



Submit by Monday 3 December 2012

DARWIN INITIATIVE APPLICATION FOR GRANT FOR ROUND 19: STAGE 2

Please read the Guidance Notes before completing this form. Where no word limits are given, the size of the box is a guide to the amount of information required.

Information to be extracted to the database is highlighted blue.

ELIGIBILITY

1. Name and address of organisation (NB: Notification of results will be by post and email to the Project Leader)

Name: Wildlife Conservation Society	Address: P.O. Box 99470, Mombasa, KENYA 80107
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2. Stage 1 reference and Project title

(max 10 words) 2114 Strengthening the capability of Kenyan communities to conserve coral reefs

3. Project dates, duration and total Darwin Initiative Grant requested, matched funding

Proposed start date: 1 April 2013 Duration of project: 3 years End date: 31 March 2016					
Darwin request	2013/14	2014/15	2015/16	2016/17	Total
	£	£	£	£	£ 181,533
Proposed (confirmed and unconfirmed) matched funding as percentage of total Project cost: 14.5%					

4. Define the outcome of the project. This should be a repetition of Question 24, Outcome Statement.

(max 100 words) The outcome of this project is the increased capacity of Kenyan coastal communities to effectively manage eight community-managed closures (<i>tengefu</i>). Establishing participatory processes and developing and testing adaptive management plans will build the capacity of communities to protect and benefit from the biodiversity on which they depend (through the restoration of coral reefs and associated species), and improve their livelihoods and quality of life (through greater food security and income). We expect that increased participation in management, networking and outreach will also improve social organization, resulting in communities that are able to effectively negotiate and resolve conflict over shared resources.
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5. Country(ies)

Which eligible host country(ies) will your project be working in. You may copy and paste this table if you need to provide details of more than four countries.

Country 1: Kenya	Country 2:
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6. Biodiversity Conventions

Which of the three conventions supported by the Darwin Initiative will your project be supporting? Note: projects supporting more than one convention will not achieve a higher scoring

Convention On Biological Diversity (CBD)	Yes
Convention on Migratory Species (CMS)	Yes
Convention on International Trade in Endangered Species (CITES)	No

6b. Biodiversity Conventions

Please detail how your project will contribute to the objectives of the convention(s) your project is targeting. You may wish to refer to Articles or Programmes of Work here. Note: No additional significance will be ascribed for projects that report contributions to more than one convention

(Max 200 words)

This project will enhance and streamline community organization and involvement in marine resource management, thus contributing to better management of coral reefs and associated ecosystems (Aichi Targets 1, 6, 10). Project activities targeted at improved fisheries management, improved compliance with fisheries regulations, and removal of destructive fishing gears are expected to contribute to habitat recovery and improved fisheries with potential positive outcomes for livelihoods (Aichi Targets 6, 10, 11, 14). The project will also contribute to reducing anthropogenic disturbance with the potential to increase the resilience of coral reefs and associated ecosystems to cope with climate change impacts (Aichi Target 15).

This project will also contribute to Kenya meeting its obligations under the Convention on Migratory Species (CMS) through increased protection of the coral reefs that provide critical habitat for marine turtles. Turtle nesting beaches occur adjacent to four of the targetted tengefu. The monitoring and patrol activities implemented by the project at these beaches will reduce the incidences of poaching of nesting females.

The project will also contribute to improving the capacity of Kenya to meet its national biodiversity and poverty reduction priorities through activities that contribute to the Kenya National Biodiversity Strategy and Action Plan (article 4.3.2, 4.3.3)

Is any liaison proposed with the CBD/CITES/CMS focal point in the host country?

Yes **No** **if yes, please give details:** We have already consulted with the CBD/CMS focal point about the aims and objectives of the project and how will these contribute to Kenya meeting its CBD and CMS obligations. If the project is approved, we will provide periodic updates and assist the focal point in reporting to the Conventions.

7. Principals in project. Please identify and provide a one page CV for each of these named individuals. You may copy and paste this table if you need to provide details of more personnel or more than one project partner.

Details	Project Leader	Project Partner 1 – Main	Project Partner 2
Surname	Muthiga	Daw	Mueni
Forename (s)	Nyawira	Tim	Elizabeth
Post held	Director and Conservation Scientist, Marine Program Kenya	Senior Lecturer	Principal Fisheries Officer
Institution (if different to above)		University of East Anglia	Ministry of Fisheries Development
Department	Marine	School of International Development	Coast Province
Telephone			
Email			

Details	Project Partner 3	Project Partner 4	Project Partner
Surname	Beatrice	Tengefu leaders	
Forename (s)	Crona		
Post held	Associate Professor	Community representatives	
Institution (if different to above)	Stockholm Resilience Centre		
Department			

8. Has your organisation received funding under the Darwin Initiative before? If so, please provide details of the most recent (up to 6 examples). No

Reference No	Project Leader	Title

9a. IF YOU ANSWERED 'NO' TO QUESTION 8 please complete Question 9,

What year was your organisation established/ incorporated/ registered?	1895
What is the legal status of your organisation?	NGO
Type of organisation (e.g. University, NGO, private sector, Government Department etc)	Non- profit Conservation Organisation
Have you unsuccessfully applied to the Darwin Initiative before? If yes please provide the application reference number(s)	No
How is your organisation currently funded?	(Max 100 words) WCS receives support from a diverse group of government and private sources (individuals, foundations, corporations). Among our top government partners are the U.S. Agency for International Development, Norwegian Ministry of Foreign Affairs, and the U.S. Fish and Wildlife Service. Foundation supporters include the Liz Claiborne and Art Ortenberg Foundation, Doris Duke Charitable Foundation, John D. and Catherine T. MacArthur Foundation, and Gordon and Betty Moore Foundation. Corporate partners include Bank of America, Con Edison, Goldman, Sachs and Co., and the Tiffany and Co. Foundation.
Have you provided appropriate audited/independently examined accounts?	Yes

9b. Provide detail of 3 contracts previously held by your institution that demonstrate your credibility as a research organisation and provide track record relevant to the project proposed. These contacts should have been held in the last 5 years and be of a similar size to the grant requested in your Darwin application.

Contract 1 Title	The effectiveness of community-based organizations in managing coastal resources in the Western Indian Ocean
Contract Value	GBP XX
Contract Duration	July 2007 – January 2010
Role of institution in project	Lead Implementing Agency, Dr. Tim McClanahan (WCS) and Dr. J. Cinner (James Cook University) were principal coordinators
Brief summary of the aims, objectives and outcomes of the	The goal of the project was to research the factors that affect the success or failure of community-based organizations to manage coastal resources in the Western Indian Ocean. A literature review was conducted and empirical studies were carried out on more than 40 CBOs in Kenya, Tanzania and

contract.	Madagascar. The main findings were that; 1) co-management sustained fisheries at the multispecies sustainable yield level at approximately two-thirds of the studied sites, but was weak in promoting conservation objectives and fisheries at the broader seascape level; 2) co-management may have contributed to inequity by creating opportunities for local elites to control the resource; 3) access to markets strongly influenced exploitation status of fisheries; 4) institutional strength was strongly related to social and not ecological outcomes; and 5) compliance was low and strengthening enforcement capacity was recommended. The research findings were disseminated broadly at international (AAAS) and regional fora (7 th WIOMSA scientific symposium) and through scientific publications in Marine Policy, PNAS and Global Environmental Change. A policy brief on co-management was also produced and distributed widely including at the Annual Fishers Forum in Kenya.
Reference contact details (Name, e-mail, address, phone number).	Dr. Julius Francis Executive Secretary, Western Indian Ocean Marine Science Association. P.O. Box 3298, Zanzibar, Tanzania.

Contract 2 Title	Participatory modelling of wellbeing tradeoffs in coastal Kenya (P-Mowtick)
Contract Value	GBP XX Funded by ESPA (UK DFID, NERC & ESRC)
Contract Duration	2011-2012
Role of institution in project	Led by University of East Anglia and with WCS and a number of other UK and international partners
Brief summary of the aims, objectives and outcomes of the contract.	The project developed new combinations of tools to understand, communicate and stimulate deliberation on key tradeoffs that emerge from governance of fisheries in coastal Kenya. The project combined focus groups, participatory workshop tools, ecological modelling, gaming with social-ecological models and scenarios with stakeholders from poor resource users to high level government officials. A 'toy model' that reflected social and ecological interdependencies and resultant management dilemmas, and four qualitative scenarios were developed based on stakeholder perceptions and priorities. These tools were used in participatory workshops at a range of levels from resource users to policy makers to improve understanding of environmental management dilemmas and how to balance the wellbeing of different stakeholders with ecological objectives. Follow up monitoring with participants indicated that the activities facilitated more holistic and sophisticated understandings of key aspects of the system, and connections between stakeholders as well as fostered local organization and collaborative actions to address multiple community objectives.
Reference contact details (Name, e-mail, address, phone number).	ESPA Secretariat at espa@nerc.ac.uk The directorate of ESPA ESPA; 1-7 Roxburgh Street; Edinburgh EH8 9TA; Scotland, UK

Contract 3 Title	TransLinks: "Promoting Transformation: Linking Natural Resources, Economic Growth and Governance"
Contract Value	GBP XX
Contract Duration	2006-2012
Role of institution in project	Lead Institution - (in partnership with USAID, the Earth Institute of Columbia University, Enterprise Works/VITA, Forest Trends and the Land Tenure Center of the University of Wisconsin)
Brief summary of the aims, objectives and outcomes of the contract.	TransLinks was a global 5.5 year knowledge-building and expertise-sharing program to promote rural transformation by linking natural resources, economic growth, and good governance. The program strove to identify, develop, and disseminate lessons, best practices, and tools from the partners' projects around the world that have attempted to apply the new approaches of Payments for Ecosystem Services and Wildlife Friendly™ enterprise/value chain certification to support people living in threatened ecosystems, through conservation and sustainable use of the natural resource base upon which their livelihoods depend. Analysis of best practices through comparative case studies documented the effectiveness of different approaches for abating threats in landscapes/seascapes while enhancing livelihoods of local communities. Lessons learned from the case studies, meeting/workshop proceedings and toolkits were disseminated widely throughout the environment and development communities in a variety of formats to expand the reach for knowledge exchange and possibility for scaling up.
Reference contact details (Name, e-mail, address, phone number).	Michael Colby, USAID/EGAT/NRM, Ronald Reagan Building 2.11.92, 1300 Pennsylvania Ave. NW, Washington DC 20523-3800.

9c. Describe briefly the aims, activities and achievements of your organisation. (Large institutions please note that this should describe your unit or department)

Aims (50 words)

WCS saves wildlife and wild places by understanding critical issues, crafting science-based solutions, and taking conservation actions that benefit nature and humanity. WCS believes that addressing human needs and aspirations in the places where we work is essential if we are to conserve wild nature over the long term.

Activities (50 words)

WCS has an unmatched record of performance and experience in the conservation of wildlife and wild places through scientific research, training, and education. We work closely and collaboratively with local communities, government agencies, regional institutions, and non-governmental agencies to ensure our research results inform policy and lead to conservation impact.

Achievements (50 words)

WCS and Kenya's Ministry of Fisheries Development established the Annual Fishers Forum in 1994, an inclusive and democratic environment where we share field monitoring results. An important achievement is the reversal of declining catches and increased fishers' income with implementation of management interventions, such as the removal of beach seines.

10. Please list all the partners involved (including the Lead Institution) and explain their roles and responsibilities in the project. Describe the extent of their involvement at all stages, including project development. This section should illustrate the capacity of partners to be involved in the project. Please provide written evidence of partnerships. Please copy/delete boxes for more or fewer partnerships.

<p>Lead institution and website:</p> <p>Wildlife Conservation Society (WCS) – Kenya www.wcs.org/marine</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>Dr. Nyawira Muthiga has more than 25 years of experience in coral reef research and conservation and management planning for marine protected areas in Kenya, both as a research conservationist with the Wildlife Conservation Society and as head of the Kenya Wildlife Service’s Coastal and Wetlands Program. She will have overall oversight over the project from the WCS Kenya office in Mombasa, including: contributing to the design of the research component, developing work plans with partners, ensuring the timely completion of activities, and working with local partners and relevant government institutions to ensure their full participation and provide project updates. WCS scientist Dr. TR McClanahan, who has extensive experience in coastal and marine research and conservation in the Western Indian Ocean will contribute to research design and data analysis. WCS staff scientists will be responsible in their various capacities for biophysical and socioeconomic surveys (Dr McClanahan and Ms C Abunge), mapping (Mr D Maina), production of the adaptive management plans (Drs N Muthiga; TR McClanahan and Ms C Abunge), and compiling project outputs (Ms M Odach) and financial reports (Ms C Kirinya). A community project manager will be hired to ensure the coordination of activities at the project sites.</p>
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<p>Partner Name and website where available: Dr. Tim Daw; University of East Anglia</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>Dr. Tim Daw is senior lecturer in natural resources at UEA and a researcher at the Stockholm Resilience Centre. He has academic training in ecology, fisheries science, socioeconomics and politics and a research focus on the dynamic interactions between people and their environment. His work involves international interdisciplinary teams, partnerships with developing country colleagues, strong training and capacity building, complex combinations of methods and data, and highly participatory modes of research. He has been a member of the DEV international development research ethics committee since 2008.</p> <p>Dr Daw has been PI of two large projects in Kenya 'P-Mowtick' (detailed above), and 'Fishers In Space' (FIS) a GBP 154,000 study of spatial behaviour of small-scale fishers around fisheries closures (including <i>Tengefus</i>) closures in Kenya and Seychelles and the impacts and perceptions of these closures. He has also published on factors affecting MPA success in the Western Indian Ocean (WIO) region.</p> <p>Dr. Daw will be responsible for directing research and publishing on factors that affect the effectiveness and sustainability of tengefu such as the values, hopes and benefits that different community members have for tengefu, the risk of disappointment or conflicts over the distribution of benefits/costs within them, and how this affects management and long-term sustainability.</p>
<p>Have you included a Letter of Support from this institution?</p>	<p>Yes</p>

<p>Partner Name and website where available: Ms. Elizabeth Mueni Ministry of Fisheries Development, Kenya</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>WCS has collaborated with the Kenya Ministry of Fisheries Development (MFD) for the past 20 years sharing scientific information from its extensive fisheries catch monitoring and ecological and socioeconomic program and jointly organising the Annual Fishers Forum.</p> <p>Ms. Mueni is a Principal Fisheries Officer in the Ministry of Fisheries Development based in Mombasa. She has more than 10 years of experience in fisheries management at the coast and plays a key role in developing fisheries management plans for the MFD. Ms. Mueni has worked with WCS in the past, reviewing and developing regulations and management plans for the ring-net and prawn fishery. She will be the point person for the project in the Ministry to assist in the uptake of knowledge generated by the project, to ensure that the adaptive management plans are in line with national goals and objectives, and to process the plans for approval and endorsement by the Ministry. Ms Mueni will also assist in disseminating information widely and promoting the findings of the project within the Ministry and other relevant government departments.</p>
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Have you included a Letter of Support from this institution?	Yes
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Partner Name and website where available: Dr. Beatrice Crona, Stockholm University http://www.stockholmresilience.org/crona	Details (including roles and responsibilities and capacity to engage with the project): (max 200 words) <p>Dr Crona is a researcher based at Stockholm Resilience Center, Stockholm University. Her expertise is in fisheries governance, local ecological knowledge, social networks and adaptive co-management, with 10 years' experience from working in coastal Kenya. Dr. Crona has led several research projects focusing on different aspects of marine resource management in coastal communities in Kenya and Tanzania.</p> <p>Dr. Crona will be responsible for research and publishing on how tengefus can act as a 'boundary object' to facilitate cooperation between otherwise competing agendas and narratives of different community members and government and NGO institutions. She will also advise on and partake in work to understand how institutions (fisheries laws, PRSPs etc) interact with tengefus at multiple scales and provide advice on development of adaptive management plans, and community networking and learning exchanges.</p>
Have you included a Letter of Support from this institution?	Yes

Partner Name and website where available: Tengefu leaders	Details (including roles and responsibilities and capacity to engage with the project): (max 200 words) <p>WCS established a coral reef fisheries catch monitoring program and provided training to community representatives to monitor catch data at landing sites on the Kenya coast, including the sites that are a focus of this project. These ecological and socioeconomic data are shared at the Annual Fishers Forum where management interventions such as the removal of beach seines and the establishment of community fisheries closures (tengefu) are discussed and implemented. Results include improved catches at the landing sites where beach seines have been removed, and the establishment of 18 tengefu. WCS has a dedicated staff member, Caroline Abunge, to maintain constant communication with the communities.</p> <p>Community leaders and representatives were involved in the demarcation, mapping and buoy installation of the tengefus, and they will also be involved at all stages of this project. A representative from each tengefu will be a member of the Project Implementation Committee (PIC) and will participate in the detailed planning of all project activities. Community leaders and members will also participate during the adaptive management planning process, field assessments, implementation of management actions and monitoring activities. Representatives from the community will be key participants at the Annual Fishers Forum, awareness programs and community learning exchanges.</p>
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Have you included a Letter of Support from this institution?	Yes
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11. Have you provided CVs for the senior team including the Project Leader	Yes
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TECHNICAL EXCELLENCE

12. Problem the project is trying to address

Please describe the problem your project is trying to address. For example, what biodiversity and development challenges will the project address? Why are they relevant, for whom? How did you identify these problems?

(Max 200 words)

Management of common-pool resources like coral reefs is challenged by the need to balance social equity while maintaining biodiversity and productivity. Creating mechanisms where users can develop coordinated management strategies that allow them to obtain joint benefits whilst reducing harm can address these challenges¹. Less than 10% of the Kenyan coast is effectively managed within marine protected areas, although the entire coast is threatened from overfishing, destructive fishing and climate change. Kenyan coastal communities are poor and marginalised from management actions that directly impact their livelihoods. Increasing community stewardship of coastal ecosystems can improve marine ecosystem health, biodiversity and fishery-dependent livelihoods.

Early experience suggests that community-managed fisheries closures (*tengefu*) can align previously conflicting interests by addressing diverse values (community empowerment, fisheries protection, benefit sharing) in the management process. Previous studies by WCS and partners have shown that although *tengefu* have the potential to generate significant benefits for marine conservation and local people, they are beset by challenges: communities lack resource management experience, compliance and enforcement are weak, and socioeconomic conditions foster disempowerment and impede active participation by men and women. This project will encourage and promote participatory processes, and use knowledge generated to develop and implement adaptive management systems for *tengefu* that take into account social, ecological and institutional realities.

13. Methodology

Describe the methods and approach you will use to achieve your intended outcomes and impact. Provide information on how you will undertake the work (materials and methods) and how you will manage the work (roles and responsibilities, project management tools etc).

(Max 500 words – repeat from Stage 1 with changes highlighted)

This project aims to build Kenyan capacity in adaptive management of eight community-managed fisheries closures (*tengefu*) in Mradi, Bureni, Kuruwitu, Nyari, Msumarini, Mkwiro, Mpunga and Mtangata. These sites represent a range of ecological and socioeconomic contexts, offering a unique opportunity to develop local management strategies and test their efficacy to both improve coral reef ecosystem health and community well-being. WCS has a long-term relationship with these communities and has collected data on coral reef biodiversity, management preferences and socioeconomic information that will serve as a baseline for tracking changes over time.

¹ Ostrom, E., 1990. Governing the commons: The evolution of institutions for collective action. Cambridge University Press, Cambridge, United Kingdom, 280 pp.

We will build the capacity of men and women to manage *tengefu* through hands-on adaptive management planning. Using a participatory planning and learning process, we will facilitate meetings and workshops where community members meet to articulate resource management goals, identify potential challenges towards achieving those goals, and develop management plans. We will work with the communities to implement those actions and adapt the plans as they learn what works best in their sites. Through ecological and socioeconomic monitoring we will track progress towards ecological and social goals. We will use these eight sites to analyse the effectiveness of different resource management actions – the first time such a large-scale assessment has been undertaken along the Kenyan coast.

The management plans will be based on ecological, socioeconomic and institutional information supplemented with previously collected information. The process will build on findings from previous WCS projects in Kenya and the WIO that showed institutional capacity and compliance were key challenges to achieving effective management. Management actions that address these challenges will be built into the adaptive management plans. We will work with community teams to implement management actions, and communities will gain such practical skills as administration, financial management, communication and surveillance and monitoring guided by management plans in an iterative process. Community networking and learning exchanges will provide practical experience. We will work with communities and other stakeholders to design appropriate awareness programs and to encourage networking and sharing of lessons through the Annual Fishers Forum. Fishers will also be exposed to different learning tools such as the participatory tools developed and tested under different projects in Kenya (P-Mowtick and FIS). Lastly, we will collect information on the factors impeding or supporting effective management of *tengefu*, such as the lack of local knowledge of ecosystem dynamics (Crona 2006²), communication barriers amongst fishers and between fishers and managers (Crona and Bodin 2006³), power dynamics (Crona et al 2010⁴), gender dynamics, the perceived values, hopes and benefits that different community members have of *tengefu*, and the risk of disappointment or conflicts over the distribution of benefits/costs within them (Cinner et al, In Review). By answering these questions we will better understand how different management interventions succeed or fail.

Roles and responsibilities are detailed in section 10. A project implementation committee (PIC) (Dr, Muthiga, a community mobilisation officer and *tengefu* representatives) will be formed to plan, implement, monitor and report on project activities.

14. Outcome

Detail what the expected outcomes of this work will be. The outcome should identify what will change and who will benefit. The outcome should refer to how the project will contribute to reducing poverty while contributing to sustainable development and management of biodiversity and its products. A summary statement of this outcome should be provided in question 4 and 24.

Kenyan fisher communities are highly dependent on coral reef resources, yet unsustainable fishing practices contribute to the degradation of these ecosystems, which, in turn, erodes local livelihoods. Although enabling legislation, Beach Management Unit (BMU) regulations of 2007, confers authority to fishers for management of their fishing grounds, including the authority to set up community-managed closures (*tengefu*), local people have low capacity to manage their fishing grounds effectively. WCS has supported the establishment of 18 *tengefu* on the Kenyan coast that have been set aside as no-take areas (closures) by communities. The project proposed here will

² Crona, B.I. (2006) Supporting and enhancing development of heterogeneous ecological knowledge among resource users in a Kenyan coastal seascape. *Ecology and Society* 11(1): 32

³ Crona, B.I. and Bodin, Ö. (2010) Power asymmetries in small-scale fisheries– a barrier to governance transformability? *Ecology and Society* (Special Issue on SNA in NRM), 15(4): 32.

⁴ Crona, B.I., Nyström, M., Folke, C. and Jiddawi, N. (2010) Middlemen, a critical social-ecological link in coastal communities of Kenya and Zanzibar. *Marine Policy* 34(4): 761-771.

help communities establish effective management for eight of these *tengefu*.

The outcome of this project is the increased capacity of men and women in Kenyan coastal communities to effectively manage eight community-managed fisheries closures (*tengefu*). Improving local stewardship of marine resources through a process of adaptive management planning will allow communities to gain knowledge, skills and practical experience to implement management interventions that promote restoration of coral reef habitats and fisheries yields, with positive outcomes for biodiversity and improved resilience of coral reefs and associated ecosystems. Finally, the increase in participation in management of *tengefu*, networking and outreach by communities will raise awareness on biodiversity conservation and fisheries management, and improve social organization, resulting in men and women who are more invested in sustainable management outcomes and able to effectively negotiate and resolve conflict, thus easing pressure on shared resources.

15a. Is this a new initiative or a development of existing work (funded through any source)? Please give details (Max 200 words)

This project is part of a larger program within WCS Kenya Marine Program aimed at strengthening community participation in marine conservation while benefiting livelihoods. The first phase worked with communities to identify and establish community fishery closures (*tengefu*). Currently 18 *tengefu* are in different stages of implementation along the Kenyan coast. The eight *tengefu* that have been targeted for this project have been mapped, and baseline information has been collected with funding from ReCoMap and WIOMSA. However, the local communities lack management expertise and formalized plans to guide management. Thus this project takes the needed next steps towards implementing local actions for protection of coastal resources through a participatory adaptive management planning process.

15b. Are you aware of any other individuals/organisations/ projects carrying out or applying for funding for similar work? Yes No

If yes, please give details explaining similarities and differences, and explaining how your work will be additional to this work and what attempts have been/will be made to co-operate with and learn lessons from such work for mutual benefits:

Fauna and Flora International and the East African Wildlife Society implemented a project through the Darwin Initiative (Project Ref 1184) that aimed to support community conservation areas (CCAs) in the south Kenya coast. This project overlaps in geographical area with the previous Darwin project but is unique because the concept of community closures is new in Kenya and across East Africa. Research by WCS and partners in Kenya has shown that where closed areas (*tengefu*) exist, fish caught in adjacent waters are larger and fetch higher prices. *Tengefu* have the potential to generate direct local benefits. Research has also shown that biodiversity (coral and fish) recover faster in closures than in other general use areas, such as the CCAs and other local management processes that have been trialled in Kenya. This project builds on the previous project by further strengthening community capacity through the adaptive management process. This process is a sustained and iterative learning platform that has not been trialled in Kenya where management plans are often generated, but communities have no experience in implementing them. Communities differ and effective management can only be achieved if communities have opportunities to learn management through tailored, hands-on approaches as proposed here.

15c. Are you applying for funding relating to the proposed project from other sources? Yes No

If yes, please give brief details including when you expect to hear the result. Please ensure you include the figures requested in the spreadsheet as Unconfirmed funding.

We are submitting a proposal to WIOMSA (deadline 15 December 2012) targetted at the 10 remaining *tengefu* to implement effective management interventions.

16. Value for money

Please describe why you consider your application to be good value for money including justification of why the measures you will adopt will secure value for money?

(Max 250 words)

WCS makes long-term, on-the-ground commitments. We leverage those commitments to provide value for money by building upon established partnerships in-country and applying the contextual knowledge and lessons learned to plan culturally appropriate and feasible projects.

The project design is informed by more than two decades of work in Kenya and draws on strong partnerships and trust that WCS has established with communities and government partners. This foundation helps us set realistic goals, adopt strategies that will work in the local context, and remain accountable to achieving results on the ground. The investment by Defra in the work proposed here will have durable results that are good value for money at the community and national levels. The project will strengthen the capacity of men and women in eight sites with *tengefu*, including 50-150 fishers per *tengefu*. Long-term benefits include the skills to manage natural resources, improve governance, and build social capital; all invaluable assets for local communities. Communities will have better stewardship over the resources upon which they depend and will increase social cohesion. At the national level, the project will contribute to the Kenya government meeting its commitments under the CBD and CMS conventions and achieving national biodiversity goals and environment goals under Kenya's Vision 2030. The project will also contribute to increasing the area of coverage of MPAs in Kenya, a WSSD commitment. Finally, the lessons learned should inform policy, enabling the establishment of more effective community-managed closures in Kenya and across coastal East Africa.

17. Ethics

Outline your approach to meeting the Darwin Initiative's key principles for research ethics as outlined in the guidance notes.

(Max 300 words)

WCS management systems ensure adherence to labor, finance, banking and registration regulations specific to each of the nearly 60 countries where we work. WCS Europe is a legally registered charity in England and Wales, and is legally registered in Kenya.

WCS participates in the Conservation Initiative on Human Rights, which is setting standards for FPIC compliance. WCS has also initiated a review of human rights issues in the places where we work. Our Internal Review Board ensures that research carried out by our programs protects the rights of human subjects.

Our partnerships with local people strive to understand, value, and apply traditional knowledge to addressing biodiversity, resource management, and poverty alleviation challenges. This contributes to local efforts to improve human wellbeing by affirming cultural identity in the face of rapid change, while making explicit our shared interest in finding alternatives to dominant approaches to economic development.

WCS has a Duty of Care policy that details obligations of employees and the institution to create an environment of safety and concern in the fulfilment our mission, including access to medical care; insurance policies; and crisis management procedures.

WCS is committed to building credible and independent science-based understanding of biological diversity and ecosystem integrity and their centrality to the quality of human life. WCS is a leading sponsor of scientific research, and our staff are among the world's most prolific in generating peer-reviewed publications.

The project will ensure that no project employees or participants are discriminated against

regarding gender, ethnicity, economic status, language, religion or education. Beneficiaries (tengefu members, their families, village representatives, Ministry of Fisheries, local students, district officials and scientists) will be invited to the project inception workshop to raise awareness and ensure that the roles and responsibilities of beneficiaries are discussed, understood and agreed.

PATHWAY TO IMPACT

18. Legacy

Please describe what you expect will change as a result of this project with regards to biodiversity conservation/sustainable use and poverty alleviation. For example, what will be the long term benefits (particularly for biodiversity and poor people) of the project in the host country or region and have you identified any potential problems to achieving these benefits?

(Max 300 words)

Currently, the targetted communities have very low capacity to manage the resources they depend upon. We expect this to change as, with support from the project, communities become empowered and more skilled in adaptive management of natural resources. Better-managed *tengefu* will improve coral reef health through reduced fishing impacts, restricted use of destructive gears and improved compliance of fisheries rules, with positive outcomes for biodiversity and ecosystem services, food security, livelihoods and poverty reduction. We also expect that the skills communities will gain through the iterative process of adaptive management will improve stewardship and result in reduced conflicts amongst fishers and with local stakeholders in the long term. The knowledge and skills gained while implementing the project will also improve social organization and enhance governance of community closures, a key challenge in the sustainable management of coral reefs in Kenya. This is an important outcome as effective social organization allows the communities to better negotiate and advocate for their needs, an important long-term benefit. The project will also enhance networking and build alliances, including through the Annual Fisher's Forum thus strengthening relationships amongst stakeholders. Improved relationships between communities, the Ministry of Fisheries and stakeholders can lead to the development of larger programs that benefit livelihoods such as programs through the Kenya Constituency Development Fund (CDF). As interest in natural resource management by communities is increasing across East Africa, the knowledge gained through the project should provide useful lessons to promote policy changes for better-planned and more effective programs in the region. Finally, we also plan to share the data and lessons learned while implementing the project to a wide audience through scientific publications, presentations at national, regional and international fora and appropriate media outlets.

19. Pathway to poverty alleviation

Please describe how your project will benefit poor people living in low-income countries. Projects are required to show how positive impact on poverty alleviation will be generated from your project in low-income countries. All projects funded under the Darwin Initiative in Round 19 must be compliant with the Overseas Development Assistance criteria as set out by the OECD. The outcomes of your research must at the very least provide insight into issues of importance in achieving poverty alleviation.

(Max 300 words)

Coastal fishers are among the poorest communities in Kenya. Their lives are dependent upon coastal ecosystems, including coral reefs that are being damaged from overfishing, use of destructive gear and impacts of climate change. Healthy and well managed reef fisheries can contribute to poverty reduction by providing durable economic benefits, such as improved food and livelihood security, for these communities.

This project will benefit eight poor coastal communities on the Kenyan coast by enhancing their capacity to manage the resources upon which they depend. It is expected that better managed *tengefu* will provide long-term benefits through recovery of the coral reefs and increased fish biomass. Research by WCS and partners in Kenya has shown that where closed areas exist, fish caught in adjacent waters are larger and fetch higher prices. The artisanal fishery is based on trade at the landing site, and the value of fish in the artisanal fishery is predominantly dependent on the species and the size. Research results have also shown that the landing sites adjacent to closed areas produce a greater variety of the preferred fish species. Hence there is documented evidence that improving the management of *tengefu* should serve to increase fish sizes and species, benefitting both fishers and households. Improved coral reef health because of improved management is therefore expected to result in positive outcomes for food security, livelihoods and poverty reduction in the long-term. Demonstrating improved management capacity by local communities, may also serve to attract regional and national attention and funding support for the *tengefu* movement.

20. Exit strategy

State whether or not the project will reach a stable and sustainable end point. If the project is not discrete, but is part of a progressive approach, give details of the exit strategy and show how relevant activities will be continued to secure the benefits from the project. Where individuals receive advanced training, for example, what will happen should that individual leave?

(Max 200 words)

The project is part of a larger program within WCS Kenya to enhance community participation in marine conservation whilst benefiting livelihoods. The objective of this component of the larger program is to build capacity in coastal communities through development of adaptive management plans, implementation of key aspects of the plan and institutionalization of the plans. It is expected that at the end of this project, communities will be able to manage *tengefu*, there is improved stewardship and compliance of fisheries regulations, and coral reefs are on a trajectory of recovery. Because teams of community representatives will be trained, we expect that capacity will be retained within the community.

However, because of the lack of management experience by communities and the complexities of managing fisheries and natural resources, we expect that communities will still need further scientific and ongoing support. We are submitting a proposal to WIOMSA which aims to use the lessons learned from this project to strengthen other *tengefu*, provide further support for the *tengefu* targeted under this project and trial new gear and area management approaches.

HIGHLY DESIRABLE

21. Raising awareness of the potential worth of biodiversity

If your project contains an element of communications, knowledge sharing and/or dissemination please provide a description of your intended audience, how you intend to engage them, what the expected products/materials there will be and what you expect to achieve as a result. For example, are you expecting to directly influence policy in your host country or is your project a community advocacy project to support better management of biodiversity?

(Max 300 words)

During the adaptive management planning process and during the implementation, monitoring and evaluation of the adaptive management plans, a great deal of knowledge and skills will be shared. This will include knowledge about coral reefs and the importance of this resource to the livelihoods of coastal communities. The process of evaluating management actions and making needed adjustments to improve management will also provide practical knowledge in natural resource management and conservation. Throughout

the adaptive management planning process, awareness data will be collected and this will be used to design and conduct training programs. Continuous learning will be encouraged through the Annual Fishers Forum, where a wider audience of Fishers, managers and scientists exchange information on fisheries management and conservation. Learning exchanges will be encouraged between communities within Kenya and with communities in Tanzania. Because community management of marine resources is in its infancy in Kenya information packages and policy briefs detailing the lessons learned through the project will be developed for wide dissemination to decision makers and other relevant stakeholders. Information, skills and experiential learning opportunities will be provided that will help communities understand the consequences of attitudes and behaviors that affect the resources that they depend upon. The project will produce information on coral reefs and biodiversity targetted at leaders at the village, county, provincial and national levels. The project will also provide periodic updates, invite representatives to participate in relevant workshops and report at the county environmental committees where management decisions are discussed. The project will work closely with the Ministry of Fisheries and Ministry of Environment to ensure lessons learned from the project will contribute to the overall national Kenyan biodiversity strategy and policy of devolving responsibility to the local level.

22. Importance of subject focus for this project

If your project is working on an area of biodiversity or biodiversity-development linkages that has had limited attention (both in the Darwin Initiative portfolio and in conservation in general) please give details.

(Max 250)

Kenya's 2010 Constitution emphasizes equitable access to natural resources, decentralization and the right to participate in environmental management. This new political support for local governance could revolutionize resource management if communities have the capacity to fully participate. It also creates a unique research environment allowing topical theoretical questions, such as how communication barriers, power dynamics, the perceived values, hopes and benefits that different community members have and conflicts over the distribution of benefits/costs affect the effectiveness of community closures and how the changes in the broader national governance regime interact with this process. Such studies will generate important lessons for the future sustainability of community management in Kenya. In addition, fisheries closures are challenging to manage for many reasons, including the lack of skills, the difficulties of excluding community members, and conflicts with foreign fishers. Because this project is based on adaptive management, it will build the capacity of communities through the full cycle of management. This will allow communities to gain the practical management skills that are relevant to the local context as well as the confidence to enforce rules. Through this participatory planning, implementation of management actions, monitoring and adaptation communities gain invaluable skills that strengthen their management abilities and build social organizational skills that can provide broader social benefits including the ability to negotiate and resolve conflicts and attracting support from government and donors.

23. Leverage

a) Secured

Provide details of all funding successfully levered (and identified in the Budget) towards the costs of the project, including any income from other public bodies, private sponsorship, donations, trusts, fees or trading activity.

Confirmed:

The total match is GBP XX

1. UNDP/GEF SGS project GBP XX
2. University of Stockholm (0.5 month salary for Dr. Crona) GBP XX
3. ESPA GBP XX

b) Unsecured

Provide details of any matched funding where an application has been submitted, or that you intend applying for during the course of the project. This could include matched funding from the private sector, charitable organisations or other public sector schemes.

Date applied for	Donor organisation	Amount	Comments
15 Dec 2012	Western Indian Ocean Marine Science Association (WIOMSA)	GBP XX	

PROJECT MONITORING AND EVALUATION

MEASURING IMPACT

24. LOGICAL FRAMEWORK

Darwin projects will be required to report against their progress towards their expected outputs and outcomes if funded. This section sets out the expected outputs and outcomes of your project, how you expect to measure progress against these and how we can verify this. Further detail is provided in Annex x of the guidance notes which you are encouraged to refer to. The information provided here will be transposed into a logframe should your project be successful in gaining funding from the Darwin Initiative. The use of the logframe is sometimes described in terms of the Logical Framework Approach, which is about applying clear, logical thought when seeking to tackle the complex and ever-changing challenges of poverty and need. In other words, it is about sensible planning.

Impact

The Impact is not intended to be achieved solely by the project. This is a higher-level situation that the project will contribute towards achieving. All Darwin projects are expected to contribute to poverty alleviation and sustainable use of biodiversity and its products.

(Max 100 words)

Community-managed closures (*tengefu*) across Kenya cover more area, and are more effectively and adaptively managed by local communities, leading to a reduction in overexploitation of marine resources and destructive fishing practices, and a consequent increase in productivity. This will produce the benefits of improved fishers' livelihoods, greater food security, and stronger protection of reef biodiversity.

Outcome

There can only be one Outcome for the project. The Outcome should identify what will change, and who will benefit. The Outcome should refer to how the project will contribute to reducing poverty and contribute to the sustainable use/conservation of biodiversity and its products. This should be a summary statement derived from the answer given to question 14.

(Max 100 words)

The outcome of this project is the increased capacity of Kenyan coastal communities to effectively manage eight community-managed closures (*tengefu*). Establishing participatory processes and developing and testing adaptive management plans will build the capacity of communities to protect the biodiversity on which they depend (through the restoration of coral reefs and associated species), and improve their livelihoods and quality of life (through greater food security and income). It is expected that the increase in participation in management, networking and outreach will also improve social organization resulting in communities that are able to effectively negotiate and resolve conflict over shared resources.

Measuring outcomes - indicators

Provide detail of what you will measure to assess your progress towards achieving this outcome. You should also be able to state what the change you expect to achieve as a result of this project i.e. the difference between the existing state and the expected end state. You may require multiple indicators to measure the outcome – if you have more than 3 indicators please just insert a row(s).

Indicator 1	Knowledge and capacity of <i>tengefu</i> communities to adaptively manage coral reefs significantly increased by Year 2.
Indicator 2	Management of coral reefs by <i>tengefu</i> communities improved by Year 2.
Indicator 3	All gears that destroy coral reefs and compromise fisheries removed by Year 2, leading to improved coral reef health.
Indicator 4	Residents of the <i>tengefu</i> communities demonstrate increased access to basic necessities and improved household incomes by Year 3.

Verifying outcomes

Identify the source material the Darwin Initiative (and you) can use to verify the indicators provided. These are generally recorded details such as publications, surveys, project notes, reports, tapes, videos etc.

Indicator 1	Meeting minutes and reports, monitoring and evaluation reports, training reports.
Indicator 2	Biophysical, socioeconomic and institutional framework reports, adaptive management plans, training program reports, meeting minutes.
Indicator 3	Coral reef health reports, fisheries catch monitoring reports, meeting reports, fisheries regulations compliance reports, research publications.
Indicator 4	Basic necessities surveys, fish catch reports at <i>tengefu</i> landing sites, fish prices at market reports.

Outcome risks and important assumptions

You will need to define the important assumptions, which are critical to the realisation of the *outcome and impact* of the project. It is important at this stage to ensure that these assumptions can be monitored since if these assumptions change, it may prevent you from achieving your expected outcome. If there are more than 3 assumptions please insert a row(s).

Assumption 1	Community members will remain willing and enthusiastic about actively participating in the development and implementation of <i>tengefu</i> management.
Assumption 2	Implementation of the new Kenyan constitution and the devolved governance system it advocates will effectively support community-based natural resource management.
Assumption 3	Coral reefs and nearshore fisheries will recover at a rate that starts to generate benefits to people and marine life within the period of the project.
Assumption 4	Coral reefs, nearshore fisheries, and local communities will not be additionally impacted by exogenous factors beyond the control of local communities, such as commercial fishing enterprises, coastal development projects, natural disasters, or severe environmental conditions such as drought or flood.

Outputs

Outputs are the specific, direct deliverables of the project. These will provide the conditions necessary to achieve the Outcome. The logic of the chain from Output to Outcome therefore needs to be clear. If you have more than 3 outputs insert a row(s). It is advised to have less than 6 outputs since this level of detail can be provided at the activity level.

Output 1	Eight adaptive management plans are signed and endorsed as part of the bylaws of the BMUs within which the <i>tengefu</i> occur.
Output 2	Through the adaptive management process, communities gain management skills and a better understanding of the factors that enhance or impede success of community managed areas.
Output 3	Overexploitation and destructive fishing activities are reduced in 8 <i>tengefu</i> as management interventions are implemented.
Output 4	Coral reef and reef fish recovery increases in 8 <i>tengefu</i> .
Output 5	Human well-being and food security in target communities are improved over the long-term.

Measuring outputs

Provide detail of what you will measure to assess your progress towards achieving these outputs. You should also be able to state what the change you expect to achieve as a result of this project i.e. the difference between the existing state and the expected end state. You may require multiple indicators to measure each output – if you have more than 3 indicators please just insert a row(s).

Output 1	
Indicator 1.1	Adaptive management plans for eight <i>tengefu</i> have been completed through a participatory process.
Indicator 1.2	BMU by-laws incorporate the eight adaptive management plans

Output 2	
Indicator 2.1	Community members actively use resource management planning skills gained during this project
Indicator 2.2	Community members participate actively at Annual Fishers Forum and community exchanges
Indicator 2.3	Scientific publications have been written on governance of these 8 <i>tengefu</i>

Output 3	
Indicator 3.1	Overexploitation of fishery resources and use of destructive fishing practices are reduced.
Indicator 3.2	Activities as outlined in the management plans are actively implemented in the communities

Output 4	
Indicator 4.1	Indicators of coral reef health and reef fisheries improve over the life of the project in and around 8 <i>tengefu</i>

Output 5	
Indicator 5.1	Indicators of human well-being in target communities have improved

Verifying outputs

Identify the source material the Darwin Initiative (and you) can use to verify the indicators provided. These are generally recorded details such as publications, surveys, project notes, reports, tapes, videos etc.

Indicator 1.1	Assessment reports, adaptive management plans, project evaluations, reports of meetings
Indicator 1.2	BMU by-laws, project evaluations, reports of meetings
Indicator 2.1	Monitoring and evaluation of management reports, reports of meetings
Indicator 2.2	Annual Fishers Forum and community learning exchanges reports, scientific publications
Indicator 3.1	Surveillance and monitoring reports, coral reef and reef fisheries health reports
Indicator 3.2	Project evaluations, observations and discussions with communities

Indicator 4.1	Catch monitoring, market survey and coral reef and reef fisheries monitoring data
Indicator 5.1	Basic household necessities surveys

Output risks and important assumptions

You will need to define the important assumptions, which are critical to the realisation of the achievement of your outputs. It is important at this stage to ensure that these assumptions can be monitored since if these assumptions change, it may prevent you from achieving your expected outcome. If there are more than 3 assumptions please insert a row(s).

Assumption 1	The adaptive management process will not experience major challenges and plans will be endorsed by the Ministry of Fisheries Development for incorporation into BMU by-laws by the end of the project period
Assumption 2	Communities are willing and able to actively participate in the project and the experiential learning process will proceed at a rate that generates results within the project period
Assumption 3	Compliance with management interventions such as gear restrictions will be sufficient to result in positive changes to the <i>tengefu</i> habitat and fisheries
Assumption 4	The rate of recovery coral reefs and reef fish will be sufficient to have positive outcomes that benefit livelihoods and human well-being

Activities

Define the tasks to be undertaken by the research team to produce the outputs. Activities should be designed in a way that their completion should be sufficient and indicators should not be necessary. Any risks and assumptions should also be taken into account during project design.

Output 1	
Activity 1.1	Conduct project inception workshop to discuss and agree on detailed work-plans roles and responsibilities of project participants
Activity 1.2	Conduct participatory assessments (socioeconomic, ecological and institutional) and draft adaptive management plans with communities
Activity 1.3	Facilitate process with communities for review and adoption of the adaptive management plans and prepare for incorporation of the plan into the BMU by-laws by the Ministry of Fisheries Development

Output 2	
Activity 2.1	Conduct training/skills needs assessment and implement appropriate trainings based on the findings.
Activity 2.2	Design and implement appropriate awareness and learning exchange

	programs for communities based on results of the assessment in Activity 2.1
Activity 2.3	Monitor and evaluate success and uptake of training and awareness programs
Activity 2.4	Convene Annual Fishers Forum

Output 3	
Activity 3.1	Draft operational procedures for administration, conservation and surveillance actions from the adaptive management plans
Activity 3.2	Implement management actions guided by the operational plans
Activity 3.3	Evaluate management actions and work with communities to adjust actions as needed based on the findings of the evaluations
Activity 3.4	Conduct empirical studies on the factors that enhance or impede effective community management; publish findings and report the results at Annual Fishers Forum and other appropriate venues

Output 4	
Activity 4.1	Monitor coral reef and reef fish health and report at the Annual Fishers Forum
Activity 4.2	Monitor fisheries, fish catches and prices at <i>tengefu</i> landing sites
Activity 4.3	Publish and report findings at appropriate fora

Output 5	
Activity 5.1	Conduct basic necessities surveys

25. Provide a project implementation timetable that shows the key milestones in project activities. Complete the following table as appropriate to describe the intended workplan for your project.

Activity	No of Months	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 1													
1.1 Inception workshop	0.5												
1.2 Assessments and draft adaptive management plans	5												
1.3 Review, adopt and incorporate plans into BMU bylaws	2												
Output 2													
2.1 Training needs assessment and training activities	2												
2.2 Awareness programs and learning exchanges	6												
2.3 Monitor and evaluate awareness programs	1.5												
2.4 Annual Fishers Forum	1.5												
Output 3													
3.1 Draft operational procedures for management	0.5												
3.2 Implement management actions	6												
3.3 Evaluate and adapt management actions	1.5												
3.4 Conduct empirical studies on management effectiveness	3												
Output 4													
4.1 Monitor coral reef and associated ecosystems health	2												
4.2 Monitor fisheries and fish prices	5												
4.3 Produce scientific papers and the final report	3												
Output 5													
5.1 Conduct socioeconomic (basic necessities) surveys	2												
ALL Outputs	6												

26. Project based monitoring and evaluation

Describe, referring to the Indicators above, how the progress of the project will be monitored and evaluated, making reference to who is responsible for the projects monitoring and evaluation. Darwin Initiative projects are expected to be adaptive and you should detail how the monitoring and evaluation will feed into the delivery of the project including its management. Monitoring and evaluation is expected to be built into the project and not an 'add' on. It is as important to measure for negative impacts as it is for positive impact.

The project will be monitored by the Project Implementation Committee (PIC) led by WCS (Dr. Muthiga). Prior to the project inception, the PIC will meet for the first of 6 monthly project meetings to review the project objectives, assumptions and risks, and discuss the roles and responsibilities of each partner. This planning exercise will also be used to strengthen collaboration with project partners and ensure that partners are adequately briefed and understand their level of commitment in the project. Using the project logical framework, a detailed workplan will be developed at this meeting for each output that includes a monitoring and evaluation plan, a comprehensive activity schedule, monitoring datasheets, report formats and databases for storing and archiving various types of information and data collected during the project. These reports/datasheets will be revised periodically to ensure that all elements of project implementation are adequately captured and monitored. Subsequently, as activities start to be implemented, regular communication with PIC members through cell phones (local community members) email and Skype (other partners) to review and provide feedback, advice and technical support. Progress will be monitored through, activity reports, follow-up cell phone calls, emails and Skype calls, and periodic on site visits. An annual review of progress will be carried out as well as a final project workshop. A community mobilisation officer (CMO) will be hired to liaise with communities to implement planned activities. Since this project is essentially a capacity building project, strong communication and networking links will be forged between the community teams implementing on site activities and the CMO. This officer will be based at the WCS office and will be responsible for overseeing implementation of project activities on-site, reporting and communicating with Dr. Muthiga and the PIC on a daily basis. This will ensure that up-to-date information is collected and acted upon.

The main indicators of project outcomes are the knowledge and management capacity gained by community teams, the recovery of coral reef habitats and biodiversity, and improvements in community well-being. Data to measure impact will be collected and compared to the large dataset already available at WCS providing a before, mid-term and end of project evaluation design. This will include data on such indicators community knowledge and capacity that will be evaluated by how community teams implement different management interventions (rate, number of members actively engaged in the process) and how they adapt these interventions for their local situation (rate of adaptation and type of adaptation). We will also monitor how compliance and conflict are managed before and after skills have been gained, trends in changes in ecosystem health (changes in fish biomass, biodiversity and ecosystem health) and community wellbeing using basic necessities surveys. The data will be collected either as part of the proposed assessments, as part of the research studies or specifically collected for project monitoring and evaluation.

FUNDING AND BUDGET

Please complete the separate Excel spreadsheet which provides the Budget for this application. Some of the questions earlier and below refer to the information in this spreadsheet.

NB: Please state all costs by financial year (1 April to 31 March) and in GBP. **Budgets submitted in other currencies will not be accepted.** Use current prices – and include anticipated inflation, as appropriate, up to 3% per annum. The Darwin Initiative cannot agree any increase in grants once awarded.

27. Value for Money

Please explain how you worked out your budget and how you will provide value for money through managing a cost effective and efficient project. You should also discuss any significant assumptions you have made when working out your budget.

The budget is costed according to the following assumptions and justifications. A community mobilisation officer will be hired to work fulltime for the duration of the project. WCS staff Mr. D. Maina will devote 50% of his time assisting in project management. Dr. Muthiga will oversee the project and supervise the CMO and D. Maina. Time has also been allocated (1.5 months) for Dr. Crona and Dr. Daw for conducting research in Kenya and publishing the results. Time for the Principal Fisheries Officer, Ms. Mueni, to serve as the point person with the Ministry of Fisheries Development has been budgeted. Additional work on mapping, institutional and training needs assessments will be conducted via consultancies budgeted at £1500. A total of £XX has been allocated for local travel costs, including travel to tengefu sites. An additional £XX has been allocated for subsistence during fieldwork. An allocation for international travel of £XX has been budgeted for Drs. Crona and Daw to travel to Kenya to supervise the research. All their costs while in Kenya will be covered from the local travel and subsistence allocations. We have allocated £XX for operational costs for the Annual Fishers Forum, consultative meetings including meetings for project monitoring and evaluation, and learning exchanges. A total of £XX has been allocated for the purchase of equipment and consumables (printing and stationary supplies; communication via cell phone, email and Skype). A total of £XX has been allocated for overhead costs including audit fees and office rental. We have assumed a 3% increase in inflation so salaries are pegged at that level, while fuel and consumables have been costed at ~3% above the current costs. Budget allocations and assumptions are informed by two decades of work on the ground in Kenya.

FCO NOTIFICATIONS

Please check the box if you think that there are sensitivities that the Foreign and Commonwealth Office will need to be aware of should they want to publicise the project's success in the Darwin competition in the host country.

Please indicate whether you have contacted the local UK embassy or High Commission directly to discuss security issues (see Guidance Notes) and attach details of any advice you have received from them.

Yes (no written advice) Yes, advice attached No

CERTIFICATION 2013/14

On behalf of the trustees/company* of
 (*delete as appropriate)

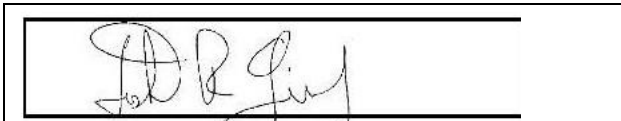
I apply for a grant of £ in respect of **all expenditure** to be incurred during the lifetime of this project based on the activities and dates specified in the above application.

I certify that, to the best of our knowledge and belief, the statements made by us in this application are true and the information provided is correct. I am aware that this application form will form the basis of the project schedule should this application be successful. (*This form should be signed by an individual authorised by the lead institution to submit applications and sign contracts on their behalf.*)

I enclose CVs for project principals and letters of support. Our most recent audited/independently verified accounts and annual report are also enclosed/can be found at (*delete as appropriate*):

Name (block capitals)	Joshua Ginsberg
Position in the organisation	Senior Vice-President, Global Conservation Program

Signed



Date:

2 December 2012

Stage 2 Application - Checklist for submission

	Check
Have you provided actual start and end dates for your project?	X
Have you provided your budget based on UK government financial years i.e. 1 April – 31 March and in GBP?	X
Have you checked that your budget is complete , correctly adds up and that you have included the correct final total on the top page of the application?	X
Has your application been signed by a suitably authorised individual? (clear electronic or scanned signatures are acceptable in the email)	X
Have you included a 1 page CV for all the Principals identified at Question 7?	X
Have you included a letter of support from the <u>main</u> partner(s) organisations identified at Question 10?	X
Have you checked with the FCO in the project country/ies and have you included any evidence of this?	X
Have you included a copy of the last 2 years annual report and accounts for the lead organisation? An electronic link to a website is acceptable.	X
Have you read the Guidance Notes?	X
Have you checked the Darwin website immediately prior to submission to ensure there are no late updates?	X

Once you have answered the questions above, please submit the application, not later than midnight GMT on Monday 3 December 2012 to Darwin-Applications@ltsi.co.uk using the application number (from your Stage 1 feedback letter) and the first few words of the project title **as the subject of your email**. If you are e-mailing supporting documentation separately please include in the subject line an indication of the number of e-mails you are sending (eg whether the e-mail is 1 of 2, 2 of 3 etc). You are not required to send a hard copy.

DATA PROTECTION ACT 1998: Applicants for grant funding must agree to any disclosure or exchange of information supplied on the application form (including the content of a declaration or undertaking) which the Department considers necessary for the administration, evaluation, monitoring and publicising of the Darwin Initiative. Application form data will also be held by contractors dealing with Darwin Initiative monitoring and evaluation. It is the responsibility of applicants to ensure that personal data can be supplied to the Department for the uses described in this paragraph. A completed application form will be taken as an agreement by the applicant and the grant/award recipient also to the following:- putting certain details (ie name, contact details and location of project work) on the Darwin Initiative and Defra websites (details relating to financial awards will not be put on the websites if requested in writing by the grant/award recipient); using personal data for the Darwin Initiative postal circulation list; and sending data to Foreign and Commonwealth Office posts outside the United Kingdom, including posts outside the European Economic Area. Confidential information relating to the project or its results and any personal data may be released on request, including under the Environmental Information Regulations, the code of Practice on Access to Government Information and the Freedom of Information Act 2000.