OAK FOUNDATION

Grant Application Form

Complete each question by entering your response in the relevant shaded area. Please do not adjust the font size from Times New Roman 11 point. Refer to the guideline for any clarifications.

1. Organization

Organization Name:	Healthy Reefs Initiative, Smithsonian Institution

Street 1:	Smithsonian Marine Station
Street 2:	701 Seaway Dr
Street 3:	

City:	Ft Pierce	State:	FL
Country:	USA	Zip Code:	34949

Telephone No.:	(772) 462-0977	Extension:	
Mobile:	754 610 9311	Fax:	

Email:	mcfield@healthyreefs.org
Website:	www.healthyreefs.org

Summarize your organization's mission (*maximum 75 words*):
Healthy Reefs for Healthy People Initiative (HRI) is a globally unique international collaborative program of coral reef-focused research, management and conservation organizations dedicated to safeguarding the Mesoamerican Reef in Mexico, Belize, Guatemala and Honduras. HRI and its partners work to improve management and decision-making by the region's varied reef management organizations, thereby enhancing the reef's health and resiliency.

2. Principal Contact (*provide contact details for the person who will be Oak's main point of contact.*)

Principal Contact:	Title:	Dr.	Last Name:	McField

First Name:	Melanie	Middle Name:	D.

Position**:**	Director

Use organization's mailing address: Yes*:_ /No:_	mcfield@healthyreefs.org; mcfieldm@si.edu

**If Yes, skip to Telephone No. field*

Street 1:	

Street 2:	

Street 3:	

City:		State:	

Country:		Zip Code:	

Telephone No.:		Extension:	

Mobile:		Fax:	

Email:	

Other ways you can be reached (*like Skype ID, secondary email addresses etc.*):	McFieldm@si.edu skype: melaniemcfield

3. Signatory Contact (*provide the contact details for your chief executive officer or another person who is authorized to sign contracts.*)

Signatory Contact:	Title:	Last Name:	

First name:		Middle Name:	

Position**:**	

Use organization's mailing address: Yes*:_ /No:_	

**If Yes, skip to Telephone No. field.*

Street 1:	
Street 2:	
Street 3:	

City:		State:	
Country:		Zip Code:	
Telephone No.:		Extension:	
Mobile:		Fax:	

Email:	
Other ways you can be reached (*like Skype ID, secondary email addresses etc.*):	

4. Project Overview

4a. Project Name:	Healthy Reefs for Healthy People: Strengthening the Scientific Foundation

4b. Core Support: Yes:_ /No:_	

4c. Grant period:	Start date: (dd/mon/yy)	01	10	2016	End date:	09	30	2020

4e. Total Project Cost:	~ 1,500,000 (current annual funding over 4 years)	**4f. Total amount requested from Oak:**	$500,000

4g. Summarize the project's ultimate goal(s) (*maximum 200 words*):

HRI's goal for 2016-2020 is to improve its scientific knowledge to better produce more useful products and better disseminate and communicate the scientific data and resources provided to its partners, public policy and private sector decision-makers, and the general public. HRI will increase its influence and effectiveness to continue to strengthen sustainable coastal and marine resource management and help ensure economic opportunities for coastal communities. This grant proposal seeks to amplify HRI's effort to ensure that the knowledge and experience it has gained over the last decade with its partners are properly understood, clearly documented and effectively made available to the global marine conservation community. Our efforts will continue to raise capacity and collaboration among marine conservation practitioners in the region, while also enhancing public awareness and political will to implement marine conservation actions through its broad-based appeal to better understand and support management actions.

We aim to go beyond innovative reporting on ecosystem health and management, and enter into the research and development space for coral nurseries, *Diadema* enhancement, and technological innovations in sanitation. If proven economically feasible, these endeavors can cumulatively reduce pollutants, enhance herbivory, and assist the repopulation of endangered corals, cumulatively increasing reef health and public awareness of the importance and value of coral reefs, and sustained informed decision making supporting the long-term conservation of the Mesoamerican Reef.

5. List the major countries where your activities take place. If this is global policy work, list as worldwide:

Belize, Honduras, Guatemala and Mexico; with expansion into the wider Caribbean and other important marine areas by 2020.

6. Context (*The context section should not exceed two pages*.)

6a. Describe the organization (include information on leadership, governance, structure and staff) and expected changes. (*maximum 300 words*):

HRI is a globally unique collaborative international initiative that includes 65 local, national and international NGO's, research institutions, government agencies and donors that aim to improve the health and management of the MAR. It has grown from a modest beginning in 2004 as a scientific effort to define and quantify reef health indicators into an active collaboration of organizations catalyzing, refining and evaluating marine conservation actions in the MAR.

2016 marked the transition year for HRI to become fully integrated into the Smithsonian Institution (SI). HRI will benefit from the extensive administrative, research, fundraising, and communication resources that SI provides. HRI is one of the few conservation-based Smithsonian initiatives that is integrating the natural and social sciences, with potential for further expansion of this work within the newly created Conservation Commons Pan-Institutional Initiative.

Since 2006 HRI has been run by Melanie McField, PhD, a full time Smithsonian employee who is the HRI Program Director. She leads the team of four country coordinators and technical consultants who form HRI's backbone. The new scientific advisory committee, including Smithsonian and other leading research institutions, provides guidance, feedback and recommendations to the program. Oversight of the HRI Director is by Valerie Paul, Smithsonian's Director of the Smithsonian Marine Station (SMS) at Ft. Pierce, who also oversees the Belize Caribbean Coral Reef Ecosystem (CCRE) research station and Steve Box's Integrated Marine Planning and Conservation Tools (IMPACT) program.

HRI plans to maintain its leadership position in the conservation of the MAR and become a global leader in science-based adaptive management that provides direct assistance to conservation practitioners and decision-makers. The following proposal is based on a critical review of past accomplishments, future needs, and opportunities to increase collaboration within the Smithsonian. HRI is targeting four cornerstone strategies that have the greatest opportunities to provide the solid foundation needed to improve reef health. Each of our country coordinators leads one of these themes: Healthy Watersheds, Healthy Communities, Healthy Fisheries and Healthy Futures.

6b. Describe the financial situation (include information on annual operating costs, fundraising strategy, reserves and debts) and expected changes. (*maximum 300 words*):

As part of its strengthened relationship with the Smithsonian, HRI will be part of SIs plans to work with the Smithsonian's Office of Advancement, Office of Sponsored Projects and Office of International Relations to identify, cultivate and secure new funding sources. Potential donors include the Gordon and Betty Moore Foundation, Thomas Haas Foundation, Marisla Foundation, and several family foundations. HRI is seeking continued funding for its MAR work from the Summit Foundation and the Oak Foundation.

HRI's 2016-2017 annual budget is $378,811 including $125,000 within this proposed grant from Oak Foundation. Over the last 5 years the budget has ranged from approximately $135,000 to $490,000 per year. The primary costs are for salary/contracting fees for the Director, 4 Coordinators and technical consultants on different products. Every other year there are additional field monitoring expenses followed by additional graphic design and printing costs in the following year. Travel and workshops (including training/capacity building) are additional ongoing costs.

Now that HRI is fully operationalized within the Smithsonian, we have begun to develop a new fundraising strategy within it, which will serve as the focal point for our expanded donor base. HRI is prominently featured in the fundraising plans of the working land and seascapes component of the conservation commons - the Smithsonian's new Pan-Institutional conservation effort. The new Smithsonian Global website and outreach effort aims to reach large bilateral and other donors and features HRI: global.si.edu/projects/healthy-reefs-healthy-people

HRI also has a collaborative funding concept with the MAR Fund and the MAR Conservation Leadership program aimed at increasing the MAR Fund's endowment – for specific accounts for HRI (for field monitoring costs, etc.) and Conservation Leaders programs. There are no debts and no reserves, although the MAR Fund is assisting with an endowment proposal.

6c. Describe the history and past achievements of the organization. (*maximum 300 words*):

HRI began in 2004 as an international, multi-institutional effort to track the health of the MAR ecosystem to improve its condition and draw the connection between reef health and human health. The foundational effort, the 2007 "Guide to Indicators of Reef Health and Social Well-Being", defined both our concept of ecosystem health and our indicators to evaluate it.

In 2008 HRI published the first (globally) Report Card (RC) evaluating the health of a coral reef followed by three more. The 2015 RC was the most scientifically robust, comprehensive, partner 'driven' report. The RC is one of the most effective and requested communication products used by managers, NGOs and private sector that are working on effectively managing coral reefs.

HRI, in collaboration with its partners, developed and implemented the first-ever multinational Eco-Audit of the Mesoamerican Reef Countries in 2011, followed up in 2014 and 2016. Twenty-eight standardized management indicators are tracked across seven themes. The Eco-Audit draws on input from a variety of NGOs, governmental agencies, and the private sector, and includes transparently verified and publicly available results and all verification documents on the healthyreefs.org website, along with the new 2016 interactive version.

SUMMARY ACHIEVEMENTS.

- The MAR has protected >20% of its territorial seas, more than most other areas.
- Five new MPAs have been designated since 2011.
- Fully protected (no-take) areas have increased to 3%, but needs to increase more.
- Fully protected areas had 10 times more commercial species (snapper and grouper).
- Parrotfish now fully protected in Belize, Guatemala and Bay Islands, Honduras, with increased biomass notes in some areas.
- Collaboration at the governmental level has increased with all 4 countries.
- Regular standardized coral reef monitoring conducted every 2 years.
- Open-access online interactive database of all coral reef monitoring data.

6d. Describe the current strategy of the organization. (*maximum 300 words*):

HRI and its partners are effectively improving management and decision-making by the region's varied reef management organizations and agencies, ultimately enhancing the reef's health and adaptive capacity to withstand the impending escalating stressors associated with global climate change. The following sections detail our approach to collaborative science-based reef management, the main threat or problems associated with reef, new opportunities and our specific objectives for the next four years. Over the next four years, HRI is targeting four cornerstone strategies that have the greatest opportunities to provide the solid foundation needed to support healthy coral reef ecosystems. Our strategic conservation efforts over the next four years will focus on leveraging financial, technical and other support for: Healthy Watersheds, Healthy Communities, Healthy Fisheries and Healthy Futures.

Healthy Watersheds – Clean, intact, healthy watersheds are needed to support vibrant coral reefs, fisheries, human health, and local economies. HRI's Healthy Watershed strategy focuses on innovative and catalytic activities that help advance watershed protection and improving sewage treatment in our Mesoamerican Region.

Healthy Communities – Our human communities in the Mesoamerican Region depend on productive coastal ecosystems. The Healthy Communities strategy aims to improve our understanding of the linkages between human and ecological health, and promote sustainable development alternatives.

Healthy Fisheries – Our Healthy Fisheries strategy includes activities supporting ecosystem-based fisheries management, including the region-wide protection of parrotfish, important fish spawning sites, and the promotion of fisheries replenishment zones.

Healthy Futures – Our region's marine biodiversity and people's livelihoods are dependent on healthy coral reefs, today and for many tomorrows. Our Healthy Futures strategy is testing new innovative research solutions to help restore and promote healthy coral reefs in a changing climate, including developing a regional Coral Bleaching Emergency Response Plan, coral nurseries, facilitated recruitment of *Diadema,* and reef resiliency.

6e. What problems are you addressing? What are the opportunities and challenges in addressing these problems? (*maximum 600 words*):

HRI is a multi-institutional Initiative seeking to combat the problem of coral reef decline in the Mesoamerica reef by galvanizing the science, conservation and political will required to implement the latest science-based recommendations for reef management. Over the last decade, HRI has continually improved and expanded the partnership and products, including the reef-focused Report Cards and governance focused Eco-Audits. HRI achievements include: developing a quantitative framework for evaluating and improving reef health; creating influential tools and recommendations to inform regional policy decisions; expanding from 4 to 65 partnerships at the regional, national, and international level; and serving as a regional leader and communicator that promotes a unity of vision and strategic purpose for reef health through the MAR. Specifically, the main stressors we are addressing though our efforts and those of our partners include:

Overfishing and destructive fishing are the second most widespread threat to coral reefs in the MAR. Throughout the region, fisheries management has not achieved sustainability, in large part due to reliance on open-access and traditional management approaches and the inability to control illegal fishing, especially in remote areas. HRI, through its Report Card, is delivering important information on fish biomass, focusing mostly on snappers and groupers as commercially important species, and on parrotfish and surgeonfish as important herbivores. Recovery of fisheries requires that areas under full protection (fish refuges) be increased, which has been a focus of HRI. In addition, we support improved management of fishing areas and practices, such as providing needed data for the 'catch shares' program being piloted in Belize, as well as efforts to identify and address underlying social and economic factors leading to overharvesting. MPA effectiveness is a key component in improving fishery stocks, however it requires both the capacity and the political will to enforce regulations. Both of these aspects are assisted through the collaboration of partners within HRI. There are also ecological challenges, for example, some species need different habitats during different life stages and most MPAs are too small to contain all the needed habitats. HRI is providing needed data and expertise to TNC's effort to examine the critical features and gaps of the MAR Network of MPAs.

Poor Sanitation and Sewage Treatment is a key issue for protecting both reef health and human health. Inadequately treated sewage is commonplace in the region and deleterious to both. HRI through its Eco-Audit evaluates the extent to which regional standards for wastewater management and sewage treatment have been developed, adopted by countries, and applied to the construction of new sewage treatment infrastructure. Solid efforts are underway to address these issues, particularly in Honduras and Mexico; however, additional efforts are needed for new infrastructure to treat and reduce wastewater (including sewage and industrial effluent) in order to reduce nutrients and toxins that reach coral reefs.

Climate Change is an overarching threat currently and increasingly impacting the entire MAR region. It is widely accepted that one of the main ways to address this threat is by making impacted ecosystems as healthy and resilient as possible - this is the focus of HRI. While the MAR countries have little impact on global emissions and CO_2 reductions, HRI does promote the incorporation of carbon sequestration programs (stated in our EA's), and tracking the impacts due to climate change: coral bleach-watch program; while concurrently fostering the building of resilience through strong networks of marine protected areas. HRI also lead the first MAR-wide emergency coral bleaching response program in late 2015 and is preparing now for the 2016 bleaching season.

7. Objectives (*maximum 2,200 words*)
For a core support grant fill out just one objective and state the purpose of this grant request. For project support grants list your objectives for this project in bullet point format. (You may use additional space if you have more than three objectives). Under each objective describe the activities that your organization will undertake to achieve it, including timeframe and the results or outcomes you expect to achieve.

7.1.a. Objective 1 (*maximum one sentence*):

Objective 1. Convene and Coordinate the region's collaborative monitoring and communication about the overall health of the Mesoamerican Reef and our efforts to manage it.

7.1.b. Objective 1 – Activities and timeframe (*maximum 300 words*):

By delivering scientifically credible, objective, and respected reports to the global community in real-time, the HRI can have a greater impact on improving decision-making by national, regional and international reef management organizations and agencies. More specifically, our overarching objective includes the production of the following products and processes.

2016, 2018 and 2020 - Reef monitoring activities.

2016, 2018, 2020 - Training workshops and certification of local data collectors.

2017, 2019 - Produce and launch Reef Report Cards

2020- Perform evaluation. Produce and Launch 2020 Eco-Audit.

2016, 2017, 2018, 2019, 2020- Partners participate in annual HRI meeting to convene collaboration - setting priorities

Ongoing- Participation in workshops and partner efforts

Ongoing- Launch events, regular TV and newspaper articles social media posts.

7.1.c. Objective 1 – Expected results/outcomes and timeframe (*maximum 300 words*):

- Spring 2017 and 2019 4000 Report Cards printed.
- Spring 2017 and 2019 - 4 launch events successfully get media attention presenting the Report Card.
- Spring 2018 first Community Health Report Card.
- Spring 2020 Eco-Audit of the Mesoamerican Reef Countries.
- 2020 - 1000 Eco-Audits printed
- 2020 - 4 launch events gain media attention on the presentation of the Eco-Audit results.
- 2016, 2017, 2018, 2019 and 2020- Partners responses on HRI annual surveys find that at least 80% are satisfied with HRI program
- Every year form 2016- HRI staff record at least 1 major conservation 'win" per year relying on the collaboration, as verified in news articles
- Annual Partner meeting (dependent on co-funding success). Partners responses on HRI annual surveys find that at least 80% are satisfied with HRI program
- HRI staff record at least 1 major conservation 'win" per year relying on the collaboration, as verified in news articles
- More than 40 media stories are developed per year about conservation issues and HRI launches of reports, (TV, newspaper) in addition to regular social media posts (per year).
- Annual public perception survey results on public engagement in main conservation issues

7.2.a. Objective 2 (if any) (*maximum one sentence*):

Healthy Watersheds: Working alongside existing local and national water entities, HRI will promote the adoption and replication of effective management schemes that will allow better management of potable and waste water in coastal communities improving reef health (and community health).

7.2.b. Objective 2 – Activities and timeframe (*maximum 300 words*):

- 2020- Connect 90 homes/businesses to waste water treatment plant.
- Ongoing - Meetings and workshops held where a management scheme is presented to existing water boards and fully explained.
- 2020 - Honduran water management entity (ERSAPS) meets with water boards and creates tariff spreadsheet.
- 2017 - Honduran Govt. ratifies Cartagena Convention (which includes LBS Protocol).
- 2020- Sanitation projects are underway in Honduras that improves effluent water quality.
- Ongoing through 2020- Find new and emerging technologies that treat waste water

7.2.c. Objective 2 – Expected results/outcomes and timeframe (*maximum 300 words*):

End 2020- 90 homes/businesses in West End are connected to waste water treatment plant. 50% of households are paying for waste water treatment

- End 2017- Replicate Polo's Water Board water management scheme in 2 other MAR communities.
- End 2018- Replicate Polo's Water Board water management scheme in 2 more MAR communities.
- Mid 2017- Cartagena Convention ratified by Honduran Government.
- End 2018- 2 IDB-funded projects are underway to improve sanitation.
- Mid 2020- 2 other IDB-funded projects are underway to improve sanitation.
- Throughout the 4 years: emerging and new technologies identified for waste water treatment with potential for use in facility upgrades.

7.3.a. Objective 3 (if any) (*maximum one sentence*):

Healthy Fisheries: HRI aims to advance the network of scientifically justified replenishment zones or no-take fish refuges, protecting at least 10% of territorial sea by 2020, including 75% of the known fish spawning sites. Increase herbivory and reef health by protecting parrotfish region wide by 2018

7.3.b. Objective 3 – Activities and timeframe (*maximum 300 words*):

Ongoing - Protection of at least 3 more Spawning Aggregation sites (SPAGs) by working with partners to further MPA zoning or enact new MPAs to protect SPAGs.

2020- Expand existing No Take Zones (NTZs) and establish new MPAs including full replenishment zones.

Increase herbivory and reef health by protecting parrotfish region wide by 2018.

7.3.c. Objective 3 – Expected results/outcomes and timeframe (*maximum 300 words*):

- End 2016-Further parrotfish outreach and communications.
- End 2017- Work to expand legal protection of parrotfishes to coastal reef areas in Honduras and Mexico.
- Ongoing- Each country coordinator works with their national or state entities and partners to advance the creation of more and better fully-protected replenishment zones.
- Beginning in 2018 and ongoing - Increase the percentage of protection of known SPAG sites in the MAR.
- Ongoing - SPAG mapping in the MAR.
- Ongoing - Updated status of MPA expansion and increased areas in NTZ in the MAR.

7.4.a. Objective 4 (if any) (*maximum one sentence*):

Healthy Communities: Convey consistent, scientific information and recommendations to policy-makers, decision-makers and the public, such that the connections between reef health, human health and socioeconomic sustainability, result in effective conservation action at an unprecedented scale.

7.4.b. Objective 4 – Activities and timeframe (*maximum 300 words*):

HRI has had discussions with researchers from Harvard University who are working on modeling changes in diet based on access to fisheries. This would help HRI update its indicators and add to existing indicators such as an Economic Contribution of marine-related activities that help generate public support and influence decision-making. A summary is due by the end of 2016.

- End 2016- Expert and partner review of Socio-ecological indicators for the MAR.
- Ongoing- Collect key social indicators data in selected communities, leveraging our network of partners and lead by the HRI team.
- End 2017- Collect and synthesize Coastal Poverty Index information from secondary sources.

7.4.c. Objective 4 – Expected results/outcomes and timeframe (*maximum 300 words*):

- 2017- HRI and its partners evaluate the results and engage in an agreement on methodology for Socio-Ecological indicators that successfully make linkages.
- 2017 – 2018- Field data collection of social indicators
- 2017- 2018- Collection and synthesis of CPI information from secondary sources. Poverty information and tailors for Coastal Communities
- Spring 2018- Produce a Community Health report Card featuring social indicators.

7.5.a. Objective 5 (if any) (*maximum one sentence*):

Healthy Futures: Expand HRI science to address main impacts to reef health by managing coral reefs in a changing climate to improve reef resiliency.

7.4.b. Objective 5 – Activities and timeframe (*maximum 300 words*):

Our region's marine biodiversity and people's livelihoods are dependent on healthy coral reefs, today and for many tomorrows. Our Healthy Futures strategy is testing new innovative research solutions to help restore and promote healthy coral reefs in a changing climate, including developing a regional Coral Bleaching Emergency Response Plan, coral nurseries, facilitated recruitment of *Diadema*, and reef resiliency

- Ongoing- Mobilizing a MAR-wide Coral Bleaching emergency response plan in operation, with an established protocol.
- End 2019- Evaluate the bleaching impact in the MAR and evaluate reef resiliency models.
- Ongoing - Support Coral reef restoration projects in the MAR
- End 2018- Characterization of potential sites to serve as recruitment facilitators for *Diadema*.
- 2019- Test low-cost methods of facilitating *Diadema* recruitment in 3 areas.

7.4.c. Objective 5 – Expected results/outcomes and timeframe (*maximum 300 words*):

- Ongoing- The Coral Bleach Response Plan is approved and is implemented by at least 10 partners.
- End of 2016, 2018 - At least 40 sites are monitored on the next bleaching event (if funds are secured)
- 2017, 2019 - Report on MAR bleaching is complete and publicly available.
- By 2020- Increased number of successful coral nurseries in the MAR., with HRI assistance (increasing from 1 to 3 if funding secured).
- By 2019- Recovery of *Diadema* and reef health (more herbivory, less macroalgae and more live coral).
- 2017- Report on *Diadema* abundance and site characteristics through analysis of existing data.
- By 2020- Produce a manuscript and management recommendations based on experiment results for low cost methods of facilitating *Diadema* recruitment.

8. Cooperation

8. **Describe the level of cooperation with other organizations and networks and explain how this cooperation helps achieve your goals** (maximum 300 words):

As a partnership initiative with over 65 partner organizations, HRI will continue to support these partners, including all of the MPA management organizations (government and non-government) within the region. We will use our new position as a Smithsonian program to enhance collaboration with Smithsonian scientists and with networks outside the Smithsonian including:

- Steering Committee of the Global Coral Reef Monitoring Network – Caribbean.
- The Caribbean Large Marine Ecosystem Project (CLME) is a GEF project.
- Connecting with Cuba via Ocean Foundation and Marine Wilderness 10+10.
- UNAM, through Lorenzo Alvarez Filip's research team (www.barcolab.org).
- Graduate student interns and post-docs are interested in working with us from: Scripps Institution of Oceanography, Florida International University, NOVA Southeastern University.
- AGRRA collaboration in training and comparative analysis with Wider Caribbean.

HRI can serve as a useful model and partner in collaborative ecosystem monitoring. Our successful collaborative process of engaging partners in applied management-focused monitoring is of great interest, as the Smithsonian now begins enlisting non-SI research stations into the network on a voluntary basis.

McField is assisting with the writing of the background documentation for the Ecosystems component and participating in the discussions about the engagement process and communications effort. The Smithsonian recognizes the value and potential of HRI for providing a key example of a conservation success story already underway within the institution that can be included in capability statements towards their collective efforts. HRI could also provide a vibrant example of ecological-social integration operating within the SI Network, whereby conservation, socio-economic and cultural values all benefit from sustainable management of the Mesoamerican Reef.

9. Impact

9. What is the change you want to achieve from the overall project? (*maximum 300 words*):

HRI's goal for 2016 through 2020 is to improve its scientific knowledge to better produce useful products and better disseminate and communicate the scientific data and resources provided to its partners, public policy and private sector decision-makers, and the general public. HRI will increase its influence and effectiveness to continue to strengthen sustainable coastal and marine resource management and help ensure economic opportunities for coastal communities. This grant proposal seeks to amplify HRI's effort to ensure that the knowledge and experience it has gained over the last decade with its partners are properly understood, clearly documented and effectively made available to the global marine conservation community. Our efforts will continue to raise capacity and collaboration among marine conservation practitioners in the region, while also enhancing public awareness and political will to implement marine conservation actions through its broad-based appeal to better understand and support management actions.

We aim to go beyond innovative reporting on ecosystem health and management, and enter into the research and development space for coral nurseries, *Diadema* enhancement, and technological innovations in sanitation. If proven economically feasible, these endeavors can cumulatively reduce pollutants, enhance herbivory, and assist the repopulation of endangered corals, cumulatively increasing reef health and the public awareness of the importance and value of coral reefs, and sustained informed decision making supporting the long-term conservation of the Mesoamerican Reef.

Ultimately our main impacts are that through our collaborative efforts the Mesoamerican Reef is regularly being fully evaluated, with the results reported publicly and in the halls of government, enabling managers to adjust their strategies as needed. By enhancing scientific capacity and introducing new technologies and management ideas, we are also maintaining the MAR's position as an innovative leader in marine conservation and improving the health of the Mesoamerican Reef.

10. Evaluation

10. How will progress be monitored and evaluated? (*maximum 300 words*):

The progress made by HRI will be determined by the results of the Report Cards (2017, 2019), the new Community Health Report Card (2018) and the degree of implementation of management actions that are evaluated in the Eco-Audit (2020). The number of new collaborators and the expansion of the HRI beyond the MAR will also determine the progress. It will more specifically be evaluated with the indicators detailed in Annex 1.

Others means of measuring our success include monitoring the following results:

- Recovery of fish stocks (increased commercial fish biomass) and reef health (more live coral and less macroalgae).
- Replication of successful case studies between the four MAR countries.
- Improved collaboration between sectors (fishers, tourism, Government, NGO, academia) to more effectively manage no-take zones (as measured by the management effectiveness ranking in the 2020 Eco-Audit).
- Increase the protection of important ecosystems resulting in habitat recovery (% territorial seas within MPAs).
- By having more and better informed partners and marine community members, this would enhance community timely awareness and knowledge of specific issues or events happening in the MAR, resulting in strengthened, more rapid and coordinated local and international collaboration (partly measured by environmental perceptions surveys).
- More collaborative use of resources, which can reduce operational costs for all partners, measured through Coordinator's surveys.
- Having more informed stakeholders (tourism and fishing sectors) with increased credibility can help support conservation focused decisions.
- Expand our capacity-building, networking and development of collaborative Reef Report Cards in other countries in the Wider Caribbean.

In addition, we seek co-funding to cover the cost of a strategic planning and program evaluation in 2017/18, which will help to quantify the degree of success or barriers to success of these key elements.

11. Future Plans

11. How will the grant influence the organization and future plans? (*maximum 300 words*):
Oak funding has been critical to achieve HRIs goals over the past 6 years. This specific grant will not only help HRI achieve the stated objectives but also open new opportunities within Smithsonian for the first time, within the region and then in the larger Caribbean. This grant will enable HRI to expand its scientific knowledge and its ability to provide improved information, not only to the MAR countries, but to be expanded in other coral reefs in the Caribbean. The new objectives structure focuses on the building blocks of successful reef management (sustaining healthy fisheries, watersheds, communities and futures - including new scientific knowledge). HRI aims to better empower the HRI Country Coordinators to achieve measurable results in these four areas. As well-known and respected members of each country's marine conservation community, each coordinator helps catalyze reef management and achieve priority management recommendations. Recognizing that we can't actually manage corals or coral reefs - we manage human activities and opinions that affect the reef. By advancing these four main strategies we are directly contributing to the improved management and ultimate goal of healthy reefs and healthy people. HRI has successfully met its goals of the past ten years and is poised to expand and grow as an international resource. As one of our formative program donors, the Oak Foundation's terminal 4-year grant will enable us to meet multi-year matching requirements of new potential donors and will elevate our program status within the Smithsonian. We will continue with our capacity building, monitoring, reporting, evaluating and communicating about reef health and management, while at the same time exploring new innovations in ecosystem enhancement and restoration and technological advances in sewage treatment and full economic accounting of the costs of not fully treating all sewage effluents.

12. Declarations

12. Do you have any personal or commercial relationships with staff members or Trustees of Oak Foundation? If yes, please explain.
No

13. Attachments

Required documents:

1. Budget details Oak template
2. Organizational structure
3. List of board members and roles and functions
4. Audited financial statements
5. Annual report

6. Registration documents
7. Memorandum of association /article of association
8. Tax exempt certificate
9. Other documents

Documents if available:

10. Recent outside reviews and evaluations
11. Current unaudited financial reports

If applying for a **core support grant** in addition to the documents listed above, you are also required to submit the following documents:

12. List of funders with names, past funding and future commitments
13. Salary table by function
14. Organizational budget
15. Business or strategic plan

Comments (*if one of the required documents could not be submitted, please explain why*):	

14. Status (*discussion points between grantee and PO*):	

Please submit the completed form, the budget details and all accompanying documents electronically. Hard copies are not necessary.

15. Full Name of the person completing the form:	Melanie McField

16. Date of Submission: (dd/mon/yy)	23	9	16

Annex 1

PROJECT DEVELOPMENT TABLE

Project title: Healthy Reefs for Healthy People

Objective	Output / Expected Result	Activity	Time Unit (semesters of years indicated)								Performance indicator	Sources and means of verification	Impact Indicator	Sources and means of verification	Assumptions & risks
			16b	17a	17b	18a	18b	19a	19b	20a	20b					
HEALTHY REEFS - CORE STRATEGY																
Collaborative training and reef monitoring with partners	reefs are being regularly monitored by qualified local biologists, with consistent training opportunities Sound data regularly collected on reef health	Reef monitoring activities Training workshops and certification of local data collectors	x			x	x			x	x	> 80 sites monitored by HRI > 3 training workshops per season >30 researchers certified per season	database workshop reports test results and log of certified researchers	Standardized quality data collection regular assessments of reef condition	database review of collectors scores on testing database quality assurance statistical testing partner review of reports	funding needed for monitoring funding for workshops local capacity to pass tests

Production of Report Cards (X) and New Community Health Report Card (Y)	Reef managers, general public, and decision makers are able to evaluate reef health via Report Cards, and understand link to human economy and health (Y)	Production and launch of report cards		x		x	x			4000 Report Cards printed 4 launch events successfully get media attention (both per year in report card years)	receipts of printing Launch reports and copies of media coverage	Improvements in reef health (barring external impacts e.g. hurricanes, coral bleaching)	partner survey and public perceptions survey results	public looses interest hurricane or bleaching damages reef
Evaluation reef management through a 2020 Eco-Audit (frequency being reduced to every 5 years)	Country - level evaluations of degree of implementation of recommended management actions. Scores for each country	Perform evaluation. Produce and Launch 2020 Eco-Audit						x	x	1000 Eco-Audits printed 4 launch events gain media attention	Receipts of printing Launch event reports and copies of media stories	Proven progress in management actions. MAR % implementation increases from 62% to 75% by 2020 partner survey indicates the Eco Audit is useful	Eco-Audit is the verification document	public loses interest lack of government interest or incentive for conservation measures

Enhance partner capacity and participation in HRI	More engaged, effective partners, better utilization of HRI products to help achieve their conservation objectives	Partners participate in annual HRI meeting - setting priorities ongoing social media posts participation in workshops and partner efforts	X	X	X	X	X	X	X	partner's responses on HRI annual surveys find that at least 80% are satisfied with HRI program HRI staff record at least 1 major conservation 'win" per year relying on the collaboration, as verified in news articles	at least one major example of a collaborative 'win' each year. Success stories in Report Cards (RCs) demonstrate partner capacity and engagement	continued support for HRI as measured thru partner participation and survey results 'Wins' result in increased reef health	coordinator records and media reports Report Cards measure increased health	status quo conflicts with partners of contentious environmental issues, funding etc.
Enhance public awareness and support for marine conservation	More informed public engaged in conservation, better decision making	Launch events, regular TV and newspaper articles social media posts ongoing	X	X	X	X	X	X	X	>40 media stories per year about conservation issues and HRI launches of reports public perception survey results	log of media reports log of public engagement in main conservation issues	engaged public and community supports conservation activities increased reef health results from actions	log of public engagement and media about main conservation issues (at least 20 per year) report card measures increased reef health	competing headlines - economic interests counter to conservation

HEALTHY WATERS												
Effective management of waste water in the West End community improves local water quality and reef health	70% of West End community connected to water treatment plant through second phase KfW project	Connect 90 homes/businesses to waste water treatment plant		X	X	X X		50% of households paying for waste water treatment Gallons of waste water treated increases during period	Number of households connected obtained from water board records	reduction in macro algae on proximate reefs reduced contamination proximate waters as measured in water quality tests	% cover of macro algae reduced (can look at species composition) reduced, N, P, bacterial and viral indicators	Households want to connect and pay for treatment. Will treatment plant continue to operate effectively Nutrients from mainland could still fuel macroalgal growth
Replicate successful Water Board management scheme two more areas by 2020	2 other coastal water boards/districts are using Polo's Water Board water mgmt. scheme	Meetings and workshops held where mgmt. scheme is presented to existing water boards and fully explained		X	X			at least 2 Meetings and workshops carried out per year	Attendance lists and meeting photos	Other coastal water boards understand current scheme and want to implement it	Formal request letters sent to ERSAPS	Water boards want to improve mgmt. of water works
		Honduran water mgmt. entity (ERSAPS) meets with water boards creates tariff spreadsheet			X			at least 2 Meetings and workshops carried out per year	Attendance lists and meeting photos	Other coastal water boards have real and accurate tariff schemes in place	Tariff spreadsheets	communities accept water and sanitation tariff

	2 other coastal water boards/districts are using Polo's Water Board water mgmt. scheme	Meetings and workshops held where mgmt. scheme is presented to existing water boards and fully explained			X			at least 2 Meetings and workshops carried out per year	Attendance lists and meeting photos	Other coastal water boards understand current scheme and want to implement it	Formal request letters sent to ERSAPS	Water boards want to improve mgmt. of water works
8 coastal municipalities are improving sanitation	IDB and Honduran Govt. acquire funds for sanitation projects	Honduran Govt. ratifies Cartagena Convention (which includes LBS Protocol)	X	X				Cartagena Convention ratified by congress	Ratification printed in official gazette	LBS water quality norms are now legal in Honduras	Document stating that international treaties and conventions have national applicability	Convention is ratified by congress
	2 IDB/Honduran Govt. funded projects are underway to improve sanitation	2 sanitation projects are underway that improve effluent water quality			X	X	X	Projects approved to improve sewage treatment meeting new standards	Project timeline. News of projects is published in IDB newsletter or newspaper	Projects measure reduced contamination in treatment plant effluents HRI measures improved reef health nearby	sewage plant monitoring data HRI report card data	international entities want to fund sanitation projects

Identify new water-treatment technologies to improve wastewater treatment in the MAR	Find new and emerging technologies that treat waste water	Search online and printed articles that explain new treatment methods and technologies	X	X	X	X		X	At least one applicable technology identified At least one new technology applied (by 2020)	Staff web-based research	reduced contamination of water quality as measured by treatment plants reduced macro algae in nearby reefs	treatment plant water quality data HRI report cards / database	
HEALTHY FISHERIES													

Increase herbivory and reef health by protecting parrotfish region wide by 2018	Legal protection of parrotfishes regionally (Mexico and coastal HN missing) Continue communications efforts		X	X	X	x	x	X	X	regulation is passed Communication through social media, radio, conferences, tv, newspapers, magazines.	Eco-Audit verified legal documents Statistics from FB, TW and YouTube tally the amount of people reached by social media outreach. Survey monkey to measure perception and/or change of habits. Radio, tv, conference, press records	increased reef health due to successful implementation of herbivore protection herbivore biomass increases	Staff tally of publications and outreach Eco-audit measures implementation Report Card measures increase in reef health	macro algae response may be slower than expected due to excess nutrients

Enhance commercial fish biomass and reef health by protecting spawning aggregation sites	Protection of at least 3 more spawning sites	work with partners to further MPA zoning or enact new MPAs to protect SPAG sites	X	X	X	X	X	X	X	X	% of known SPAG sites in protection	Eco-Audit measures this statistic	increased reef health due to successful implementation of SPAG site protection	eco-audit measures implementation of regulation report card measures increase in commercial fish biomass and overall reef health	poor enforcement lack of political will low population density hampers recovery of stocks
Increase the percent of sea within fully protected zones to 10% by 2020	Increased NTZ	Expand existing NTZs and establish new MPAs including full replenishment zones	X	X	X	X		X	X	X	Increased area in NTZ	Eco Audit statistics measure % in NTZ	Increased biodiversity and reef health	Reef Health measured in Report Cards	Not having political will
HEALTHY COMMUNITIES															
Demonstrate the linkages between human, economic and reef health	Result 1: Assessment of impacts to human health due to changes in Reef health.	Expert and partner review of Socio-ecological indicators for the MAR		x	x			x			voting of HRI partners results in agreement on methodology for social indicators that successfully make linkages	Socio-Ecological indicators working group activity report	Experts and partners will endorse socio-logical indicators developed		

		Data collection and socialization of social indicators		x	x	x		Field data collection of social indicators	Methods, and raw data collected using social science methods	Methods appropriate for MAR		
	Result 2: Assessment Coastal Poverty Index Assessment	Synthesis of information on Coastal Poverty		x	x	x		Collection and synthesis of CPI information from secondary sources. Poverty information and tailors for Coastal Communities	Report on poverty index within the MAR	Updated secondary information exists and coastal geographical scope and analysis can be confined to the MAR.		
HEALTHY FUTURES												
HRI leads the incorporation of the latest reef science into reef management testing out new theories to improve reef management	Result 1: MAR-wide Coral Bleaching emergency response plan in operation, with an established protocol.	Coral Bleaching monitoring on selected sites in the case on an event	x	x				Plan is approved by HRI partners Plan is implemented by at least 10 partners At least 40 sites are monitored next bleaching event (if funds are secured)	Bleach watch data, photographs, videos.	some reef areas do not bleach as extensively, these are related to models of resiliency which are then validated and used to guide management	Data base on coral bleaching. Bleach Watch publication. Report Card	Partners must be willing to monitor sites. Predictions about events are uncertain

		Evaluate the bleaching impact in the MAR and evaluate reef resiliency models		x				Report on MAR bleaching is complete and publicly available.	Report on impacts on bleaching in the MAR. Maps are validated about reef resiliency potential	coral bleaching patterns are understood and validate resiliency models that guide MPA zoning	report on data analysis / model validation	Partners are not interested in participating in the coral bleach watch and emergency response plan.
	Result 2: Supporting Coral reef restoration projects	Support the best coral reef restoration projects throughout the MAR.			x x	x	x x	Increased number of successful coral nurseries are being developed in the MAR., with HRI assistance (increasing from 1 to 3 - if funding secured)	Coral nurseries data, video and photographs. 2 HRI assisted projects successfully out planting corals	coral restoration projects measure increased coral cover in out plant areas (by 2020)	Maps, reports on coral restoration projects, data base. Report Cards and site monitoring data	HRI needs project funding Partners must be willing to share the information. external impacts (hurricanes, coral bleaching or disease)

	Result 3: Facilitate natural recruitment of Diadema to enhance densities and improve reef health	Characterize sites with high abundance of Diadema. Test low-cost methods of facilitating recruitment in 3 areas			x	x	x	x	Report on *Diadema* abundance and site characteristics Manuscript and management recommendations based on experiment results are produced	analysis of existing data and report produced experimental data analyzed and reported	improved reef health in areas with high Diadema lower macro algae measured in high Diadema density areas ways to enhance natural Diadema recruitment are discovered	Report on *Diadema* abundance and habitat characteristics report on experimental results and recommendations report cards evaluate reef health	experiments may not succeed natural pattern may be random funding is needed for this project

Annex 2

PROJECT BUDGET

Project title:

Overall Project Projections (not confirmed)

Budget Item	Unit	No. of units (total)	Unit cost	Total	Total Years				Amount requested to MAR Fund (4) Years	Contribution amount from other sources (#) Years (cash)	Contribution amount from	Amount contributed by the	TOTAL
					Year (1)	Year (2)	Year (3)	Year (4)					
Salaries				0									
1100 Salaries - Project Director	Year	4	81698	326,792	27,232	24,000	20,000	13,000	84232	242560			326792
1100 Salaries - Full/Part Time					0	0	0	0					0
1100 Salaries - Intermittent or less than 90 days					0	0	0	0					0
Total 11XX Salaries			81698	**326,792**	**27,232**	**24,000**	**20,000**	**13,000**	84232	242560			326792
Benefits									0				0
1230 Pool Benefits - Full/Part Time (29.5%)	year	4	24,101	96403.64	7,897	6,960	5,800	3,770	24427.28	71976.36			96403.64
1231 Pool Benefits - Full/Part Time					0	0	0	0	0				0
1230 Pool Benefits - Intermittent or less than 90 days					0	0	0	0	0				0
Total 1230 Benefits	year	4	24100.91	**96,404**	**7,897**	**6,960**	**5,800**	**3,770**	24427.28	71976.36			96403.64
Total Salaries and Benefits	year	4	**105,799**	**423,196**	**35,129**	**30,960**	**25,800**	**16,770**	108659.28	314536.36			423195.64
Travel									0				0
2111 Travel in USA		10	500	5000	0	0	0	0	0	5000			5000
2112 Travel Outside USA	trip	60	500	30200	4,000	6,500	8,700	11,000	30200	0			30200
					0	0	0	0	0				0
Total 21XX Travel and Transportation of People				**35,200**	**4,000**	**6,500**	**8,700**	**11,000**	30200	5000			35200
Transportation of Things									0				0
2212 Moving/Transportation	year	4	500	2000	0	200	200	200	600	1400			2000
2220 Reimbursable Freight					0	0	0	0	0				0
					0	0	0	0	0				0
Total 22XX Transportation of Things				**2,000**	**0**	**200**	**200**	**200**	600	1400			2000
Rent, Communications and Utilities									0				0
2321 Rental of Real Property - Belize office	month	48	400	19,200	2,400	2,400	2,400	2,400	9600	9600			19200
2331 Voice Communication Services- Belize communication	month	48	150	7,200	900	900	900	900	3600	3600			7200
2333 Messenger Services					0	0	0	0	0				0
2334 Postage					0	0	0	0	0				0
					0	0	0	0	0				0
Total 23XX Rent, Communications and Utilities				**26,400**	**3,300**	**3,300**	**3,300**	**3,300**	13200	13200			26400
Printing and Reproduction									0				0
2410 Printing of report card	per repor	8000	1.25	10,000		2,000	6,000	2,000	10000	0			10000
2414 Photography or video production	per video	2	3,000	6000	0	3,000	0	3,000	6000	0			6000
					0	0	0	0	0				0
Total 24XX Printing and Reproduction				**16,000**	**0**	**5,000**	**6,000**	**5,000**	16000	0			16000
Other Contractual Services									0				0
2500 Coordinator contracts/fees	year	16	35,000	560,000	58,800	52,500	46,667	40,000	197967	362033			560000
2500 Coordinator Expenses	year (Gt,I	12	2400	28,800	3,600	2,930	2,500	2,000	11030	17770			28800
2500 Data and GIS contract	per contr	2	4000	8,000	4,000	0	4,000	0	8000	0			8000

Budget Item	Unit	No. of units (total)	Unit cost	Total	Total Years				Amount requested to MAR Fund (4) Years	Contribution amount from other sources (#) Years (cash)	Contribution amount from	Amount contributed by the	TOTAL
					Year (1)	Year (2)	Year (3)	Year (4)					
2500 Communications (report card, etc) writing contract	year	3	20,000	60,000		0	0	18,000	18000	42000			60000
2500 Graphic Design (report card, misc) contract	month	8	2,000	16,000		2,000	8,000	2,000	12000	4000			16000
2500 Field monitoring contracts	per samp	2	30000	60,000		6,800		6,485	13285	46715			60000
2500 Maintenance costs	year	4	800	3,200	0	0	600	600	1200	2000			3200
2500 Website and database mgt contract	per contr	2	3,400 (avg)	6,800	0	0	3,800	3,000	6800	0			6800
Total 25XX Other Contractual Services				**742,800**	**66,400**	**64,230**	**65,567**	**72,085**	268282	474518			742800
Supplies and Materials									0				0
2600 Supplies and Materials	year	4	2000	8,000	2,207	1,028	1,569	1,500	6304	1696			8000
					0	0	0	0	0				0
					0	0	0	0	0				0
Total 26XX Supplies and Materials	per year	1		**8,000**	**2,207**	**1,028**	**1,569**	**1,500**	6304	1696			8000
Other Expenses									0				0
Research funds (Diadema, Coral nurseries, Bleachwatch)	per grant	3	25000	75,000	0	0	0	0	0	75000			75000
Total 27XX Other Expenses				**75,000**	**0**	**0**	**0**	**0**	0	75000			75000
Equipment <$5K per unit									0				0
3110 IT Equip - Sensitive (<$5K) laptop and software	per unit (	6	2400	14,400	2,600	2,418	2,500	3,781	11299	3101			14400
					0	0	0	0	0				0
Total 31XX Equipment (<$5K; supplies in proposal budget)				**14,400**	**2,600**	**2,418**	**2,500**	**3,781**	11299	3101			14400
Equipment = > $5K per unit									0				0
3112 IT Equip - Tag 802/803 (= >$5K)					0	0	0	0	0				0
					0	0	0	0	0				0
Total *6173-31XX Equipment (= >$5K; taggable)				**0**	**0**	**0**			0	0			0
Construction									0				0
32XX					0	0	0	0	0				0
					0	0	0	0	0				0
Total *17XX-32XX Land and Structure					**0**	**0**	**0**	**0**	0	0			0
Total Direct Costs (TDC)				**1,342,996**	**113,636**	**113,636**	**113,636**	**113,636**	454544.28	888451.36			1342995.64
AS/PO Costs									0				0
3560 G&C OH = (G&C rate x S&B)				0	0	0	0	0	0				0
3550 G&A = G&A rate x (TDC + G&C OH)	per year	est 15% avg		201449.346	11,364	11,364	11,364	11,364	45456	155993.346			201449.346
Total 35XX Indirect Costs				**201,449**	**11,364**	**11,364**	**11,364**	**11,364**	45456	155993.346			201449.346
TOTAL				1544444.99	125000.28	125000	125000	125000	500000.28	1044444.706			1544444.986

Note: indirect is 17.5% for Summit Fdn, 10% for MARFund; rates vary with donor policies, 15% is an avg estimate

Detailed budget notes. Indicate clearly how each amount was calculated (unit costs) and the need for or use of the budget item. Add additional lines if required.

Budget Item	Unit	No. of units (total)	Unit cost	Total	Total Years				Amount requested to MAR Fund (4) Years	Contribution amount from other sources (#) Years (cash)	Contribution amount from	Amount contributed by the	TOTAL
					Year (1)	Year (2)	Year (3)	Year (4)					
	Budget Item				Notes								
1	Director salary, Country coordinators contracts				Director salary ($81,698) reducing from 4 to 2 months over the grant timeframe and country coordinators salaries ($35,000) reducing from 5 to 3.5 months per year over the 4 years of this grant.								
2	Travel in US				average cost $500 10 trips over 4 yrs (Director)								
3	Travel outside US				average cost $500 60 trips over 4 yrs (Director,								
4													
5													

Status of the contribution amount stated from other sources: if the proposal is being prepared, if the proposal is under revision, if the funds have been committed, if the funds have been disbursed. Add additional lines if required

	Donor	Amount	Status	
1	Summit Fdn	185000	in review	note similar funding levels assumed for each year going forward
2	Oak Hill Fund	125000	planned for March 2017	note similar funding levels assumed for each year going forward
3				
4				
Total		310000		