

SETTING THE INTENTION

Purpose	<p>When starting a source-to-sea project or programme it is important to clarify the focus of the activities that will be undertaken. This can be recorded in the boxes below as well at the following worksheets. The information can be filled in iteratively as more knowledge is gained and refined over time to provide the best basis for implementation. The worksheets follow the guidance from <i>Implementing the source-to-sea approach: A guide for practitioners</i>. There are worksheets, with instructions, for each of the first three steps of the source-to-sea approach: Step 1 – Characterize; Step 2 – Engage and Step 3 – Diagnose. These should be used as a companion to the guide to:</p> <ol style="list-style-type: none"> 1. Document the knowledge of the biophysical, social and governance systems placed within the geographical context of the source-to-sea system. 2. Support the analysis of the biophysical, social and governance system to form a basis for developing intervention strategies in Step 4. 		
Instruction	<p>In the boxes below:</p> <ol style="list-style-type: none"> 1. Describe the priority flow that is selected to be the focus of this analysis and the rationale for selecting this priority flow. 2. Describe the environmental, social and economic direct and indirect impacts that the future actions will aim to address. 3. Describe the desired future condition of the source-to-sea system, i.e., the proposed long-term impact that will result from the activities implemented through the project or programme. 4. Indicate the system boundary that is selected for the project or programme and provide the rationale for this system boundary. <p>RECOMMENDATION: Provide the information below as you initiate the project or programme and return to it to update it as your knowledge grows and becomes more specific.</p>		
Project or programme title			
Project or programme description			
Priority flow	Description:	Rationale:	
Direct impacts	Environmental:	Social:	Economic:
	Additional comments:		
Indirect impacts	Environmental:	Social:	Economic:
	Additional comments:		
Desired future condition (long-term impact)	Description:		
System boundary	Description:	Rationale:	

STEP 1: CHARACTERIZE

Purpose	Select priority flow and determine the system boundary by: <ol style="list-style-type: none"> 1. Identifying the challenges or issues that arise from the alteration of the priority flow. 2. Identify the behaviours or practices that are contributing to the alteration. 3. Describe the alterations to the priority and the environmental, social and economic impacts (both direct and indirect) of those alterations. 4. Using the analysis to determine the system boundary.
Guiding questions	<ol style="list-style-type: none"> 1. What is known about the key flows and how they have been altered from their natural ranges of variation? 2. What are the sources of the alterations in the key flows and where do they occur? 3. What are the impacts from these alterations? 4. Given the key flows that have been altered, the origin of the alteration and their impacts, what is the system boundary?
Links to other steps	The characterization of the priority flow will be used in Step 4 in defining the change in state of the source-to-sea system required to achieve the desired future condition (long-term impact). The identification of the practices and behaviours contributing to the alteration of the priority flow will be used in identifying targeted stakeholders and the description of the alterations will be used to identify the primary, supporting and external stakeholders in Step 2. The characterization will be used in the selection of stress reduction, environmental status and impact indicators to be monitored in Step 6.

INSTRUCTION

Identified challenges (issues)	Describe the key challenges or issues that need to be addressed.
S2S Segment	Select the source-to-sea segment where the challenge or issue occurs: <u>Land system</u> – <u>Freshwater system</u> – <u>Delta, estuary</u> – <u>Coast, nearshore</u> – <u>Adjoining sea, shelf</u> – <u>Open ocean</u> – <u>Multiple</u> . You can select multiple, if applicable, and provide further description in Additional comments.
S2S Sub-segment	If the challenge or issue applied to only a portion of the S2S segment, provide further information on the applicable portion of the segment.
Practices or behaviours	Describe the practices and/or behaviours that are altering the priority flow in the selected S2S segment.
Alterations to the priority flow	Describe the alterations to the priority flow that are contributing to the challenge or issue identified.
Impacts from alterations	Describe the impacts caused by the alteration of the priority flow in the selected S2S segment.
Category	Select the category of impact: <u>environmental, social, economic</u> .
Type	Select the type of impact: <u>direct, indirect</u> .
Severity	Select the severity of the impact: <u>high, moderate, low</u> .
Certainty	Select the type of knowledge about the impact: <u>quantitative, qualitative, potential</u> . Potential suggests that there might be an impact but this has not been substantiated in any scientific study (locally or globally).
Additional comments	Provide clarifying comments as needed.

STEP 1: Characterize

Identified challenges (issues)	S2S Segment	S2S Sub-segment	Practices/ Behaviours	Alterations to the priority flow	Impacts from alterations	Category	Type	Severity	Certainty
<i>Additional comments</i>									
<i>Additional comments</i>									
<i>Additional comments</i>									
<i>Additional comments</i>									
<i>Additional comments</i>									

STEP 2: ENGAGE

Purpose	Map primary, targeted, enabling, supporting and external stakeholders and prepare an engagement plan by: <ol style="list-style-type: none"> 1. Identifying the stakeholders and their roles in achieving the desired future condition of the source-to-sea system (long-term impact). 2. Understanding the stakeholder's level of interest or influence in achieving the desired future condition (long-term impact). 3. Identifying activities that stakeholders are currently or have been previously engaged in that are in alignment or in conflict with the desired future condition of the source-to-sea system (long-term impact). 4. Formulating a stakeholder engagement plan based on this analysis. 	
Guiding questions	<ol style="list-style-type: none"> 1. Which individuals or groups are affected by the alteration of priority flows and will directly benefit from project/programme interventions? 2. Which individuals or groups are contributing to the alteration of priority flows and whose practices must be directly targeted to reduce alterations of flows? 3. Which institutions provide or should provide enabling conditions for behavioural changes and benefits to occur and be sustained over time? 4. Are there development partners or financiers whose strategies are aligned with the outcomes of the project or programme? 5. Are there individuals or groups outside the system boundary who share an interest in the outcomes of the project? 	
Definitions	<p>Primary stakeholders: individuals or groups who are impacted by the alteration of the priority flow and will benefit from interventions to reduce that alteration and the resulting impacts of that alteration.</p> <p>Targeted stakeholders: individuals or groups whose behaviours or practices are altering the priority flow.</p> <p>Enabling stakeholders: entities that have mandates related to the priority flow, the behaviours and practices contributing to their alteration and/or the impacts of those alterations.</p> <p>Supporting: individuals or organizations who can provide financial, technical or other support toward improving the condition of the source-to-sea system.</p>	<p>External stakeholders: individuals or groups who are outside of the source-to-sea system but have an interest in improving the condition of the source-to-sea system.</p> <p>Interest: This refers to the degree to which the stakeholder's own objectives or goals are aligned with the desired future condition of the source-to-sea system (long-term impact).</p> <p>Influence: This refers to the degree to which the stakeholder has the power and/or opportunity to influence the achievement of the desired future condition of the source-to-sea system (long-term impact). Note: a stakeholder may have high influence that can be used to block the desired future condition (long-term impact) because they have low interest in that change.</p>
Links to other steps	The stakeholder analysis is used to design intervention strategies in Step 4. It helps to identify who needs to be involved in establishing the enabling conditions required to change the behaviours and practices that are contributing to the current condition of the source-to-sea system. It identifies who the targeted stakeholders, i.e., those whose behaviours and practices need to change. The primary stakeholders are linked to Step 6 through the selection of impact indicators that measure the positive impacts of the intervention strategies. The targeted stakeholders are linked to Step 6 through the selection of stress reduction indicators that measure improvements to the source-to-sea system. The enabling stakeholders are linked to Step 6 through the selection of process indicators that measure the activities undertaken to achieve the long-term impact.	

INSTRUCTION

Stakeholder name	Can be an individual, an institution or organization or a group of people.	S2S Sub-segment	If the stakeholder applies to only a portion of the source-to-sea segment, insert additional description of the relevant sub-segment.
Description	Provide a brief description of the stakeholder, in particular in relation to the priority flow being addressed.	Interest	Select the level of interest the stakeholder has in achieving the desired future condition of the source-to-sea system (long-term impact). Does the stakeholder have a <u>strong, moderate or weak</u> level of interest?
Category	Select from the source-to-sea stakeholder category that the stakeholder belongs to as defined above: <u>Primary, target, enabling, supporting, external</u> . Some stakeholders may be relevant in more than one category. If so, add the stakeholder to additional rows and do the analysis for each row.	Influence	Select the level of influence the stakeholder has in achieving the desired future condition of the source-to-sea system (long-term impact). Does the stakeholder have a <u>strong, moderate or weak</u> level of influence in achieving this change?
Level	Select what level the stakeholder most commonly operates at: <u>Global, national, state, basin, municipal, local</u> . You can select multiple, if applicable, and provide further description in Additional comments.	Activities	Insert brief description of activities that the stakeholder is doing or has done in the past that illustrate how the stakeholder is contributing to achieving the desired future condition of the source-to-sea system (long-term impact) or is working against that.
S2S Segment	Select the source-to-sea segment within which the stakeholder operates: <u>Land system – Freshwater system – Delta, estuary – Coast, nearshore – Adjoining sea, shelf – Open ocean – Multiple</u> . You can select multiple, if applicable, and provide further description in Additional comments.	Additional comments	Provide clarifying comments as needed.

STEP 2: Engage

Stakeholder name	Description	Category	Level	S2S Segment	S2S Sub-segment	Interest	Influence	Activities
		<i>Additional comments</i>						
		<i>Additional comments</i>						
		<i>Additional comments</i>						
		<i>Additional comments</i>						
		<i>Additional comments</i>						

STEP 3: DIAGNOSE

Purpose	Analyze the governance system and practices related to the priority flows by: <ol style="list-style-type: none">1. Assessing the governance system and its ability to support the behaviours and practices that will lead to the desired future condition of the source-to-sea system (long-term impact).2. Analyzing the governance instruments and the degree to which they provide the framework for achieving the desired future condition of the source-to-sea system (long-term impact).3. Analyzing the governance institutions and their mandates related to source-to-sea segments, behaviours and practices and their effectiveness in implementing their mandates as defined by the governance instruments.4. Identifying gaps, overlaps, conflicts and coordination challenges in source-to-sea governance.
Guiding questions	<ol style="list-style-type: none">1. Which institutions, legal and regulatory frameworks, rights, ownership, informal agreements have management mandates for priority flows, targeted activities and/or source-to-sea segments?2. Are those management mandates in conflict with each other and are they supportive of achieving the desired source-to-sea outcomes?3. Are there other actors, e.g., companies or non-governmental organizations, that may influence the priority flows, targeted activities and/or source-to-sea segments?4. What is the relative power and impact of government, the private sector and civil society in affecting the condition of the source-to-sea system?5. Are the practices being used by the targeted stakeholders in line with the institutional mandates or is there a failure in enforcement?6. Are there mechanisms for stakeholders to be involved in decision making, are there procedures in place for resolving conflicts that may arise between stakeholders and are they being effectively applied?
Definitions	Relevance: How complete is the governance instrument in relation to the components needed to support the behaviours and practices that will lead to the desired future condition of the source-to-sea system (long-term impact)? Level of implementation: To what degree is the governance institution delivering its mandate relative to the specific instrument? Is the instrument being fully implemented, partially implemented or minimally implemented?
Links to other steps	The analysis of the governance system is used in Step 4 to identify what changes in the enabling conditions are needed to achieve the desired future condition of the source-to-sea system (long-term impact), e.g., new governance instruments, strengthened governance institutions or establishing coordination mechanisms, etc. This will feed into the design of intervention strategies that are implemented in Step 5 and to select process indicators to be monitored in Step 6.

See next page for Step 3 instructions.

INSTRUCTION: Governance instrument

Governance instrument	List the title of the governance instrument.
Description	Insert a description of the governance instrument as it relates to the key/priority flow, behaviour/practices and/or impacts for each source-to-sea segment selected. An instrument may apply to more than one source-to-sea segment. In that case, select 'multiple' and indicate the segments the instrument applies to in Additional comments. If the instrument applies to a portion of a segment (i.e., a sub-segment), insert a description of the sub-segment the instrument applies to.
Instrument type	The governance system is comprised of policies, strategies, laws, regulations, plans, procedures and agreements, including informal agreements between different stakeholders. Select the governance type: <u>Policy, Strategy, Law, Regulation, Plan, Procedure, Agreement.</u>
Implementation level	Select the level at which the governance instrument operates from: <u>Global, national, state, basin, municipal, local.</u>
Source-to-sea segment	Select the source-to-sea segment that the governance instrument applies to: <u>Land system – Freshwater system – Delta, estuary – Coast, nearshore – Adjoining sea, shelf – Open ocean – Multiple.</u> If it applies to more than one source-to-sea segment, select multiple and provide clarification in Additional comments.
Source-to-sea sub-segment	If the instrument applies to only a portion of the source-to-sea segment, insert additional description of the relevant sub-segment.
Relevance	Select the degree of relevance of the governance instrument, indicating how complete the instrument is in providing the governance needed to reach the desired future condition of the source-to-sea system (long-term impact): <u>high, moderate, low.</u>
Strengths of instrument	Describe the strengths of the governance instrument related to the governance needed to achieve the desired future condition of the source-to-sea system (long-term impact).
Gaps in instrument	Describe the gaps in the governance instrument. Where does it fall short of what is needed to achieve the desired future condition of the source-to-sea system (long-term impact)? What is missing?
Additional comments	Provide any clarifying comments as needed.

INSTRUCTION: Governance institutions

Governance institution	List the title of the governance institution.
Mandate	Insert a description of the institution's mandate as it relates to the key/priority flow, behaviour/practices and/or impacts for the source-to-sea segment selected. A mandate may apply to more than one source-to-sea segment. In that case, select 'multiple' and indicate the segments the institution's mandate applies to in Additional comments. If the institution's mandate applies to a portion of a source-to-sea segment (i.e., a sub-segment), insert a description of the sub-segment the mandate applies to in column S2S sub-segment.
Institution type	Select the type of Institution: <u>Government institution, multi-stakeholder group, hoc group or other.</u> Provide further description as needed in Additional comments.
Institution level	Select the source-to-sea segment in which the governance institution has responsibilities: <u>Global, national, state, basin, municipal, local.</u> If it has responsibilities in more than one source-to-sea segment, select 'multiple' and provide clarification in Additional comments.
Source-to-sea segment	Select the source-to-sea segment that the governance instrument applies to: <u>Land system – Freshwater system – Delta, estuary – Coast, nearshore – Adjoining sea, shelf – Open ocean – Multiple.</u> If it applies to more than one source-to-sea segment, select multiple and provide clarification in Additional comments.
Source-to-sea sub-segment	If the institution has responsibility in only a portion of the source-to-sea segment, insert additional description of the relevant sub-segment.
Key instruments	Insert the title of the instrument(s) that the institution has responsibility for implementing. The instrument should be included in the Step 3: Diagnose governance instruments worksheet.
Level of implementation	Select the level of implementation of the instrument by the governance institution from the dropdown menu: <u>high, medium, low.</u>
Implementation barriers	Describe the barriers to implementation that the governance institution experiences, if any.
Additional comments	Provide any clarifying comments as needed.

STEP 3: Diagnose governance instruments

Governance Instrument	Description	Type	Level	S2S Segment	S2S Sub-segment	Relevance	Strengths of Instrument	Gaps in Instrument
<i>Additional comments</i>								
<i>Additional comments</i>								
<i>Additional comments</i>								
<i>Additional comments</i>								
<i>Additional comments</i>								

STEP 3: Diagnose governance institutions

Governance institution	Mandate	Type	Level	S2S Segment	S2S Sub-segment	Key instruments	Level of implementation	Implementation barriers
		<i>Additional comments</i>						
		<i>Additional comments</i>						
		<i>Additional comments</i>						
		<i>Additional comments</i>						
		<i>Additional comments</i>						