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# **DIR27S2\1023**

## **Pairing community conservation areas with sustainable aquaculture in Lake Victoria**

We will work in Lake Victoria, Kenya to develop and demonstrate a new model for responsible aquaculture and inland fisheries that conserves native species and produces long-term benefits to people through community-based incentives. The team will work with two Kenyan Beach Management Units, community and conservation health experts and a leading-edge aquaculture company to develop and implement sustainably-financed lake-based community conservation areas. We will engage the fisheries ministries and aquaculture sector across Lake Victoria to scale the model.

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## Section 1 - Contact Details

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### PRIMARY APPLICANT DETAILS

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**Name** Robin  
**Surname** Abell  
**Organisation** Conservation International  
**Website (Work)** www.conservation.org  
**Tel (Mobile)** [REDACTED]  
**Email (Work)** [REDACTED]  
**Address** [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

### CONTACT DETAILS

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**Title** Mr  
**Name** Leonard  
**Surname** Akwany  
**Organisation** Conservation International  
**Website (Work)** www.conservation.org  
**Tel (Work)** + [REDACTED]  
**Email (Work)** [REDACTED]  
**Address** [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

### GMS ORGANISATION

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Type	Charity/ trusts
<b>Name</b>	Conservation International Foundation
<b>Phone (Work)</b>	[REDACTED]
<b>Email (Work)</b>	[REDACTED]
<b>Website (Work)</b>	[REDACTED]
<b>Address</b>	[REDACTED] [REDACTED] [REDACTED]

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## Section 2 - Title, Dates & Budget Summary

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### Q3. Project title:

Pairing community conservation areas with sustainable aquaculture in Lake Victoria

### What was your Stage 1 reference number? e.g. DIR27S1\100123

DIR27S1\1468

### Q4. Country(ies)

Which eligible host country(ies) will your project be working in? Where there are more than 4 countries that your project will be working in, please add more boxes using the selection option below.

Country 1	Kenya	Country 2	No Response
Country 3	No Response	Country 4	No Response

### Do you require more fields?

No

### Q5. Project dates

<b>Start date:</b> 01 August 2021	<b>End date:</b> 30 June 2024	<b>Duration (e.g. 2 years, 3 months):</b> 2 years, 11 months
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### Q6. Budget summary

Year:	2021/22	2022/23	2023/24	2024/25	Total request
<b>Amount:</b>	£68,299.00	£158,070.00	£154,708.00	£18,377.00	<b>£</b> 399,454.00

### Q6a. Do you have matched funding arrangements?

Yes

### What matched funding arrangements are proposed?

Conservation International will provide confirmed matched funding for [REDACTED] of the total project cost. Matched funding comes from a pledge made by an individual donor (£[REDACTED]) and from an existing project funded by the Pisces Foundation (£[REDACTED]). Matched funding will be used to 1) purchase equipment for biodiversity monitoring and patrolling (boats) activities; and 2) cover time of senior staff based in the USA (Freshwater Program Advisor, Finance Director and Field Ops Director).

**Q6b. Proposed (confirmed and unconfirmed) matched funding as % of total project cost (total cost is the Darwin request plus other funding required to run the project).**

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## Section 3 - Project Summary

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### Q7. Summary of project

**Please provide a brief summary of your project, its aims, and the key activities you plan on undertaking. Please note that if you are successful, this wording may be used by Defra in communications e.g. as a short description of the project on [GOV.UK](https://www.gov.uk).**

**Please write this summary for a non-technical audience.**

We will work in Lake Victoria, Kenya to develop and demonstrate a new model for responsible aquaculture and inland fisheries that conserves native species and produces long-term benefits to people through community-based incentives. The team will work with two Kenyan Beach Management Units, community and conservation health experts and a leading-edge aquaculture company to develop and implement sustainably-financed lake-based community conservation areas. We will engage the fisheries ministries and aquaculture sector across Lake Victoria to scale the model.

## Section 4 - Darwin Objectives and Conventions

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### Q8. Objectives for the Darwin Initiative

**Please indicate which of the fund objectives (listed on p.8 of the guidance) you will be addressing.**

- To address the multiple pressures driving freshwater habitats decline
- To promote the responsible stewardship of natural assets
- Contributing towards reversing the increase in threats of extinction to the world's flora and fauna

### Q9. Biodiversity Conventions, Treaties and Agreements

**Q9a. Your project must support the commitments of one or more of the agreements listed below.**

**Please indicate which agreement(s) will be supported and describe which objectives your project will address.**

- Convention on Biological Diversity (CBD)
- Ramsar Convention on Wetlands (Ramsar)
- Global Goals for Sustainable Development (SDGs)

### Q9b. Biodiversity Conventions

**Please detail how your project will contribute to the aims of the agreement(s) your project is targeting.**

## **You should refer to Articles or Programmes of Work here.**

The proposed project will make contributions both to the CBD's Aichi Targets and to the draft goals and targets of the post-2020 Biodiversity Framework. Because the project addresses conservation, fisheries management, and aquaculture, all through a combination of conservation incentives, livelihoods improvements, and strengthened governance, it can contribute to multiple goals and targets of these two frameworks.

Specifically, the creation and management of community conservation areas (CCAs) to protect fish breeding sites will contribute to Aichi Target 11, by conserving areas of importance for biodiversity and ecosystem services through effectively and equitably managed "other effective area-based conservation measures." There is evidence that the Sindo area provides breeding grounds for three endangered fish species; if so, the CCAs will also contribute to Target 12, through improving the conservation status of threatened species. By restricting fishing access to the breeding areas of fish that are harvested, the CCAs will also contribute to Target 6, through applying an ecosystem-based approach to the sustainable management of fish stocks. These fish constitute critical natural capital for vulnerable communities, and so the CCAs will also contribute to Target 14, by safeguarding ecosystems that provide essential services. Incentives are core to establishing and adhering to the CCAs, thereby contributing to Target 3, related to positive incentives for the conservation and sustainable use of biodiversity. And finally, the incorporation of CCAs into aquaculture outgrower programs, and the generation of guidance for sustainable aquaculture, will contribute to Aichi Target 7, focused on the sustainable management of aquaculture to ensure biodiversity conservation.

The Kenya National Biodiversity Strategy and Action Plan for 2015-2030 (Government of Kenya 2016), which was developed in response to Aichi Target 17, tailors these targets for the Kenyan context. For instance, the Plan includes a Rift Valley lake target for the development and implementation of integrated conservation and development projects, as proposed in this project.

Although the post-2020 CBD framework has yet to be agreed, the proposed project is equally relevant to it as it is to the Aichi targets. For instance, draft Target 4 calls for the sustainable harvesting of wild species of fauna, including fish stocks; Target 8 is focused on ensuring that the benefits of food security are achieved through the sustainable management of wild species of fauna; and Target 9 addresses the sustainability and resilience of biodiversity in managed ecosystems, including aquaculture practices.

The proposed project also aligns with the Ramsar Convention's mission for "the conservation and wise use of all wetlands through local and national actions and international cooperation, as a contribution towards achieving sustainable development throughout the world." It addresses goal 3.12 of the Convention's 2016-24 Strategic Plan to achieve "enhanced sustainability of key sectors such as water ... aquaculture and fisheries, when they affect wetlands, contributing to biodiversity conservation and human livelihoods."

## **Q9c. Is any liaison proposed with the CBS / ABS / ITPGRFA / CITES / CMS / Ramsar / UNFCCC focal point in the host country?**

Yes

### **If yes, please give details.**

We will work closely with Kenya's CBD and Ramsar focal points at the National Environment and Management Authority (NEMA) and the Kenya Wildlife Service (KWS), respectively. Specifically, we will liaise with devolved units of NEMA and KWS on the project's designation and management of freshwater community conservation areas, which will be relatively novel in the Kenyan context. We will also annually communicate our project outcomes to the national focal points so that those outcomes are captured in national action planning and reporting obligations.

## Q9d. Global Goals for Sustainable Development (SDGs)

### Please detail how your project will contribute to the Global Goals for Sustainable Development (SDGs)

This project will optimize benefits across multiple SDGs and resolve potential tensions among them. Aquaculture can address poverty for fairly-compensated people along the fish value chain (SDG 1) and hunger when the food insecure can afford farmed fish (SDG 2), but irresponsible aquaculture can threaten native fish species and degrade the wild capture fisheries upon which vulnerable people depend. Overexploited fisheries imperil native fish and their food webs, whereas the exclusion of fisherfolk from protected areas can affect fish catch and therefore livelihoods and food security.

Through its protection of fish breeding areas from damage and overfishing, the project will contribute to SDG 15.1 to “ensure the conservation, restoration and sustainable use of ... inland freshwater ecosystems and their services” and to SDG 14.4 to “effectively regulate harvesting and end overfishing.” Incentives will compensate for reduced fish catch in the near term, whereas over the longer term CCAs should enhance fisheries. Victory Farms’ outgrower model offers food (SDG 2) and livelihoods (SDG 1) options to local communities as an alternative to overfishing, and its inclusion of CCAs in that model alongside its adherence to sustainable production practices will reduce impacts on native fish and fisheries.

The project will promote gender equality (SDG 5) by improving livelihoods for both women and men as well as ensuring the representation of women in CCA governance. Because the project will bring together private, public, and civil society actors to work towards a common sustainable development objective, the project will also contribute to SDG 17.

## Section 5 - Lead Organisation Summary

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### Q10. Lead organisation summary

**Has your organisation been awarded a Darwin Initiative or IWT Challenge Fund award before (for the purposes of this question, being a partner does not count)?**

No

**If no, please provide the below information on the lead organisation.**

**What year was your organisation established/ incorporated/ registered?** 01 January 1987

**What is the legal status of your organisation?**  NGO

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**How is your organisation currently funded?**

CI receives support from a wide range of foundations, individuals, businesses, governments and multilateral agencies. CI's revenue breakdown can be found in the organization's annual reports (<https://www.conservation.org/about/annual-report>); the complete list of CI's donors can be made available upon request.

In the fiscal year 2019, CI reported a total of \$ [REDACTED] in revenue as per the following breakdown: foundations ([REDACTED]) public donors ([REDACTED]) individuals ([REDACTED]) and corporations, investments and other sources ([REDACTED])

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**Describe briefly the aims, activities and achievements of your organisation. Large organisations please note that this should describe your unit or department.**

**Aims**

Conservation International works to protect nature for the benefit of all through science, policy, and partnerships. Our Freshwater Initiative aims to secure critical freshwater ecosystems around the world as a foundation for sustainable development. A pillar of that Initiative is Freshwater Food, which encompasses sustainable inland fisheries and aquaculture.

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**Activities**

To catalyse ecosystem-based approaches to inland fisheries, we produce scientific research, demonstrate impact, and convene conservation and development partners around shared objectives. To reduce potential impacts of irresponsible aquaculture on native fish biodiversity and inland fisheries, we work with leading companies and investors to make that industry more sustainable.

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**Achievements**

CI has led creation of the new Inland Fisheries Alliance ([www.inlandfisheriesalliance.org](http://www.inlandfisheriesalliance.org)). In Cambodia's Tonle Sap lake, we developed a Fisheries and Families Resilience Building Model. We have implemented the Conservation Agreements model to improve the lives of 100,000 people and protect three million hectares of important ecosystems globally.

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**Provide details of 3 contracts/projects held by the lead organisation that demonstrate your credibility as an organisation and provide track record relevant to the project proposed.**

**These contracts/awards should have been held in the last 5 years and be of a similar size to the grant**

requested in your Darwin application.

<b>Contract/Project 1 Title</b>	Vital Signs: Data Integration for Sustainable development in Kenya (DISK)
<b>Contract Value/Project budget (include currency)</b>	USD \$ [REDACTED]
<b>Duration (e.g. 2 years 3 months)</b>	6 months
<b>Role of organisation in project</b>	Managed operational and technical project implementation. CI also coordinated partner engagement to contribute data for the project and oversaw platform design and development with Kenya's Ministry of Environment and Forestry.
<b>Brief summary of the aims, objectives and outcomes of the project</b>	The DISK platform was the first cross-sectoral, multi-stakeholder portal in Kenya that integrates and visualizes disparate data sets from across government and non-governmental institutions to facilitate evidence-based policy and decision-making and enhance sustainable socioeconomic development of the country. The portal is operational and has improved access to information critical for planning and decision-making. The portal has over 40 indicators across various thematic areas including agriculture, climate, conservancies, land cover, water resources, protected areas, population, livestock, tourism and wildlife among others, representing 15 datasets from 9 partner institutions.
<b>Client/independent reference contact details (Name, e-mail)</b>	Emily Sidla, Program Associate, Barr Foundation. Contact information available upon request.

<b>Contract/Project 2 Title</b>	Shrimp aquaculture improvement project (East Java, Indonesia)
<b>Contract Value/Project budget (include currency)</b>	USD \$ [REDACTED] from the Walton Family Foundation and Packard Foundation
<b>Duration (e.g. 2 years, 3 months)</b>	3 years
<b>Role of organisation in project</b>	Conservation International leads this project and coordinates various NGO partners and a diversity of shrimp aquaculture stakeholders including government officials, aquaculture enterprises, aquaculture trade organizations, supply chain companies, and financial institutions.

**Brief summary of the aims, objectives and outcomes of the project**

Indonesian shrimp aquaculture production grew by 15.7% over the last 5 years and this trend is expected to continue or increase. To ensure that growth of the sector can continue without destruction of ecosystems and habitats, Conservation International and partners seek to transform the shrimp aquaculture industry in East Java, Indonesia towards more sustainable production by increasing stakeholder capacities, strengthening governance, and developing responsible investment models.

The project began with a landscape analysis of the shrimp aquaculture sector and then facilitated stakeholders to co-develop a roadmap to improve farming across the region. CI and partners are now implementing this roadmap.

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**Client/independent reference contact details (Name, e-mail)**

John Claussen, Program Officer, Packard Foundation,  
[REDACTED]

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**Contract/Project 3 Title**

Conserving biodiversity and building community resilience on the Tonle Sap

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**Contract Value/Project budget (include currency)**

USD \$ [REDACTED] from Margaret A Cargill Philanthropies

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**Duration (e.g. 2 years, 3 months)**

3 years

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**Role of organisation in project**

CI is implementing the project in collaboration with a local NGO and six Community Fishery Organizations. We are also closely liaising with local district and provincial government officials in implementing the project.

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**Brief summary of the aims, objectives and outcomes of the project**

Aims: 1) By 2025 the fish catch, forest loss, and indicator species presence in six new target sites in Tonle Sap have ceased to decline when compared to pre-project conditions and control sites. By 2027 these metrics are improving; 2) By 2025 100% of households participating in the project demonstrate improved income and strengthened resilience; 3) By 2027 a nationally transferrable Fisheries and Families Resilience Building Model for community development is being implemented at 20 or more new sites by CI, government and other partners. Progress includes the establishment of 6 women's savings groups and 6 women's fish processing groups.

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**Client/independent reference contact details (Name, e-mail)**

Shelly Schreffler, Margaret A Cargill Philanthropies,  
[REDACTED]

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Have you provided the requested signed audited/independently examined accounts? If you select "yes" you will be able to upload these. Note that this is not required from Government Agencies.

Yes

Please attach the requested signed audited/independently examined accounts.

 CI Audited Financial Statements for the year ending June 30, 2019

 05/02/2021

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 pdf 203.41 KB

 CI Audited Financial Statements for the year ending June 30, 2020

 05/02/2021

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## Section 6 - Project Partners

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### Q11. Project partners

Please list all the partners involved (including the Lead Organisation) 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 Letters of Support for the Lead Organisation and each partner or explain why this has not been included.

**N.B:** There is a file upload button at the bottom of this page for the upload of a cover letter (if applicable) and all letters of support.

**Lead Organisation name:** Conservation International Foundation (CI)

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**Website address:** [www.conservation.org](http://www.conservation.org)

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**Details (including roles and responsibilities and capacity to engage with the project):**

(Max 200 words)

CI will oversee, organize, and facilitate all project activities and coordinate inputs and participation of project partners.

CI's capacities for leading this project include:

-CI has implemented Conservation Agreements to improve the lives of 100,000 people and protect three million hectares.

-CI applies a rights-based approach to work with indigenous peoples and local communities. In 2013 we created guidelines on Free, Prior, and Informed Consent.

-CI's dedicated gender program has produced the widely used 'Guidelines for Integrating Gender into Conservation Programming.'

-CI has played a key role in creating 17 endowments for protected areas worldwide that collectively total [REDACTED]

-CI is helping or has helped make over 40 small-scale fisheries sustainable in more than a dozen countries.

-CI works with diverse aquaculture stakeholders to incentivize improved production at jurisdictional scales.

-CI Ventures directly invests in enterprises that can be catalytic in transitioning natural resource-based economic sectors towards more sustainable production, including an investment in Victory Farms.

-CI Kenya developed both Vital Signs, a system that collects, integrates, and analyzes data to support sustainable agricultural and socioeconomic development, and the first comprehensive data platform for Kenya's Ministry of Environment and Forestry.

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**Have you included a Letter of Support from this organisation?**

Yes

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**Have you provided a cover letter to address your Stage 1 feedback?**

Yes

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**Do you have partners involved in the Project?**

Yes

**1. Partner Name:**

Fauna and Flora International (FFI)

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**Website address:**

[www.fauna-flora.org](http://www.fauna-flora.org)

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**Details (including roles and responsibilities and capacity to engage with the project):**

FFI has been working since 1903 to conserve threatened species and ecosystems worldwide, seeking sustainable solutions based on sound science that contribute to human wellbeing. FFI has a commitment to a rights-based approach to conservation.

FFI has worked in Kenya and Uganda for 17 and 12 years, respectively, supporting a wide range of both terrestrial, marine and freshwater projects. In Uganda, it has worked for the past six years at Lake Victoria. Staff in FFI's Africa and Conservation, Livelihoods and Governance teams have the technical capacity and experience to support this project, including on equitable governance, gender equity, participatory approaches and CCA formation.

FFI has successfully facilitated the creation of five CCAs in a Ugandan portion of the Lake Victoria basin and will provide hands-on guidance for adapting the process to the Kenyan context. FFI will also take the aquaculture-fisheries-conservation model back to Uganda for promotion and adoption there.

FFI is committed to supporting livelihoods strategies that reduce pressure on different ecosystems (terrestrial & freshwater) and acknowledges that complementary and holistic actions are required at the landscape level, including the development of regionally pioneering community-led conservation enterprise development.

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**Have you included a Letter of Support from this organisation?**

Yes

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**2. Partner Name:**

Pathfinder International

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**Website address:**

[www.pathfinder.org](http://www.pathfinder.org)

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**Details (including roles and responsibilities and capacity to engage with the project):**

Pathfinder’s Africa Population, Health, and Environment (PHE) portfolio encompasses a Learning lab (2014 to date) and five projects in three countries. As the civil society organization representative and chair of three national PHE networks (Kenya, Uganda, Tanzania), Pathfinder collaborated with the East African Community to develop its regional PHE Strategic Plan (2016-2021), and the Kenya national PHE Strategic Plan (2018-2022).

Pathfinder will leverage its experience in implementing the Health of the People in the Lake Victoria Basin project, which enhanced environmental conservation, increased reproductive health/family planning uptake and improved maternal, newborn, and child health. Project achievements included strengthening Beach Management Unit capacities, the demarcation of 16 fish breeding grounds, the development and implementation of 60 by-laws, and the adoption of sustainable fishing practices by communities in project sites.

Pathfinder will provide technical assistance in facilitating dialogues with communities and other partners/stakeholders on rights, identity, and gender to lay the foundation for participatory planning and visioning; in the design/negotiation of CCA agreements with communities, including livelihood options that benefit women as well as men; and in the design and measurement of baseline livelihood, governance, and/or gender indicators in the two communities.

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**Have you included a Letter of Support from this organisation?**  Yes

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**3. Partner Name:** Victory Farms Limited (VF)

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**Website address:** [www.victoryfarmskenya.com](http://www.victoryfarmskenya.com)

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**Details (including roles and responsibilities and capacity to engage with the project):**

Victory Farms (VF) is the largest fish farm in East Africa – producing above 5000 MT of Nile tilapia annually. Their mission is to build a commercial tilapia farm that can feed two billion Africans with affordable, accessible and healthy protein over the next two decades. The company is taking extensive measures to protect and restore the environment in which the farm operates and has received a USD\$ [REDACTED] loan to help achieve its goal.

VF is expanding its lake-based outgrower model, which is designed to empower local fisherfolk and smallholders to become independent fish farmers. In addition to conservation areas, this model may also include community fishponds and irrigated gardens.

In this project, VF will participate in meetings alongside communities to delineate CCA boundaries and articulate conservation goals; participate in the design/negotiation of CCA agreements with communities, which may be tied to an expanded VF outgrower model; as appropriate, contribute to the development of sustainable finance plans for the two CCAs; participate in measurement of baseline biodiversity indicators within/outside delineated CCAs; and review the guidance document for influencing the broader aquaculture sector to support CCAs or other conservation investments.

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**Have you included a Letter of Support from this organisation?**

Yes

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**4. Partner Name:**

*No Response*

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**Website address:**

*No Response*

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**Details (including roles and responsibilities and capacity to engage with the project):**

*No Response*

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**Have you included a Letter of Support from this organisation?**

Yes  
 No

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**5. Partner Name:**

*No Response*

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**Website address:**

*No Response*

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**Details (including roles and responsibilities and capacity to engage with the project):**

*No Response*

Have you included a Letter of Support from this organisation?  Yes  No

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6. Partner Name: *No Response*

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Website address: *No Response*

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Details (including roles and responsibilities and capacity to engage with the project): *No Response*

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Have you included a Letter of Support from this organisation?  Yes  No

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If you require more space to enter details regarding Partners involved in the project, please use the text field below.

*No Response*

Please provide a cover letter responding to feedback received at Stage 1 if applicable and a combined PDF of all letters of support.

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 [DIR27S2-1023 support letters](#)

 08/02/2021

 21:26:01

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 [cover letter](#)

 08/02/2021

 19:00:56

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## Section 7 - Project Staff

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### Q12. Project staff

Please identify the core staff on this project, their role and what % of their time they will be working on the project. Further information on who should be classified as core staff can be found in the guidance.

Please provide 1 page CVs for these staff, or a 1 page job description or Terms of Reference for roles yet to be filled. These should match the names and roles in the budget spreadsheet.

If your team is larger than 12 people please review if they are core staff, or whether you can merge roles (e.g. 'admin and finance support') below, but provide a full table based on this template in the pdf of CVs you provide.

Name (First name, Surname)	Role	% time on project	1 page CV or job description attached?
Leonard Akwany	<b>Project Leader</b>	31	Checked
Robin Abell	Freshwater Program Advisor (CI-USA)	2	Checked
Dane Klinger	Sustainable Aquaculture Specialist (CI-USA)	4	Checked
Bjorn Stauch	Sustainable Finance Specialist (CI-South Africa)	3	Checked

**Do you require more fields?**

Yes

Name (First name, Surname)	Role	% time on project	1 page CV or job description attached?
Rob Small	Community Conservation Area (CCA) Technical Advisor (FFI-UK)	4	Checked
Niwamanya Rogers Mwine	Community Conservation Area (CCA) Implementation Specialist (FFI-Uganda)	7	Checked
Ann Komen	Conservation, Livelihoods and Governance Specialist (FFI-Kenya)	3	Checked
Evelyn Ajwang	Gender and Livelihoods Specialist (PI-Kenya)	14	Checked
Michael Ouya	Aquaculture and Environment Specialist (VF-Kenya)	5	Checked
Steve Moran	Senior Aquaculture and Community Specialist (VF-Kenya)	5	Checked
<i>No Response</i>	<i>No Response</i>	0	Unchecked
<i>No Response</i>	<i>No Response</i>	0	Unchecked

**Please provide 1 page CVs (or job description if yet to be recruited) for the project staff listed above as a combined PDF.**

**Ensure the file is named clearly, consistent with the named individual and role above.**

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 [DIR27S2-1023 CVs](#)

 06/02/2021

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**Have you attached all project staff CVs?**

Yes

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## Section 8 - Problem statement

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### Q13. Problem the project is trying to address

**Please describe the problem your project is trying to address in terms of biodiversity and its relationship with poverty. For example, what are the drivers of loss of biodiversity that the project will attempt to address? Why are they relevant, for whom? How did you identify these problems?**

**Please cite the evidence you are using to support your assessment of the problem (references can be listed in your additional attached PDF document which can be uploaded at the bottom of the next page).**

Lake Victoria, a global biodiversity hotspot, historically supported more than 400 fish species (Sayer et al. 2018). It is the second most productive inland fishery globally, whose annual catch of up to 800,000 tonnes has a total annual value of \$ [REDACTED]. Livelihoods of around four million people are tied to the lake's fishery value chain, but the export of fish leaves lake communities food and nutrition insecure (Ainsworth et al. 2021).

Twenty percent of all aquatic lake species assessed are threatened with extinction (Sayer et al. 2018). Overfishing, along with introduced species, littoral wetland loss, climate change, and land-based pollution threaten native fish (Ainsworth et al. 2021). Fisherfolk are increasingly exploiting small pelagic species and intensifying fishing effort, with impacts on native fish populations and livelihoods. Weak transnational lake governance also impedes effective fishery management.

Cage-based aquaculture by individuals and enterprises is emerging as a promising source of regional food security and economic development, but it brings threats like added pollution; disease introduction; competition from escapees; encroachment into spawning grounds, fishing routes, and landing sites; territorial conflicts; and exploitation of the wild fisheries for feed (Musinguzi et al. 2019). Lack of zoning and best practices for aquaculture's responsible expansion are putting the lake at risk (Orina et al. 2018). Furthermore, responsible aquaculture companies have no clear mechanism for conserving the freshwater ecosystems where they operate.

Food security and livelihoods for the rural poor should not compromise the biodiversity underpinning those benefits. Unfortunately, insufficient incentives and ineffective governance structures create barriers for community-level stewardship of Lake Victoria's native fish, and specifically of key breeding areas (Aura et al. 2019). Fisherfolk communities have traditional ecological knowledge of fish breeding grounds, but protection of those areas is constrained by limited resources in terms of Beach Management Unit (BMU) patrol boats, paid personnel, and monitoring tools, along with a lack of BMU empowerment (Ainsworth et al. 2021).

This project will convene fisherfolk, civil society, and aquaculture companies to develop sustainably financed and incentive-based community conservation areas (CCAs) alongside responsible aquaculture.

Specifically, we will explore how an aquaculture outgrower model that includes community participation in enhanced livelihoods (cage aquaculture and potentially irrigated farming and ponds) can be leveraged alongside other incentives to catalyze the creation and sustained management of fringing wetlands and nearshore areas that serve as fish breeding grounds. While this project cannot solve the problem of weak transnational governance, input to the Lake Victoria Fisheries Organization will provide that regional institution with argumentation for enhanced conservation activities.

The project will be implemented in Homa Bay County, Kenya in the area of Sindo, previously identified as a priority for a lake-wide network of aquatic protected areas (Sayer et al. 2019). We will work with the BMUs of two communities - Roo and Ukula - that have existing agreements with the aquaculture company Victory Farms to participate in a community development program. Project partners have begun laying the foundation for this project with these communities through key informant interviews.

## **Section 9 - Method, Change Expected, Gender & Exit Strategy**

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### **Q14. Methodology**

**Describe the methods and approach you will use to achieve your intended Outcome and Impact. Provide information on:**

- How you have analysed historical and existing initiatives and are building on or taking work already done into account in project design. Please cite evidence where appropriate.
- The rationale for carrying out this work and a justification of your proposed methodology.
- How you will undertake the work (materials and methods).
- How you will manage the work (roles and responsibilities, project management tools, etc.).

Past and current initiatives set the stage for our project, which is designed to provide a model for addressing key needs at the intersection of fish species conservation, fisheries management, and aquaculture development in Lake Victoria. Specifically:

- In 2018, IUCN's Global Species Programme delineated new freshwater Key Biodiversity Areas for Lake Victoria and a 'critical sites network,' with gaps in protection identified for the project area (see accompanying map) (Sayer et al. 2019).
- The Homa Bay County Integrated Development Plan (Homa Bay County, no date) identifies the need for mapping, demarcation, and protection of fish breeding sites; capacity building for BMUs; protection and restoration of riparian reserves; establishment of fish value addition strategies; and capacity-building of stakeholders related to environmental management.
- A current US National Science Foundation project (Award #1518532) explores how food and economic security provided by the lake's fisheries will change in response to population growth and cage aquaculture. Initial findings include differential livelihood benefits to men and women from fisheries and aquaculture.
- From 2015-2018, FFI led the Darwin Initiative project (322-019), which designated five CCAs in the Lake Victoria basin in Uganda and provides a roadmap for a successful, participatory CCA development process.
- From 2011-2019, Pathfinder International supported people living in the Lake Victoria Basin, including Homa Bay, through its Health of the People and the Environment Project. That project successfully supported BMUs to implement improved fisheries management, with reported benefits across communities (Pathfinder 2018).
- Victory Farms is expanding its operations through an outgrower model to enhance production from small and medium size farms. VF has built a relationship with the Lake Victoria BMU Network, with a membership of over 80,000 people working in fisheries.
- Following completion of a compliance process, CI expects, in the first quarter of 2021, to be launching an Open Society Foundation-funded project to develop a data management and visualization system for

Kenya's aquaculture production. This project will build relationships with aquaculture companies and associations who will be target audiences for our aquaculture guidance document.

-Through its TRUE-FISH project, the LVFO is formulating a project to support the promotion of aquaculture in the East African Community. In its letter of support, LVFO notes the importance of intersecting this project with that initiative.

Building on these initiatives, this project will establish a process for creating and maintaining place-based protections (CCAs) for native fish breeding areas in the face of fishing pressures and aquaculture development. Importantly, the project will include near-term incentives for communities to adopt stewardship behaviours, and the identification of sustainable financing mechanisms to allow for protections to be maintained over the long term. VF has defined an outgrower model that includes the establishment of separate conservation areas as part of its agreements with communities. Livelihood (income) improvements will be derived from a combination of participation in the outgrower model and additional incentives, which may include alternative livelihoods development. CI has extensive experience negotiating Conservation Agreements with communities and will ensure that protection of fish breeding grounds are at the core of the agreements, though CCAs may be zoned for multiple uses.

The project will work directly with communities, via a participatory development process, to design new CCAs, including management and monitoring plans and community incentives. Our engagement with communities will give voice to women and youth, who are normally underrepresented in community decision-making, via separate meetings, as necessary. Local government officials responsible for fishing and aquaculture will be invited to observe and contribute to these processes, where appropriate. Project partners will lead the measurement of livelihoods and gender indicators (baseline and post-CCA implementation), and we expect the Kenya Marine and Fisheries Research Institute (KMFRI) to assist BMUs in biophysical monitoring. The second output focuses on developing sustainable finance mechanisms, building on the expertise of CI's conservation finance program. Outputs three and four develop enabling conditions for articulating the CCA model and advocating for its adoption and uptake by stakeholders, including fishery and aquaculture actors and decision-makers. This will include guidance and policy documents. Consultative forums will be held for each sector to solicit input and promote buy-in, prior to finalizing and disseminating recommendations.

The Project Leader, with assistance from an experienced Project Advisor, will manage the project elements and partner contributions via Microsoft Planner or the equivalent. The Project Advisor will chair virtual partner meetings, held quarterly. Progress reports will be submitted to the Project Leader. We will begin by developing a detailed RACI (Responsible, Accountable, Consulted, Informed) chart tied to our activity timetable. CI will provide the Financial Manager.

## **Q15. 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 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?**

At the local level, we will engage with the fisher communities and associated BMUs via the participatory process of developing the CCA management and financing plans. In conjunction with community leadership, we will design and disseminate tailored communications (oral and/or written) aimed at securing community buy-in for the CCAs and their enforcement. Buy-in of county officials of the State Department for Fisheries, Aquaculture and the Blue Economy is also essential, to strengthen and validate the authority

of BMUs to manage CCAs, provide financial resources and extension services, and support sustainable aquaculture practices. Communications targeted to county officials will take the form of strategic meetings and involvement in project workshops and will emphasize the value of native fish biodiversity to inland fishery sustainability.

At the national level, the project team will communicate project findings to KMFRI, to advocate for enhanced research and monitoring of fish biodiversity. The importance of freshwater fish biodiversity will be highlighted in project fact sheets to NEMA and KWS, to underscore the importance of lake species in their national action plans. Likewise, the importance of freshwater fish biodiversity in underpinning capture fisheries will be communicated to the Kenya Fisheries Authority, which has influence over programming and investments. The Aquaculture Association of Kenya and the Cage Fish Farmers Association will be targeted with information about the value of investing in biodiversity conservation alongside production through a tailored guidance document.

The primary target audience at the regional level will be the LVFO, a specialized institution of the East African Community whose mandate is to coordinate the management and development of fisheries and aquaculture resources in the region. We will reach the LVFO principally via a white paper that will provide argumentation and a road map for establishing CCAs as part of an ecosystem-based management approach to sustainable inland fisheries.

## **Q16. Capacity building**

**If your project will support capacity building at institutional or individual levels, please provide details of what form this will take and how this capacity will be secured for the future.**

The ultimate success of our project will depend on the capacity of fisherfolk communities to establish, manage, and sustain the CCAs as a foundation for improved fishery management and biodiversity conservation. Capacity-building is central to the project, with the aims of engendering and enabling stewardship behaviors and decisions among community members and linked Beach Management Units (BMUs).

The participatory CCA development process, to which county government officials will be invited, will begin with a dialogue on rights, identity, and gender and will incorporate skills-building around environmental stewardship, livelihoods diversification and financing, and co-management organizational leadership and impact. Women and youth, who are normally unempowered in Lake Victoria fisherfolk communities, will be expressly included in the process.

BMUs will be at the front line of managing and monitoring CCAs. We will build capacity of the two target BMUs through participatory workshops and hands-on field work. The areas of capacity building will include managing BMUs as co-management organizations, resource mobilization for BMU activities (such as through inclusion in county integrated development plans), CCA monitoring and reporting, fisheries stewardship, and freshwater ecosystem restoration.

If community mini-trust funds, savings groups, or similar arrangements are established as sustainable financing mechanisms, we will provide training in financial literacy to appropriate community members. CI has built such training into several projects around the world, including one working with fishing communities on Tonle Sap Lake in Cambodia, and existing training materials can be adapted for use in this project.

Because capacity will be built principally within communities (as opposed to within organizations or institutions with potential staff turnover), we expect that the built capacity will largely be sustained in those

communities over time. Additionally, all project partner organizations will participate in training in conflict resolution, the rights-based approach, and gender-responsive community development prior to the project initiation.

## Q17. Gender equality

**All applicants must consider whether and how their project will contribute to reducing inequality between persons of different gender. Explain how your project will collect sex disaggregated data and what impact your project will have in promoting gender equality.**

Gender Inequality and Gender-Based Violence are prominent issues in Lake Victoria communities, with environmental degradation and reduced fish catch acting as key drivers. Men dominate governance and decision-making, income generation, land and property ownership, and even decisions about reproductive health. Women are marginalized along the fisheries value chain, being relegated to roles of small-scale fish mongers and processors. The exchange of sex for fish so that women can feed their families has been well-documented (Mojola 2011).

Building on a pre-project gender assessment to be undertaken in the first half of 2021, gender will be mainstreamed throughout the project planning and implementation, with a focus on CCA management plans and incentives. The project will investigate activities that support an increase in women's ability to process and market fish for a higher price and ensure that women receive a clear benefit from the project, especially if fish catch is reduced in the immediate term. Additionally, studies project that women will achieve greater livelihood benefits from Lake Victoria aquaculture than from fisheries, so participation in aquaculture-based livelihoods will be emphasized in Conservation Agreements (Burroughs 2018). Sustainable finance mechanisms will also include proactive measures to ensure women are able to benefit (Abwao and Awuor Fonda 2019); CI has experience, for instance, establishing women's savings groups with fishing communities in Cambodia.

Although it may not be possible to achieve equal representation within BMU leadership, we will aim for at least one-third female representation in CCA management bodies, in accordance with Kenya's constitution. The project will collect sex-disaggregated data via surveys. By mid-project, at least 75% of men, women, and youth over the age of 18 of all participating households will feel their voices are heard and represented in processes of CCA planning and management.

## Q18. Change expected

**Detail the expected changes this work will deliver. You should identify what will change and who will benefit a) in the short-term (i.e. during the life of the project) and b) in the long-term (after the project has ended).**

**Please describe the changes for biodiversity and for people in developing countries, and how they are linked. When talking about people, please remember to give details of who will benefit and the number of beneficiaries expected. The number of communities is insufficient detail – number of households should be the largest unit used. If possible, indicate the number of women who will be impacted.**

With CCA implementation, native fish within an estimated 1000 hectares of aquatic and/or wetland habitat will be protected from overharvest, and their breeding grounds will be protected from direct disturbance (e.g. from motorized boat traffic). Fringing wetland vegetation will also serve as a filter for nonpoint pollution. By the end of the project, encroachment and illegal fishing in CCAs will be reduced from baseline conditions; limnological measures within the CCAs will show stabilization or improvement from baseline

conditions, and population numbers of target freshwater fish species will have improved from baseline conditions.

Over the longer term, protection of fish breeding grounds will increase the fishery's resilience and contribute to stabilizing fishery-related livelihoods (Aura et al. 2019). We would also expect rare species to reappear and become established within CCAs. Around 20% of recorded fish species in the Homa Bay area are threatened; these include the critically endangered and overfished *Oreochromis esculentus*, *Oreochromis variabilis*, and *Labeo victorinus*, all of which were historically part of the wild capture fishery and likely still occur in the project area based on recent informal collections (Sayer et al. 2018). Prior to the start of this project, we will conduct biodiversity surveys to confirm the presence of specific native fish species in the project area.

The project aims to improve livelihoods of up to 2,000 men, women, and youth (aged 15-25) in the two communities, with 60% of the improvement realized among women. This is about 500 households. Specifically, by the end of the project, incomes for half of employable adults and youth in the two communities will show statistically significant increases from baseline conditions. Overall fish catch may decline in the immediate term from CCA establishment, but a net increase in income should result from the implementation of incentive programs and improved livelihood options (e.g. participation in Victory Farms' expanded outgrower program, which in addition to the provision of lake-based cages may include irrigated horticulture and community egg ponds; value-added fish products). There will also be job opportunities related to the expansion of responsible aquaculture operations; Victory Farms estimates 100 new jobs within the two communities participating in its community development program.

At least 75% of men, women, and youth of all participating households will report feeling that their voices are heard and represented in the processes of CCA planning and management. This change will be important for the long-term success of the CCAs, and for improving equity among people who are typically underrepresented in community decision-making and who have more limited access to resources in the form of fish.

Long-term replication of the model across the lake would contribute to a network of refuges for additional native fish species. The project is designed to create a pathway for fishery authorities, BMUs, and aquaculture companies to partner to protect aquatic natural heritage while improving food security, livelihoods, and economic returns. Victory Farms estimates that each community development program (including the outgrower program and conservation areas) will contribute 15 million meals per year.

## Q19. Pathway to change

**Please outline your project's expected pathway to change. This should be an overview of the overall project logic and outline how you expect your Outputs to contribute towards your overall Outcome and, longer term, your expected Impact.**

Our outcome is for native fish species to be protected by two communities via an incentive-driven model that will deliver livelihood improvements for 2,000 women, men, and youth and will be scalable across Lake Victoria.

Fish protection will be achieved through new CCAs in each community. A key output is the development and implementation, through participatory processes, of management and monitoring frameworks for the CCAs. Short-term incentives will be a bridge until sustainable financing is in place; a second output is sustainable financing plans, to allow the CCAs to persist beyond this project.

To lay the foundation for replication of the model across Lake Victoria, we will develop best practices for

collaborative conservation between aquaculture enterprises and communities. We will also provide recommendations to the Lake Victoria Fisheries Organization for strengthening, via fisheries policy and governance, enabling conditions for the establishment, enforcement, and resourcing of aquatic CCAs.

Our long-term impact is the enhanced protection and restoration of Lake Victoria fish biodiversity and linked wild capture fisheries, alongside the expansion of responsible aquaculture. This 'three-legged stool' will comprise a nature-based sustainable development solution for promotion in other geographies where food systems both impact and depend on healthy freshwater ecosystems and species.

## Q20. Exit Strategy

**State how the project will reach a stable and sustainable end point, and explain how the outcomes will be sustained, either through a continuation of activities, funding and support from other sources or because the activities will be mainstreamed in to "business as usual".**

**Where individuals receive advanced training, for example, what will happen should that individual leave?**

Without a sustainable financing mechanism, the planned CCAs are unlikely to persist long beyond the project's conclusion. A core part of the project is identification of viable sustainable financing mechanisms to allow the necessary resourcing of BMUs to enforce and manage the CCAs. Possible mechanisms could be tied to community participation in aquaculture outgrower models or the establishment of community mini-trust funds or savings groups (with financial literacy training for community members). Establishing a functioning, long-lasting financing system may, however, require additional time and resources. We will be drawing on CI's sustainable financing program to bring these mechanisms to maturity, and we expect that CI will continue to work with the communities well beyond the lifetime of this project. Our ambition to tailor and replicate the model across Lake Victoria and ultimately the East Africa region will require engagement over the long term, and CI is embarking on a jurisdictional approach project for sustainable aquaculture in the lake.

Other sustainability avenues include building the environmental stewardship capacity of the two community BMUs and providing training opportunities to the lake-wide BMU Network; and facilitating strong partnerships among the BMUs, aquaculture enterprises, and the county government to sustain the project legacy.

**If necessary, please provide supporting documentation e.g. maps, diagrams, references etc., as a PDF using the File Upload below:**

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 [Supporting documentation](#)

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## Section 10 - Budget and Funding

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### Q21. Budget

**Please complete the appropriate Excel spreadsheet, which provides the Budget for this application. Some of the questions earlier and below refer to the information in this spreadsheet. Note that there are different templates for projects requesting over and under £100,000 from the Darwin budget.**

- [Budget form for projects under £100,000](#)
- [Budget form for projects over £100,000](#)

**Please refer to the Finance for Darwin/IWT Guidance for more information.**

**N.B.: Please state all costs by financial year (1 April to 31 March) and in GBP. The Darwin Initiative cannot agree any increase in grants once awarded.**

**Please upload your completed Darwin Budget Form Excel spreadsheet using the field below.**

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 [Conservation International-UK-DARWIN- Budget Over £100K](#)  
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## Q22. Funding

**Q22a. Is this a new initiative or a development of existing work (funded through any source)?**

New Initiative

**Please provide details:**

This project is a new initiative, but it builds on related work. In 2020, CI Ventures, LLC (an investment fund that provides loans to small- and medium-sized enterprises) invested in Victory Farms. That investment catalyzed discussions around the design, management, and sustainable financing of community conservation areas as part of Victory Farms' outgrower model.

Victory Farms has established formal relationships with the communities at the center of this project, and CI has undertaken reconnaissance with those communities to assess fisheries threats and priorities within the broader context of livelihoods and health. Prior to the project's onset, we will conduct gender analyses and a feasibility analysis around shared commitments for CCA implementation and long-term finance strategies.

Separately, we are undertaking a biodiversity and limnological survey in the same area (in collaboration with the Kenya Marine and Fisheries Research Institute) to gain a better understanding of the impacts of cage aquaculture on native fish species and habitats.

**Q22b. Are you aware of any other individuals/organisations/projects carrying out or applying for funding for similar work?**

Yes

**Please give details explaining similarities and differences. Explain 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.**

The project team is aware of interest in endangered fish species research involving scientists at Uganda's

National Fisheries Resources Research Institute and some regional universities. Where possible, the project team will reach out to the leaders of these other projects for sharing of information, especially related to effective protections for fish breeding grounds.

Lead partner CI is in discussions with an African industry development organization around a collaboration to apply a jurisdictional approach to sustainable Lake Victoria aquaculture; the work would involve a landscape stakeholder analysis, carrying capacity analysis, and roadmap development. Other NGOs active in African aquaculture include IDH (The Sustainable Trade Initiative), The Nature Conservancy, and others with whom CI is in communication.

A recently funded US National Science Foundation project (Award #2009658) is examining how cyanobacterial harmful algal blooms in Lake Victoria are shaping socio-environmental systems by altering food webs, threatening fisherfolk, and driving behavior and market changes that may exacerbate blooms. The research has minimal overlap with our proposed project, but we are in communication with the researchers to explore possible areas of collaboration.

## Q23. Co-financing

### Are you proposing co-financing?

Yes

#### Q23a. 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, as well as any your own organisation(s) will be committing.**

Donor Organisation	Amount	Currency code	Comments
Private donor	██████	GBP	A pledge from a private donor to CI for this project, if funded.
Pisces Foundation	██████	GBP	CI spend-down fund contribution restricted to freshwater.
<i>No Response</i>	0	<i>No Response</i>	<i>No Response</i>
<i>No Response</i>	0	<i>No Response</i>	<i>No Response</i>

#### Q23b. Unsecured

**Provide details of any co-financing where an application has been submitted, or that you intend applying for during the course of the project. This could include co-financing from the private sector, charitable organisations or other public sector schemes. This should also include any additional funds required where a donor has not yet been identified.**

Date applied for	Donor Organisation	Amount	Currency Code	Comments
No Response	No Response	0	No Response	No Response
No Response	No Response	0	No Response	No Response
No Response	No Response	0	No Response	No Response
No Response	No Response	0	No Response	No Response

**Do you require more fields?**

No

## Section 11- Open Access and Financial Risk Management

### Q24. Outputs of the project and Open Access

**Please describe the project's open access plan and detail any specific funds you are seeking from Darwin to fund this.**

All outputs generated through this project will be made freely available. We will use Zenodo as the primary long-term platform for output storage, to ensure that the main products (CCA management plans, monitoring data, aquaculture guidance document, and fisheries white paper) are accessible in perpetuity. CCA management plans will be filed with county government fishery authorities and the Kenya Fisheries Service and will be 'owned' by the communities themselves. Monitoring data on fish and fisheries will be shared with the Kenya Marine and Fisheries Research Institute and the Lake Victoria Fisheries Organization for inclusion in their research and management efforts. All peer-reviewed papers resulting from this project after its conclusion will be published as open access, presuming a budget for open access is available from other funding sources.

### Q25. Financial Risk Management

**This question considers the financial risks to the project. Explain how you have considered the risks and threats that may be relevant to the successful financial delivery of this project. This includes risks such as fraud or bribery, but may also include the risk of fluctuating foreign exchange and internal financial processes such as storage of financial data.**

The project is deemed to have limited financial risks that can jeopardize the effective and efficient use of financial resources allocated. Risks include the misuse of funds by partners, whether fraudulent or not, and exchange rate fluctuation. The following mitigation measures have been identified:

CI's financial management system will monitor and verify that financial spending and procurement follow donor requirements and agreed-upon procedures and that CI's project team are monitored and verified at

all levels including the field, and our partners are in compliance.

CI uses Business World as its ERP and financial accounting system, which has the capacity to translate expenses incurred in local currency to USD (CI's currency of record) on a daily basis based on a live daily feed from Oanda. This reduces the risk of daily exchange rate fluctuations. CI uses an average weighted exchange rate based on timing of advances and expenses incurred to report back to the Donor in the Donor currency.

We do not anticipate any misuse of funds by beneficiaries as no cash grants will be awarded to communities or to the BMUs. Instead, the project will provide in-kind grants in the form of equipment which will be procured directly by CI.

## Q26. Capital items

**If you plan to purchase capital items with Darwin funding, please indicate what you anticipate will happen to the items following project end. If you are requesting more than 10% capital costs, please provide your justification here.**

Capital items for this project (including citizen science monitoring equipment, boats and related equipment for BMU enforcement) will be paid for with co-financing. Ownership of these items will be transferred to the BMUs. The cost of registering the boats with the Kenya Marine Authority is included in the budget.

Personal protective equipment (masks and hand sanitizer) for use with and by community members will be purchased with Darwin funding and will be donated to the communities.

## Q27. 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.**

The budget is designed to generate effective outcomes as efficiently as possible. Around 17% of the total project budget will go towards stewardship incentives for communities. These incentives will serve as a bridge to sustainable financing, so that the CCAs and the benefits derived from them can outlive the project itself.

In addition to providing poverty alleviation benefits to two local communities and conservation benefits to native fish species, this project is designed to generate broader impact over the longer term. Specifically, the model being developed is designed to be both replicable (there are over 1000 BMUs across Lake Victoria's three countries) and influential (to the growing aquaculture industry, and to the Lake Victoria Fisheries Organization). This potential for replication and influence adds value for money beyond the local benefits.

Because the project spans inland fisheries, species conservation, and aquaculture, with cross-cutting livelihoods, sustainable finance, and governance elements, the budget includes time for targeted contributions by specialists in these areas drawn from the partner organizations. A dedicated project leader from the region will oversee the project. All staff from partner organizations are based in the region, reducing travel costs and ensuring an understanding of local context. The financial manager is based in CI's Nairobi office, which has a solid track record of grant management for Kenyan projects.

## Section 12 - Ethics and Safeguarding

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## Q28. Ethics

**Outline your approach to meeting Darwin's key principles for ethics as outlined in the guidance note. Additionally, are there any human rights and/or international humanitarian law risks in relation to your project? If there are, have you carried out an assessment of the impact of those risks, and of measures that may be taken in order to mitigate them?**

CI is committed to respecting human rights, promoting their protection and realization within our programs, and supporting governance systems that can secure those rights.

With regards to ethics:

- CI maintains an ethics hotline that is a globally accessible, multilingual, and completely confidential reporting tool. It is accessible by staff as well as partners, vendors, and beneficiaries.
- A Code of Ethics defines the expectations of the organization for all its employees, consultants, vendors, grantees, interns, and volunteers. CI publishes the policy online, includes it in regular training sessions, and assesses compliance through internal audits and routine monitoring.
- CI requires that all staff and directors complete annual Conflict of Interest Disclosure Statements.
- CI maintains robust protocols for conducting investigations. The investigatory function is overseen by the General Counsel's Office which reports directly to CI's CEO and has direct access to the Board of Directors.
- Community stakeholder engagement will follow Free, Prior, and Informed Consent principles (<https://www.conservation.org/projects/free-prior-and-informed-consent-in-context>), including regular community meetings and comprehensive documentation to evidence how the concerns, knowledge, rights and needs, particularly of vulnerable people, are addressed. The project will adhere to Kenya's Protection of Traditional Knowledge and Cultural Expressions Act (Republic of Kenya 2016).
- To assess and minimize risk to its staff, CI's Safety and Security Team assesses health, travel, political and natural risks to its staff. Each field office has regularly updated emergency plans that are communicated with in-country staff and visitors.

No human rights or international law risks have been identified for the project.

## Q29. Corruption

**This question specifically considers corruption. Explain how you have considered any risk of corruption that may affect the success of this project, and how you plan to manage this. This may include financial corruption, but may also deal with gifts or inducements, or other types of dishonesty or deceit.**

Bribery in Lake Victoria fisheries can include BMU executives who serve as informants, take bribes (Yan et al. 2020); or are involved in illegal fishing operations (Etiegni et al. 2017; Sundström. 2015). Fisheries officers have reportedly intervened in the election of BMU committee members to ensure they can maintain bribes (Yan et al. 2020). The introduction of legal measures, policing and law enforcement should be accompanied by increased transparency, accountability and traceability.

The following measures will be in place to mitigate corruption-related risks:

- Open and transparent identification and selection of project beneficiaries.
- Declaration of conflict of interest by organization, partners and project staff on project matters.
- Signing and commitment to code of conduct by organization, partners and project staff on accountability, transparency, honesty and sound behavior.
- Strict adherence to CI financial management procedures.
- Enabling community monitoring and providing safe and confidential avenues for external grievance and reporting of corruption.
- Close and effective supervision of all aspects of project implementation.
- Enabling of internal reporting and whistle-blowing mechanisms.

- Corruption-proofing of our project implementation (system and procedures) through progress evaluations and audits.

CI's relevant anti-corruption policies are included in the proposal package.

### Q30. Safeguarding

**Projects funded through the Darwin Initiative must fully protect vulnerable people all of the time, wherever they work. In order to provide assurance of this, projects are required to have appropriate safeguarding policies in place. Please confirm the lead organisation has the following policies in place and that these can be available on request:**

<b>We have a safeguarding policy, which includes a statement of our commitment to safeguarding and a zero tolerance statement on bullying, harassment and sexual exploitation and abuse</b>	Checked
<b>We have attached a copy of our safeguarding policy to this application (file upload below)</b>	Checked
<b>We keep a detailed register of safeguarding issues raised and how they were dealt with</b>	Checked
<b>We have clear investigation and disciplinary procedures to use when allegations and complaints are made, and have clear processes in place for when a disclosure is made</b>	Checked
<b>We share our safeguarding policy with downstream partners</b>	Checked
<b>We have a whistle-blowing policy which protects whistle blowers from reprisals and includes clear processes for dealing with concerns raised</b>	Checked
<b>We have a Code of Conduct for staff and volunteers that sets out clear expectations of behaviours - inside and outside the work place - and make clear what will happen in the event of non-compliance or breach of these standards</b>	Checked

**Please outline how you will implement your policies in practice and ensure that downstream partners apply the same standards as the lead organisation.**

CI uses a Rights-based Approach (RBA) to ensure its conservation activities do not disadvantage or undermine poor, vulnerable or marginalized people who are dependent upon or live adjacent to natural resources, and seeks to conserve biodiversity in ways that enhance local well-being and social equity.

CI has a suite of policies and procedures concerning core values and ethical behavior, including safeguarding, anti-harassment, and whistle blowing. Capacity-building modules, guidelines, pilots, case studies and examples of practical application improve understanding of safeguards and guide CI's work in the field. A full environmental and social safeguard system is being developed that will help to ensure accountability. CI's Code of Ethics provides guidance to CI employees, consultants, vendors, experts, interns, and volunteers in living CI's core values, and outlines minimum standards for ethical conduct which all must adhere to. CI's Ethics Hotline allows anyone to report illegal or unethical behavior. Reporting can be anonymous by phone or through the secure web portal. All reports are investigated under the oversight of

CI's General Counsel's Office.

The responsibility to abide by safeguarding, anti-harassment and equal opportunities policies and procedures, is shared downstream to consultants and partners as contractual obligations in subgrant and consultancy contracts.

### Please upload the lead organisation's Safeguarding Policy as a PDF

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 [CI SEAH Policy](#)

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 [CI CI's Ethics Hotline Reporting Illegal or Unethical Behavior](#)

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 [CI Anti-Fraud Policy and Guidelines for Investigation](#)

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 [CI Child Protection and Safeguarding](#)

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 [CI research ethics](#)

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 [CI Anti-Bribery and Anti-Corruption Policy](#)

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 [CI Whistleblower Policy](#)

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 [CI Anti-Harassment](#)

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 [CI Code of Ethics - Code of Conduct](#)

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## Section 13 - Logical Framework

### Q31. Logical Framework

Darwin Initiative projects will be required to monitor (and report against) their progress towards their expected Outputs and Outcome. This section sets out the expected Outputs and Outcome of your project, how you expect to measure progress against these and how we can verify this.

- [Stage 2 Logframe Template](#)

Please complete your full logframe in the separate Word template and upload as a PDF using the file upload below. Copy your Impact, Outcome and Output statements and your activities below - these should be the same as in your uploaded logframe.

**Please upload your logframe as a PDF document.**

-  [R27 Darwin St2 Logical Framework Template FI](#)  
[NAL](#)
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-  pdf 92.26 KB

**Impact:**

Lake Victoria fish biodiversity and linked wild capture fisheries will be restored alongside the expansion of responsible aquaculture, with well-being benefits for riparian and regional communities.

**Outcome:**

Native fish species are protected by two communities via an incentive-driven model that will deliver livelihood improvements for 2,000 women, men, and youth and will be scalable across Lake Victoria.

**Project Outputs**

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**Output 1:**

Management and monitoring frameworks for each of the two community conservation areas (CCAs), developed through participatory processes, are finalized and being implemented by BMUs.

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**Output 2:**

Sustainable financing plans for each of the two CCAs are developed to enable the CCAs' persistence beyond the life of the project.

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**Output 3:**

Best practices and opportunities for collaborative conservation between aquaculture enterprises and communities are generated.

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**Output 4:**

A foundation is laid for strengthening, via fisheries policy and governance, enabling conditions for the establishment, enforcement, and resourcing of aquatic CCAs.

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**Output 5:**

*No Response*

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**Do you require more Output fields?**

**It is advised to have less than 6 Outputs since this level of detail can be provided at the Activity level.**

No

**Activities**

**Each activity is numbered according to the Output that it will contribute towards, for example, 1.1, 1.2, 1.3 are contributing to Output 1.**

- 1.1 With each community, facilitate a draft delineation of CCA boundaries and goals for the CCA, using a combination of species/ecological data/knowledge and community knowledge/preferences.
- 1.2 Conduct a set of dialogues with communities on rights, identity, and gender, possibly separate for men/women, to lay the foundation for participatory planning and visioning.
- 1.3 Conduct participatory and gender-focused design and negotiation of CCA agreements, including community commitments, incentives to be provided, monitoring frameworks for compliance, and outcomes.
- 1.4 Finalize CCA boundaries with communities as part of the management framework and map using GIS.
- 1.5 Measure baseline biodiversity indicators at CCA locations.
- 1.6 Measure baseline livelihood, governance, and gender indicators at CCA locations.
- 1.7 Establish representative CCA governing/management groups, with regularly scheduled meetings.
- 1.8 Train BMUs in resource mobilization (e.g. via county integrated development plans), organizational management, and citizen science monitoring of CCAs.
- 1.9 Implement CCA agreements (demarcation, enforcement).
- 1.10 Twice a year (every 6 months), measure short-term realized impact through biodiversity and livelihood/gender indicators.
- 1.11 Conduct quarterly meetings with communities and other stakeholders to gather feedback and address concerns.
- 1.12 Adaptively manage CCA agreements as necessary, based on monitoring results and community feedback.
- 1.13 Write up summary report of CCA model and lessons learned.
- 1.14 Present CCA model results and summary to PMERL committee.
- 1.15 Present CCA model results and summary to communities and to the Lake Victoria BMU Network.
- 2.1 Conduct desktop research and stakeholder interviews to develop possible sustainable financing mechanisms for managing and enforcing CCAs.
- 2.2 Present sustainable financing options to communities during quarterly meetings.
- 2.3 Develop sustainable finance plans for the CCAs in conjunction with communities. Disseminate plans back to communities.
- 2.4 As needed, conduct initial financial literacy training with relevant community members to lay the foundation for implementation of the plans.
- 2.5 Identify next steps for operationalizing sustainable finance plans and, as appropriate, capture in a concept note.
- 3.1 Develop draft guidance for influencing the broader sustainable aquaculture sector to support CCAs as a step towards achieving net positive impact.
- 3.2. Present draft guidance at a virtual consultative forum including aquaculture companies and county/national fisheries/aquaculture officials.
- 3.3 Finalize and disseminate aquaculture guidance document via national-level aquaculture associations, and through identified channels such as annual events, online fora, etc.
- 3.4 Monitor downloads of guidance document as measure of dissemination effectiveness
- 4.1 Develop draft white paper with recommendations for strengthening, via fisheries policy and governance, enabling conditions for the establishment, enforcement, and resourcing of aquatic CCAs.
- 4.2 Present draft white paper at a virtual consultative forum including the Lake Victoria Fisheries Organization, member country representatives, and select other county and national-level fishery officials.
- 4.3 Finalize and disseminate the white paper via the Lake Victoria Fisheries Organization and through other national and lake-wide channels to be identified.
- 4.4 Monitor downloads of white paper as a measure of dissemination effectiveness.

## Section 14 - Implementation Timetable

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### **Q32. Provide a project implementation timetable that shows the key milestones**

## in project activities

**Provide a project implementation timetable that shows the key milestones in project activities. Complete the Excel spreadsheet template as appropriate to describe the intended workplan for your project.**

[Implementation Timetable Template](#)

**Please add/remove columns to reflect the length of your project. For each activity (add/remove rows as appropriate) indicate the number of months it will last, and fill/shade only the quarters in which an activity will be carried out. The workplan can span multiple pages if necessary.**

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 [R27 Darwin St2 Implementation Timetable Template FINAL](#)

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## Section 15 - Monitoring and Evaluation

### Q33. Monitoring and evaluation (M&E)

**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 project's M&E.**

**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. M&E 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. Additionally, please indicate an approximate budget and level of effort (person days) to be spent on M&E (see [Finance Guidance for Darwin/IWT](#)).**

Our M & E will be anchored in results-based management and adaptive management framework approaches. Specifically, it will employ a Participatory Monitoring, Evaluation, Reporting and Learning (PMERL) approach. A PMERL committee will be composed of local stakeholders, project beneficiaries, and project partners. Semi-annual learning and evaluation meetings will be held with project staff and relevant stakeholders to discuss and report on targeted output and outcome indicators, activity progress, most significant stories, gaps, and potential for improvements. At quarterly progress review meetings, collated information about each implemented activity will be reviewed and adjustments made to the project work plan as appropriate. We will also have quarterly meetings with both communities to discuss project progress, perceptions, and to problem-solve. We will use various data collection tools including activity summary reports at the end of every major activity or milestone, outcome tracking reports to capture results on interventions, semi-annual reports, post-training and workshop evaluation forms, and sign-in sheets for training participants. At the end of the project, local stakeholders will evaluate the project based on the project objectives. The Project Leader will be responsible for all M&E activities and applying the PMERL approach, maintaining the information that is generated, and making project adjustments as needed based on findings.

In addition to monitoring project activities, monitoring of project impacts is core to the project design. Because this project is a new initiative, we do not have baseline data, but we do know from IUCN's delineation of Key Freshwater Biodiversity Areas that the Nyanza Gulf Region (where the project is located) has historically supported threatened fish species (Sayer et al. 2019). Prior to the project's onset, CI will be resourcing a fish biodiversity and limnological survey of the project area, to be conducted by the Kenya Marine and Fisheries Research Institute, to confirm the presence of three endangered fish species recently observed there (*Oreochromis esculentus*, *O. variabilis* and *Labeo victorinus*), and to take measures to assess habitat and water quality. The methods applied in that study will be replicated in our project, both for baseline surveys and twice-yearly surveys thereafter. CI will be accountable for the measurement of these indicators.

Prior to the project start, CI will be undertaking a gender assessment, at which time we will be able to confirm the number of women, men, and youth to be targeted in the project in the two communities, as well as baseline income data. Pathfinder International will be responsible for designing the sex disaggregated income survey, to be used to establish a baseline and administered twice-yearly thereafter as well. Pathfinder will also lead on collecting baseline and impact data on incidences of sexual exploitation.

Our M&E to assess the likely uptake by target audiences of recommendations in our fisheries white paper and aquaculture guidance document will look somewhat different. Because those documents will be produced and disseminated near the end of the project, we will be measuring indicators of the documents' relevance and utility to target audiences, based on surveys of audience members.

<b>Total project budget for M&amp;E in GBP (this may include Staff, Travel and Subsistence costs)</b>	£ [REDACTED]
<b>Number of days planned for M&amp;E</b>	30
<b>Percentage of total project budget set aside for M&amp;E (%)</b>	[REDACTED]

## Section 16 - FCDO Notifications

### Q34. FCDO Notifications

**Please state whether there are sensitivities that the Foreign Commonwealth and Development Office will need to be aware of should they want to publicise the project's success in the Darwin competition in the host country.**

No

**Please indicate whether you have contacted your Foreign Ministry or the local embassy or High Commission (or equivalent) directly to discuss security issues (see [Guidance Notes](#)) and attach details of any advice you have received from them.**

Yes (no written advice)

**Please attach details of any advice you have received.**

*No Response*

## Section 17 - Certification

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### Q35. Certification

**On behalf of the**

Trustees

**of**

Conservation International Foundation

**I apply for a grant of**

£399,454.00

**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 applicant institution to submit applications and sign contracts on their behalf.)

- I have enclosed CVs for key project personnel, letters of support, budget and project implementation timetable (uploaded at appropriate points in application).
- Our last two sets of signed audited/independently verified accounts and annual report are also enclosed.

Checked

**Name**

Bambi Semroc

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**Position in the organisation**

Acting Senior Vice President, Center for Sustainable Lands and Waters

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**Signature (please upload e-signature)**

 [Bambi Semroc signature](#)

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**Date**

08 February 2021

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## Section 18 - Submission Checklist

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### Checklist for submission

Check

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I have read the Guidance, including "Guidance Notes for Applicants" and "Finance Guidance".	Checked
I have read, and can meet, the current Terms and Conditions for this fund.	Checked
I have provided actual start and end dates for the project.	Checked
I have provided my budget based on UK government financial years i.e. 1 April – 31 March and in GBP.	Checked
I have checked that our budget is complete, correctly adds up and I have included the correct final total at the start of the application.	Checked
The application been signed by a suitably authorised individual (clear electronic or scanned signatures are acceptable).	Checked
I have included a 1 page CV or job description for all the key project personnel identified at Question 12, including the Project Leader, or provided an explanation of why not.	Checked
I have included a letter of support from the the Lead Organisation and main partner organisation(s) identified at Question 11, or an explanation of why not.	Checked
I have included a cover letter from the Lead Organisation, outlining how any feedback received at Stage 1 has been addressed where relevant.	Checked
I have included a copy of the lead organisation's safeguarding policy, which covers the criteria listed in Question 30.	Checked
I have been in contact with the FCDO in the project country/ies and have included any evidence of this. If not, I have provided an explanation of why not.	Checked
I have included a signed copy of the last 2 annual report and accounts for the Lead Organisation, or provided an explanation if not.	Checked
I have checked the Darwin website immediately prior to submission to ensure there are no late updates.	Checked
I have read and understood the Privacy Notice on GOV.UK.	Checked

## We would like to keep in touch!

**Please check this box if you would be happy for the lead applicant (Flexi-Grant Account Holder) and project leader (if different) to be added to our mailing list. Through our mailing list we share updates on upcoming and current application rounds under the Darwin Initiative and our sister grant scheme, the IWT Challenge Fund. We also provide occasional updates on other UK Government activities related to biodiversity conservation and share our quarterly project newsletter. You are free to unsubscribe at any time.**

Checked

## Data protection and use of personal data

Information supplied in this application form, including personal data, will be used by Defra as set out in the latest copy of the Privacy Notice for Darwin, Darwin Plus and the Illegal Wildlife Trade Challenge Fund available [here](#). This Privacy Notice must be provided to all individuals

whose personal data is supplied in the application form. Some information, but not personal data, may be used when publicising the Darwin Initiative including project details (usually title, lead organisation, location, and total grant value) on the GOV.UK and other websites.

Information relating to the project or its results may also be released on request, including under the 2004 Environmental Information Regulations and the Freedom of Information Act 2000. However, Defra will not permit any unwarranted breach of confidentiality nor will we act in contravention of our obligations under the General Data Protection Regulation (Regulation (EU) 2016/679).