistics

- **Workshops March on Their Stomachs** – We were lucky to have funds to hire caterers and to have reasonably good (although not extravagant) food for each of the workshops. Having good food goes a long way to encourage good participation. It was also valuable to provide lunch before (for meetings that started mid-day) or a reception after the workshops, which created an atmosphere of camaraderie and allowed participants to network and share ideas.

- **Get the Right Participants, But …** – It is important to recognize that no matter how hard you try to get the right people around the table, you are bound to be missing some experts or key players. Especially for a multi-workshop series, not all of your participants can attend all the meetings. For these reasons, it is important to have good communication with the participants through an email list whereby you can keep interested parties who miss some or all of the meetings informed and up-to-date on the project.

> "I would have liked more time for the group to consult with experts."
> **- Anonymous, Workshop 2 Evaluation**

- **Don't Stay in One Place** – When dealing with such a large landscape, the participants will be drawn from a broad geographic area. It was helpful to hold the different workshops in different parts of the watershed, which allowed a larger group of people to attend at least one of the workshops, and more fairly distributed the travel burden. A side benefit of this was that it allowed the team to experience some of the many different regions of the watershed.

Things That Could Have Been Improved…and Ideas for Doing So

- **Perhaps De-Emphasize Target Selection a Bit** – .In retrospect, it would have been nice to spend less time on this portion of the process than we did. However, as target selection is such a critical component of the Conservancy's process, it would also be a shame to short-change this essential first step. Target selection is the first main session in the workshop and as such, can set the tone for the entire workshop series. It's obviously important for the group to fully understand what targets are, to identify a good, sound suite of targets to select from, and to get the entire group to agree upon a final group. On the other hand, striving for perfection may not be appropriate. There are probably 25 or more targets for the HREW that we could have come up with that would have been fine. The key is to quickly get targets that the group can agree to – you need to be a bit tough to get this done

- **Minimize Viability Discussion at the Beginning –** In this workshop, we spent one afternoon session on identifying targets and then the next morning's session on a full-blown viability analysis that included stratifying the targets, coming up with KEAs and indicators, and even in a few cases, trying to do current and desired indicator ratings. In the future, we would recommend doing KEAs and maybe introducing the concept of indicators, but not spending too much time on this step early on in the workshop. Instead, the indicator discussion could be deferred to the measures session at the end.

- **Don't Worry About Completing All Steps –** In this workshop, we had the twin goals of teaching people the CAP methodology and getting most of the key planning work done. In hindsight, the former is more important than the latter in this context of large landscapes and multiple stakeholders. If people understand the basic methodology and learn to trust the process, then it's okay to send them material later as you complete it, and plan to return to unanswered questions on a second iteration of the planning process.

- **Recognize and Promote the Desire to "Get More Specific" as an Incentive for Sub-Teams –** Given the size of the landscape, the scope of the targets, and the abundance of participants, there has been a consistent tension throughout the planning process to "get more specific" about completing a full suite of measurable objectives and defining exactly what actions will be attempted and where. The planning team can and should be able to capture this concern and use it as a carrot to coax the formation of sub-groups to achieve this level of specificity that all participants ultimately want to see. Recognizing this in advance might help planning teams figure out ways to harness this energy by promoting it this throughout the workshop series as an explicit goal of the planning process.

- **Develop a Stronger Position "In Advance" About the Eighth Target –** With large, diverse landscapes, the planning constraint of eight or fewer targets usually results in the selection of many coarse-scale, ecosystem-level targets. The breadth of these targets does result in a variety of finer-scale, species level targets that remain a question, some that are highly predictable such as Federally listed and wide-ranging species, as well as a host of ecoregional targets. The planning team should have anticipated this, and developed its own internal arguments to take a particular position (e.g., commitment to a suite of species as a target, or the need to address multiple species separately via a second spreadsheet). This would have provided more substance to the discussion, and perhaps a more unified position by TNC that would have helped to reduce the amount of time taken discussing this issue, and may have promoted a more satisfactory resolution.

- **More Personal Contact with Participants Between Meetings** – Although a great deal of time was spent speaking to participants between meetings, there is always the lingering feeling that slightly more attention, applied by a greater number of staff, would have resulted in greater participation. In some cases extra effort could have been made to track why some participants stopped attending, or to keep a key partner engaged. A direct phone call from an appropriate team member is often the best strategy in these cases. In the future, recognizing the time commitment needed from a broader range of staff to accomplish a stronger outreach program should be considered.

4. A Final Word

This workshop series was an experiment to see if the CAP methodology could be applied to a multi-stakeholder, large and complex landscape situation in which TNC had minimal on-the-ground experience. Overall, we are pleased with the results of this experiment. And judging by the enthusiastic and energetic participation, the written evaluations after each session, and the ongoing relationships that have formed, we are confident that the workshop participants were pleased as well. As a result, we would certainly encourage other people to try similar efforts. We hope that this process report is useful in that regard – and that you will share your experiences so that others can also benefit from what you have learned.

> "TNC's approach fosters constructive dialogue, cooperation, and consensus building. It is a process that gently, but firmly, maximizes the work of the participants in identifying and ranking conservation targets, threats, and strategies. It is precisely the type of conservation planning needed to assure that the substantial people and resources in the Estuary are tapped and focused in as efficient and effective a manner as possible."
>
> **- Tom Lyons, NYS Office of Parks, Restoration and Historic Preservation**

Annex 1. Workshop Activities, Timeline, and Cost

The following table provides rough estimates of the level of work required and the costs for each major activity in our workshop series.

		FTE Days *				
Activity	**Dates**	**Mng**	**Sci**	**Fld**	**Fac**	**Non-Staff Costs**
Pre-Workshop Planning						
1. Initial planning & fundraising	Aug - Oct 04	4	20	2	0	
2. Hiring facilitators	Oct 04	2	2	0	1	
3. Convening steering com	Oct 04	2	2	0	1	Food: $200
4. Developing ER priorities Report	Oct 04 - Jan 05	1	40	2	0	Color copies: $530
5.Developing ER priority maps	Jan 2005	0	2	0	0	
Kickoff Meeting						
1. Plan meeting	Dec 04 - Jan 05	2	10	1	1.5	Copies, invite mailing: ?$100
2. Hold kickoff meeting	Feb 2, 2005	2	3	3	1.5	Food: ?$500
3. Follow-up activities	Feb 2005	2	6	1	1	
Workshop 1: Targets & Viability						
1. Plan workshop	Feb 2005	2	6	2	2	Copies, materials: $30
2. Hold workshop	March 3-4, 2005	4	6	4	4	Facilities: ~$1000 Food: ~$5000 Lodging: ~$500
3. Follow-up activities	March 2005	1	10	2	1	
Workshop 2: Threats & Situation Analysis						
1. Plan workshop	March 2005	1	8	1	3	Copies, materials: $60
2. Hold workshop	April 6, 2005	2	3	3	2	Staff transport: ~$500 Food: ~$500
3. Follow-up activities	April 2005	2	20	1	1	
Workshop 3: Strategies & Measures + Touchdown Meeting						
1. Plan workshop	April-May 2005	4	12	3	3	Survey prizes: $125
2. Hold workshop	June 9-10, 2005	2	4	3	4	Food and catering: ~$7000 Lodging: ~$400
3. Follow-up activities	June-July 2005	4	20	4	4	
TOTALS		**37**	**174**	**32**	**30**	**~16,000**

* Days here are listed as approximate full-time equivalents for each group – for example, since TNC had two managers attending the kickoff workshop for one day each, this is listed as 2 FTEs. Mng = managers; Sci = Science staff; Field = Field staff, Fac = Facilitators.

Annex 2. Facilitator Agendas for Workshop Sessions

The following is the annotated facilitator's agenda that we developed for the workshop sessions. Versions of the agendas that we handed out to the workshop participants are available at http://conserveonline.org/workspaces/hrew.conserve.

Conservation of Biological Diversity in the Hudson River Estuary

A Series of Workshops Using the Conservancy's Conservation Action Planning (5-S) Process

Version: 11 Feb 2005   *** Annotated Version for Meeting Facilitators ***

Overall Objectives

Objective 1: Develop Credible 1st Iteration of a Joint Conservation Plan – Agreement among participating organizations regarding a coordinated plan for conserving the Hudson River Estuary that includes:

- Priority biological targets
- Major threats to biodiversity that need to be addressed
- Key strategies that could be undertaken to address these threats
- Which actors can undertake these strategies and where there are gaps

Outcome 2: Stakeholder Buy-In – Buy-in from the major conservation actors in the Hudson River Estuary into the process and the plan that results from it.

Working Agenda

Date/Time	Session (Facilitator)	Desired Outputs(s)	Prep/Materials Needed
WORKSHOP 1: Target Selection and Viability Analysis			
????	***Facilitators Confab by Phone***	*Final preparations*	
Thu – 03 Mar			*To Print in Advance* - Public Agenda - Becky/Tim report - Powerpoint notes
12:00 – 12:30	**Lunch**		Order lunch
12:30 – 1:30	**Introduction** - Welcome (Katie) - Introductions (Katie) - Expectations (Katie-Nick) - “Social contract” (Nick)	Introduce participants Surface desires / fears	Prepare room Prep Katie (Tim) *Flipchart paper. Markers.* *Background materials.*
1:30 – 2:00	**Intro to Workshop Series** - Overview presentation (Nick) - Clarifying questions	Provide an overview of the workshop series	*Computer projector.* *Overview presentation.*
2:00 – 2:45	**1. Project Team & Scope** - Intro to topic (Nick) - Draft proposal (Tim & Becky) - Plenary discussion (Nick)	Agree as a group the geographic and conceptual “boundaries” of what we are focusing on Agree on basic vision	Prepare intro *Base map of HR Estuary* *- B&W* *- Big on the wall* *- electronic*
2:45 – 3:00	**Break**		Arrange food / coffee
3:00 – 5:30	**2. Focal Targets** - Intro to topic (Nick) - Quick statement from Tony - Plenary card exercise to agree on targets (Nick)	Agree on a small number ($\leq$ 8?) of focal targets to represent HR biodiversity	Prepare intro *Sticky board*
6:00	**Group Dinner**		Arrange location
Evening	**Optional Presentations**	Share interesting stuff	Select and organize speakers (steering committee suggestions?)

Date/Time	Session (Facilitator)	Desired Outputs(s)	Prep/Materials Needed
Fri – 04 Mar			
8:30 – 9:00	**Breakfast**		Order breakfast
9:00 – 9:30	**Recap and Review**		
9:30 – 12:00 *	**3. Viability Analysis** - Intro to topic (Nick) - Breakout groups to develop key ecological attributes, indicators, and acceptable range of variation for targets (all targets, but initial draft)	Introduce methodology Identify KEAs Identify indicators Propose initial acceptable range of variation	Prepare intro Instruction sheet for breakout groups Figure out how to divide groups and make sure we have facilitators and recorders (someone who knows workbook) for each Caroline, Becky, Tim, & Collin
12:00 – 1:00	Lunch		
1:00 – 2:30	**Present Results to Group** (Nick) - Brief presentations - Discussions	Share & discuss results	
2:30 – 3:30	**Group Discussions** (Nick) - Synthesis - Next steps assignment	Synthesize results	
3:30	**Session Adjourns**		
???	***(Facilitators Debrief / Plan)***	*Review and adapt*	

Date/Time	Session (Facilitator)	Desired Outputs(s)	Prep/Materials Needed
WORKSHOP 2: Threat Analysis			
????	***Facilitators Confab by Phone***	*Final preparations*	
Wed – 06 Apr			
8:30 – 9:00	**Breakfast**		Order breakfast
9:00 – 9:45	**Recap and Review** (Nick)	Buy in to results of previous session	Send completed results from previous in advance
9:30 – 11:30 *	**3. Threat Rankings** - Intro to topic (Nick) - Breakout groups to identify and rank direct threats (sources) for targets (all targets, but initial draft)	Introduce methodology Identify and rank direct threats	Prepare intro Instruction sheet for breakout groups Figure out how to divide groups and make sure we have facilitators and recorders (someone who knows workbook) for each
11:30 – 12:30	**Present Results to Group** (Nick) - Brief presentations - Discussions	Share & discuss results	
12:30 – 1:30	Lunch		Order lunch
1:30 – 3:30 *	**4. Situation Analysis** (Nick) - Intro to topic - Breakout groups to identify indirect threats and opportunities for targets	Introduce methodology Identify and indirect threats and opportunities (chains)	Sticky board
3:30 – 4:30	**Present Results to Group** (Nick) - Brief presentations - Discussions	Share & discuss results	
4:30 – 5:00	**Group Discussions** (Nick) - Synthesis - Next steps assignment	Synthesize results	
5:00	**Session Adjourns**		
???	***(Facilitators Debrief / Plan)***	*Review and adapt*	

Date/Time	Session (Facilitator)	Desired Outputs(s)	Prep/Materials Needed
WORKSHOP 3: Strategy Development and Monitoring			
????	***Facilitators Confab by Phone***	*Final preparations*	
Thu – 9 June			
12:00 – 12:30	**Lunch**		Order lunch
12:30 – 1:15	**Recap and Review** (Nick)	Buy in to results of previous session	Send completed results from previous in advance
1:15 – 3:30 *	**5. Strategy Development** - Intro to topic (Nick) - Brainstorm strategies - Breakout groups to develop action plans (objective and the strategic actions)	Introduce methodology Identify objectives and strategic actions Identify who could do what	Prepare intro Instruction sheet
3:30 – 5:00	**Present Results to Group** (Nick) - Brief presentations - Discussions	Share & discuss results	
6:00	**Group Dinner**		Arrange location
Evening	**Optional Presentations**	Share interesting stuff	Select and organize speakers
Fri – 10 June			
8:30 – 9:00	**Breakfast**		Order breakfast
9:00 – 9:15	**Recap and Review** (Nick)		
9:15 – 11:00 *	**6. Monitoring** - Intro to topic (Nick) - Breakout groups to develop plans for monitoring effectiveness of actions	Introduce methodology Identify information needs, indicators, and methods	Prepare intro Instruction sheet for breakout groups Figure out how to divide groups and make sure we have facilitators and recorders for each
11:00 – 12:00	**Present Results to Group** (Nick) - Brief presentations - Discussions	Share & discuss results	
12:00 – 12:30	**Workshop Close** (Katie) - Evaluation - Discuss next steps	Get feedback Plan for future	Prepare evaluation form

Date/Time	Session (Facilitator)	Desired Outputs(s)	Prep/Materials Needed
12:00 – 1:00	**Lunch & Prep Presentations**		Order lunch
1:00 – 4:00	**Presentations to Broader Audience** (Katie) - Presentation of results - Discussion - Next steps	Share results with other folks and get comments Agree on next steps	Invite people Prepare presentations
4:00	**Reception**		Arrange reception
???	***(Facilitators Debrief / Plan)***	*Review and adapt*	

* includes coffee break/refreshments

Annex 3. Guide to Workshop Materials Available Online

The following can be downloaded at http://conserveonline.org/workspaces/hrew.conserve.

- **Workshop Products Report –** A summary of workshop products.
- **Workshop Agendas –** The public agendas developed for each of the workshops in our series.
- **Workshop Presentations –** The powerpoint presentations used for each session.
- **Workshop Instructions –** The instructions handed out for each breakout group session.
- **Targets, Threats and Strategies –** Detailed output from the workshops that were distributed to participants, including meeting notes, initial drafts, and refined products.
- **Workshop Evaluations –** Summaries of the evaluations that we received for each workshop.