DIR29S2\1038

Incentive-based approaches for biodiversity and well-being outcomes in small-scale fisheries

Large, long-lived marine animals ('marine megafauna') are amongst the world's most endangered taxa, primarily due to targeted and incidental overfishing. Tackling this threat is particularly problematic in small-scale mixed-species fisheries, where all catches have economic or subsistence value, creating trade-offs between marine biodiversity conservation and fisher wellbeing. This project will develop scalable methods and tailored approaches for addressing these trade-offs, by designing, piloting and evaluating a portfolio of investible incentive-based conservation projects in small-scale fisheries in Indonesia.

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DIR29S2\1038

Incentive-based approaches for biodiversity and well-being outcomes in small-scale fisheries

Section 1 - Contact Details

CONTACT DETAILS

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GMS ORGANISATION

Type	Organisation
Name	University of Oxford
Phone	
Email	
Address	

Section 2 - Title, Ecosystems, Approaches & Summary

Q3. Title:

Incentive-based approaches for biodiversity and well-being outcomes in small-scale fisheries

What was your Stage 1 reference number? e.g. DIR28S1\1123

DIR29S1\1058

Q4. Key Ecosystems, Approaches and Threats

Select up to 3 biomes that are of focus, up to 3 conservation actions that characterise your approach, and up to 3 threats to biodiversity you intend to address, from dropdown lists.

Biome 1

Marine shelfs (seagrass, reefs, subtidal)

Biome 2

Marine - Pelagic ocean waters, deep sea floors

Biome 3

No Response

Conservation Action 1

Livelihood, economic & other incentives (incl. conservation payments)

Conservation Action 2

Education & awareness (incl. training)

Conservation Action 3

External Capacity Building

Threat 1

Biological resource use (hunting, gathering, logging, fishing)

Threat 2

No Response

Threat 3

No Response

Q5. Summary of project

Please provide a brief summary of your project: the problem/need it is trying to address, 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 the website.

Please write this summary for a non-technical audience.

Large, long-lived marine animals ('marine megafauna') are amongst the world's most endangered taxa, primarily due to targeted and incidental overfishing. Tackling this threat is particularly problematic in small-scale mixed-species fisheries, where all catches have economic or subsistence value, creating trade-offs between marine biodiversity conservation and fisher wellbeing. This project will develop scalable methods and tailored approaches for addressing these trade-offs, by designing, piloting and evaluating a portfolio of investible incentive-based conservation projects in small-scale fisheries in Indonesia.

Section 3 - Title, Dates & Budget Summary

Q6. 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	Indonesia	**Country 2**	*No Response*
Country 3	*No Response*	**Country 4**	*No Response*

Do you require more fields?

⊙ No

Q7. Project dates

Start date:	**End date:**	**Duration (e.g. 2 years, 3 months):**
01 April 2023	31 March 2026	3 years

Q8. Budget summary

Year:	2023/24	2024/25	2025/26	2026/27	Total request
Amount:	██████	██████	██████	█████	██ ████████

Q9. Proportion of Darwin Initiative budget expected to be expended in eligible countries: % ██

Q10a. Do you have matched funding arrangements?

⦿ Yes

What matched funding arrangements are proposed?

████ funded directly to the Project Leader under a Save Our Seas Foundation Keystone Grant for pilot work in Aceh and Lombok (2023)

████ for fisher engagement work in Karimunjawa under a Save Our Seas Foundation small grant directly to Faqih Alghozali (2023)

████ for understanding threats, ecology, and conservation opportunities of giant guitarfish in Karimunjawa, under a Future Conservationist Award directly to Faqih Alghozali (2023)

████ to Yayasan Teman Laut Indonesia from Ocean Blue Tree for supporting developing of local regulations to protect thresher sharks in Alor (2023)

████ to Yayasan Konservasi dan Penelitian Pari Mobula under a Save Our Seas Foundation small grant for seafood supply chain scoping in Muncar

████ to cover up to 20% additional time for the Oxford post-doc - in-kind through The Biodiversity Consultancy (2023-26)

Q10b. Total confirmed & unconfirmed matched funding (£) £107,000.00

Q10c. If you have a significant amount of unconfirmed matched funding, please clarify how will you fund the project if you don't manage to secure this?

NA - all matched funding listed above is confirmed

Section 4 - Problem statement

Q11. 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. What is the need, challenge or opportunity?

For example, what are the drivers of biodiversity loss that the project will attempt to address? Why are they relevant, for whom? How did you identify these problems? Please cite any evidence you are using to support your assessment of the problem (references can be listed in a separate attached PDF document).

Large, long-lived marine animals ('marine megafauna') – such as sharks and rays – are amongst the world's

most threatened taxa, primarily due to overfishing. This threat is exacerbated by poverty in small-scale fisheries (SSFs). SSFs are ubiquitous throughout tropical coastal waters, and a significant source of marine megafauna mortality. However, SSFs in the most biodiverse ocean regions – such as Indonesia – are also characterised by high household reliance on fisheries, where all catches have economic or subsistence value. Therefore, efforts to conserve marine megafauna in SSFs create direct trade-offs between conservation and human well-being, with coastal communities often facing inequitable burdens of the costs of conservation (Booth, Squires, et al., 2021). In parallel, wealthier and more powerful ocean stakeholders (e.g., tourism industry, commercial fisheries) may benefit from marine megafauna and/or cause harm (e.g., bycatch, overtourism), yet rarely contribute towards meeting the costs of conservation. This calls for socially-just marine conservation mechanisms, which can redistribute these costs and benefits and deliver positive outcomes for threatened and CITES-listed taxa, whilst ensuring local people are no worse off.

Applied research, practical experiences, stakeholder consultation and existing pilot projects conducted by the proposed project team – including with fishers, government, and businesses – indicate that social and economic rewards, financial compensation and/or alternatives represent workable solutions to these trade-offs, which could support marine conservation and social justice (Booth 2022; Booth, Ramdlan, et al., 2022). However, they remain under-explored and under-utilised in fisheries.

Our project will fill this gap, by understanding underlying attitudes, behaviours, norms and incentive structures relating to megafauna catch in a range of SSFs; and using this information to design and test a portfolio of locally-appropriate incentive-based interventions. We will evaluate biodiversity and human well-being outcomes of the interventions across the portfolio of projects and establish sustainable revenue streams (e.g., from dive industry and commercial fisheries), then consolidate learning across projects to provide a framework and guidelines for scaling to other SSFs and regions. Finally, we will work closely with local universities and grassroots NGOs to build human and institutional capacity for ethical and evidence-based marine conservation and interdisciplinary applied research.

Section 5 - Darwin Objectives and Conventions

Q12. Biodiversity Conventions, Treaties and Agreements

Q12a. 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)
- ☑ Convention on International Trade in Endangered Species (CITES)
- ☑ Global Goals for Sustainable Development (SDGs)

Q12b. National and International Policy Alignment

Using evidence where available, please detail how your project will contribute to national policy (including NBSAPs, NDCs, NAP etc.) and in turn international biodiversity and development conventions, treaties and agreements that the country is a signatory of.

The theory of change for the CBD's post-2020 Global Biodiversity Framework (GBF) outlines the need for tools and solutions that reduce threats to biodiversity while meeting people's needs, to realise the 2050

vision of 'living in harmony with nature'. By combining participatory processes with tailored incentive-based solutions, which can directly reduce threats to biodiversity while ensuring local people are no worse off, this project provides methods and approaches to help the governments of Indonesia to implement the GBF.

Moreover, the GBF is likely to be articulated, implicitly or explicitly, in terms of net outcome goals. This requires that entities (e.g. companies, nations) that damage marine biodiversity (e.g. through coastal development or bycatch) counterbalance negative impacts through funding compensatory marine conservation outcomes. This project establishes a supply of investment-ready marine conservation projects - which can demonstrate measurable positive marine biodiversity outcomes for a given cost - to facilitate No Net Loss (NNL) in the marine realm under the GBF. In addition, Indonesia's Ministry of Marine Affairs and Fisheries (MMAF) has recently developed a new aquatic species road map, which includes taxa-specific priorities for protection and sustainable use of threatened and CITES-listed species, as well as priorities for bycatch and fisheries management, applied research, and livelihoods. Moreover, MMAF has expressed explicit interest in trialling incentive-based approaches in small-scale fisheries. This project will provide practical approaches and recommendations that can support MMAF to implement exisiting road maps and new policy ambitions for people and nature.

Finally, by providing direct incentives to reduce over-exploitation of threatened and CITES-listed marine species, this project will support implementation of CITES and the SDGs (particularly SDG 1 'no poverty' and SDG 14 'life below water'). Practical approaches for supporting CITES implementation in Indonesia will be especially important following new CITES-listings for all 54 species of requiem sharks and hammerhead sharks, particularly given that Indonesia is the world's largest shark fishing nation, with many small-scale fishers and local traders dependent on the shark industry for their livelihoods.

Section 6 - Method, Change Expected, Gender & Exit Strategy

Q13. Methodology

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

- how you have reflected on and incorporated **evidence and lessons learnt** from past and present similar activities and projects in the design of this project.
- the specific approach you are using, supported by **evidence** that it will be effective, and **justifying why you expect it will be successful** in this context.
- how you will undertake the work (activities, materials and methods)
- what will be the **main activities** and where will these take place.
- how you will manage the work (governance, roles and responsibilities, project management tools, risks etc.).

The project outputs align with four overlapping stages: 1) Understand and design, 2) Implement, 3) Evaluate, 4) Process and legacy. The approach for each stage is as follows

1) Understand and Design: We will conduct participatory applied research to understand behaviours, norms and poverty-linked incentives related to marine megafauna catch; and design locally appropriate incentive-based interventions in at least six SSFs within the Sunda Islands bioregion (S1). To do so we will adopt socio-psychological and predictive methods previously used by the project team (e.g. theory of planned behaviour (TPB) surveys and scenario interviews; Booth, Ichsan, et al., 2021; Booth, Ramdlan, et

al., 2022) and scale these methods to new sites, which encapsulate heterogeneity in socio-ecological contexts in SSFs in Indonesia (S1). We will establish pre-intervention baselines for fisher behaviour, marine megafauna catches and fisher well-being and where feasible identify (matched) controls, and pre-register studies as field experiments. All research will be conducted via partnerships with local universities and NGOs, following best practice in research ethics.

2) Implement: Incentive-based interventions will be implemented with >200 fishers across at least four of the six assessed SSFs, based on results from design phase (output 1) and on-going work (S1). Interventions may include intrinsic or extrinsic and direct or indirect incentives, as suited to the SSF context, such as: investments in bycatch reduction technologies or gear swaps, livelihood-based interventions, direct payments to release by-caught individuals, investments in community services, and building local pride or social recognition. We have chosen four as the target number of SSFs, since we acknowledge that our research may indicate that incentive-based approaches are not appropriate or cost-effective in some sites.

3) Evaluate: We will quantitatively and qualitatively evaluate the interventions' impacts on biodiversity and human well-being across the portfolio of sites using experimental, quasi-experimental and participatory methods. We will collect pre-intervention data (output 1); monitor fisher behaviour and catches throughout the interventions using landing site surveys and on-vessel monitoring; and conduct post-intervention participatory research to understand participants' perceptions and impacts on wellbeing.

4) Process and legacy: Interventions will be embedded within participatory processes, ensuring free, prior, and informed consent of project-affected people, and building partnerships between researchers, managers, governments, and communities. Where interventions are successful, we will work with NGO and community partners to develop long-term institutional arrangements and financing plans (pre-project research/consultations indicate tourism levies, voluntary bycatch offsets or alternative fisheries present viable options (Booth et al. 2021; Booth, Mourato & Milner-Gulland 2022)). We will build capacity for interdisciplinary conservation science and practice by working with early career researchers (ECRs) and local NGO project leaders, funding PhD scholarships for Indonesian ECRs, and conducting practical capacity building and exchange visits to Oxford University for project leaders/ECRs. We will consolidate lessons learned across project sites, providing a framework for designing incentives/instrument mixes in SSFs and lessons for other SSFs and regions, and disseminated via published research, policy briefs, conferences and guidance documents.

The project design is based on applied research and practical experiences from within the project team and beyond. E.g.,:
- Interdisciplinary Approaches to Shark and Ray Conservation (DPhil Thesis by Hollie Booth, at University of Oxford with fieldwork in Indonesia in collaboration with IPB (Booth et al., 2021; Booth, Mourato & Milner-Gulland 2022; Booth, Ramdlan, et al., 2022)
- Lessons learned from marine livelihood-focused projects in Indonesia (Booth et al., 2020; Shidqi et al., 2019), including Darwin Initiative Project: 22-008)
- Wider research on behaviour and behaviour change, including payments for ecosystem services and interactions between intrinsic and extrinsic, and group and individual incentives (Gneezy et al., 2011; Ingram et al., 2014; Davis et al. 2017; Wosnick et al., 2020; Kotchen & Segerson, 2020; Andrews et al., 2021; Cinner et al. 2021; Travers et al., 2021)
- Equity trade-offs in conservation (Law et al. 2017)
- Integrated bycatch mitigation and financing mechanisms, including: bycatch levies and compensatory bycatch mitigation (Booth, Arlidge, et al., 2021; Squires et al., 2018)
- Best practice in impact assessments and field experiments (Wiik et al., 2019; Woodhouse et al., 2015).

Oxford University will be responsible for overall project management, technical oversight, capacity building and reporting, led by the project leader with support from the PI. The partner NGOs will be responsible for implementing project interventions, communicating with local stakeholders and collecting monitoring data,

with design and analysis support from Oxford and IPB throughout. A project board will be developed, with monthly project check-ins. Project and risk management for our decentralised team will be supported using Trello and Oxford's stringent in-house risk management systems.

Q14. Capability and Capacity

How will you support the strengthening of capability and capacity in the project countries at organisational or individual levels, please provide details of what form this will take, who will benefit, and the post-project value to the country.

A key component of this project involves identifying and addressing perceived barriers to mitigating (by)catch of marine megafauna within fishing communities. Therefore, where capabilities and capacities are identified as salient barriers (e.g. via TPB surveys under output 1), we will develop locally-appropriate solutions to address them (e.g., training in live-release protocols). We will also build capacity for species monitoring and data collection, to engage fisher households and local champions in monitoring and citizen science.

This project is also committed to strengthening human and institutional capacity for Indonesian project leaders/local NGOs and Indonesian students/local universities, as exemplified through funding three entirely local NGO partners and four PhD scholarships at IPB. The project leaders and students will benefit from structured training at the start of the project in: socio-economic research methods for conservation, project management (including developing theories of change and work plans) and monitoring and impact assessment. They will then receive on-going mentoring to apply these skills throughout the project. We will also organise exchange visits to UK for the project leaders and students, where they can benefit from interacting with conservation researchers and NGOs in Oxford as well as the wider international conservation NGO/research community in the UK. This will provide post-project value by equipping students and NGOs with the skills and networks they need to secure their own conservation programs in the future. Via an on-going MoU between Oxford and IPB we will also support institutional exchange and development, with, for example, joint workshops and lectures, and the long-term vision of developing an interdisciplinary research/socio-ecological systems 'bootcamp' for marine biologists and conservation practitioners.

We will also build capacity of local and national governments in developing incentive-based approaches via workshops and policy briefs, which will facilitate post-project uptake of similar methods and approaches for scaling and legacy.

Q15. Gender equality

All applicants must consider whether and how their project will contribute to reducing inequality between persons of different gender. Explain how your understanding of gender equality within the context your project, and how is it reflected in your plans. Please summarise how your project will contribute to reducing gender inequality. Applicants should, at a minimum, ensure proposals will not increase inequality and are encouraged to design interventions that proactively contribute to increased gender equality.

We will contribute to reducing gender inequality through both our project team and our project interventions. Within the project team, Oxford's team is female-led, with 50/50 gender ratios for our existing partner project leaders, and we will ensure 50/50 gender ratios for recruited students, preferentially employing women wherever possible. This will help to promote female leaders in conservation in Indonesia. Within project activities, we will request equal participation from men and

women for all government and NGO capacity building workshops and any panels related to the project. This will help to promote female voices in leadership and decision-making. Possibly the most challenge component of the project for ensuring gender parity is in developing and implementing interventions with fisher households, since marine-based livelihoods are typically gender-skewed, with fishing being a male-dominated profession. We will address this by first examining how different groups are involved in marine livelihoods and how they may be differentially impacted by different interventions, along with risks, barriers, and opportunities (under Output 1). This will mean ensuring female heads of fisher household have an equal say in intervention design. Based on this understanding, we will design locally-appropriate and feasible solutions to reduce or eliminate any barriers or challenges. Some possible solutions include weighting livelihood-based incentives towards opportunities for women wherever possible (e.g., focusing on female traders) and designing incentives which equitably distribute benefits (e.g., community-level incentives which support social services for all) or promote female empowerment (e.g., school scholarships for girls). In situations where conservation-linked incentives are likely to be skewed towards male participants (e.g., where incentives involve compensatory payments to fishers) we will develop agreements and safeguards that ensure the entire household benefits (e.g., covering daily needs and school fees) and develop additional, non-conditional interventions that promote female empowerment.

Q16. Awareness and understanding

How will you raise awareness and understanding of biodiversity-poverty issues in your stakeholders, including who your stakeholders are, what approaches/formats/products will you use, how you will ensure open and free access to all data, and how will you know that the messages are understood?

A core part of this project relates to understanding fishers' attitudes and norms regarding threatened marine megafauna, and catch-relevant behaviour thereof (e.g. via Theory of Planned Behaviour (TPB) surveys under Output 1) and implementing salient and culturally-appropriate interventions that not only improve awareness and understanding but can create intrinsic motivations for behaviour change. Therefore, we will raise general awareness and understanding of the biodiversity-poverty issues our project seeks to address via community consultation and capacity building workshops, as well as using targeted context-specific approaches such as: recruiting and training local conservation champions to spread conservation messages, engaging local leaders to act as block leaders, distributing project marketing materials (e.g., posters), distributing promotional materials to build a sense of pride and community amongst participating households (e.g. branded bags and t-shirts with conservation messages), and developing a project social media channel to promote good news stories from project participants to a wide audience. We will ensure these messages are understood and contribute to the project outcome by conducting before-after TPB surveys with intervention and (matched) control households to understand how project interventions have influenced attitudes, norms, and behaviour.

We also seek to raise awareness and understanding amongst other local stakeholders (NGOs, local and national government, students), and the international conservation community. This will be conducted through workshops, lectures/seminars, open access research papers, blogs and media articles for non-technical audiences, targeted policy briefs, and participation in national and international conferences. For all workshops and lectures/seminars simple polling platforms (e.g., Vevox) will be used to test knowledge before and after to ensure messages are understood. All research will be published open access, with underlying anonymised data made available on online repositories (e.g., Harvard Dataverse) insofar as this does not violate any ethical obligations to research participants.

Q17. Change expected

Detail the expected changes to both biodiversity and poverty reduction, and links between them, 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) and the potential to scale the approach.

When talking about how people will benefit, please remember to give details of who will benefit, differences in benefits by gender or other layers of diversity within stakeholders, and the number of beneficiaries expected. The number of communities is insufficient detail – number of households should be the largest unit used.

In the short-term, well-designed incentive-based interventions will reduce catches of threatened marine biodiversity in at least four SSFs, while maintaining or improving well-being of project-affected coastal communities. Specifically:
1) Reduced catches of Critically Endangered/Endangered and CITES-listed taxa (wedgefish, hammerhead sharks, thresher sharks and/or mobula rays) by >30% relative to pre-intervention baselines and/or (matched) control fishers.
2) Maintained or improved: household income, subjective well-being and perceptions of social cohesion and ocean stewardship for >200 fisher households.
3) Reduced dependence on Endangered/Critically Endangered species in project communities for income and subsistence, and therefore reduced vulnerability to economic shocks from stock collapses in the medium- to long-term
We also expect improvements to life satisfaction and employment opportunities for project partners, especially by directly supporting four Indonesian ECRs to complete PhDs. We will ensure positive changes in the project sites endure beyond the lifetime of the project by developing financing plans and sustainable revenue streams, building local capacity and institutions, and creating cross-sectoral collaborations. Further, through a well-documented process, framework and dissemination, the project will provide scalable methods and models that could be adopted in other sites in Indonesia and beyond.

As such, in the long-term, these methods, models, partnerships and capacities will contribute to:
1) Reduced overfishing of threatened marine megafauna in SSFs
2) Recovery of marine megafauna populations
3) Maintaining direct and indirect benefits of marine megafauna to people and ecosystems (e.g. functional and productive ecosystems, tourism values).
4) Reduced vulnerability to economic shocks from biodiversity loss
5) Greater equity for SSFs in marine conservation
6) A foundation and proof of concept for novel large-scale ocean financing mechanism (e.g., tourism and bycatch levies), which can support global net positive goals for nature and social justice in marine conservation.

Q18. Pathway to change

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

The most direct pathway to change will be via tailored incentives-based interventions for pro-conservation behaviour. The interventions will be developed in collaboration with target communities, using best practice from predictive and behavioural sciences, to target the most appropriate and salient levers of behaviour change. Moreover, incentives will also act as a form of compensation for opportunity costs/income foregone, ensuring project-affected people are at least no worse off. Together, these mechanisms will reduce barriers to bycatch mitigation and alleviate poverty. The project will reduce overfishing and support recovery of marine biodiversity in the long-term by developing models, methods,

frameworks, capacity, institutions, partnerships, and funding mechanisms for sustaining and scaling the project. This will ensure that successful interventions can continue to be implemented in the project sites after the Darwin funding ends, and that methods and models can be adopted in other SSFs in The Coral Triangle and beyond. Sources of long-term funding include: compensatory bycatch mitigation from commercial fisheries, tourism levies from dive operators, government aid funding (in particular for delivering nationally determined contributions to biodiversity NNL by supporting conservation overseas), philanthropic donors and other sources of biodiversity crowd funding (e.g. Ocean Eye) and alternative finance (e.g. Green List Marketplace).

Q19. Exit Strategy

How will the project reach a sustainable point and continue to deliver benefits post-funding?

How could post-project scaling of the approach (if proven) be delivered: through new finance or through uptake by stakeholders or other mechanisms? Are there any barriers to scaling and how will these be addressed?

How will the required knowledge and skills remain available to sustain the benefits?

Output 4 of our project specifically focuses on securing a long-term legacy and scalability for continued delivery of benefits post-funding. This will be achieved through several avenues. Firstly, we will develop incentive-based interventions that can be self-sustaining after the project, via three potential pathways: 1) Where intrinsic motivations are sufficient to change fisher behaviour, behaviour change can be sustained in the long-term with limited on-going funding and intervention; 2) Where livelihood-based alternatives are adopted, we will ensure that they are locally-relevant with real market appeal, and that project participants are fully equipped with the resources and skills they need to continue to participate in these livelihoods independently after the project; 3) Where direct incentives are required, such as compensatory payments, we will identify long-term sources of independent sustainable financing such as: government agency conservation/rural development budgets, compensatory bycatch mitigation from commercial fisheries, tourism levies/crowd funding from divers/dive operators or government aid funding (e.g., for delivering nationally determined contributions to biodiversity NNL). Secondly, we will build capacity and capabilities of local NGOs and researchers, and local community champions and leaders, with a major focus on handing over any on-going activities (e.g., data collection, refresher training) to local partners at the end of the project. The training and on-the-job mentoring they will recieve via this project will help them to secure their own future funding - for continued support to project communties and expansion to other sites in the future - and ensure knowledge and skills remain locally available.

Post-project scaling could be delivered through uptake by stakeholders or new finance. The primary barrier is ensuring our approaches are suited to other SSF contexts, however since this project itself is being implemented in several contexts we will provide a general process and set of methods for designing locally-appropriate conservation incentives.

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

⬓ Literature cited	⬓ S1_proposed project sites
📅 03/12/2022	📅 28/11/2022
🕐 03:44:41	🕐 05:03:17
📄 pdf 35.23 KB	📄 pdf 2.66 MB

Section 7 - Risk Management

Q20. Risk Management

Please outline the 6 key risks to achievement of your Project Outcome and how these risks will be managed and mitigated, referring to the <u>Risk Guidance</u>**. This should include at least one Fiduciary, one Safeguarding, and one Delivery Chain Risk.**

Projects should also draft their initial risk register using the <u>Risk Assessment template</u> **provided, and be prepared to submit this when requested if they are recommended for funding. Do not attach this to your application.**

Risk Description	Impact	Prob.	Gross Risk	Mitigation Header	Residual Risk
Fiduciary Incentives/funds for community-based interventions are a) paid to fishers without delivery of conservation actions or outcomes, or b) are misappropriated by local leaders or administrators	Major	Unlikely	Major	Local incentives will be handled/administered by local NGO partners, who are well-known to Oxford, highly trusted, have good reputations, and a history of success. We will put systems in place to ensure that proof of conservation activities or outcomes is delivered before payments are made, such as videos of liverelease.	Moderate
Safeguarding Perverse social or biological consequences of incentive-based interventions, such as unintentionally increasing targeting of threatened species, not sufficiently compensating for opportunity costs, causing conflict or distrust amongst fisher households, or further ingraining existing inequalities.	Major	Possible	Major	All incentive-based interventions will be designed based on an existing understanding of local context by project leaders, and a process of in-depth socio-economic research with robust ethical standards and FPIC to ensure they are appropriate.	Moderat

Delivery Chain

We are unable to develop suitable cost-effective incentive-based interventions, which can effectively incentivise pro-conservation behaviour, for four communities / >200 fisher households.	Major	Possible	Major	This project has been developed based on baseline research and engagement that has already been conducted in three project communities, with promising results to date.	Moderate

Risk 4

Major economic shocks and/or instability caused by natural disasters (e.g., earthquakes, tsunamis, pandemics) which destabilise local economies, significantly reduce human well-being relative to pre-intervention baselines, and delay project activities.	Severe	Unlikely	Major	We have developed a pandemic and natural disaster risk mitigation and project adaptation plan, with local experience based on the COVID19 pandemic and recent earthquakes.	Moderate

Risk 5

Suitable long-term funding sources cannot be identified for ensuring sustainability/legacy of incentive-based schemes.	Moderate	Possible	Major	This project has been developed based on baseline research and engagement, that has already identified potential long-term funding sources e.g. from the tourism sector.	Moderat

Risk 6

The Oxford post-doc cannot secure permits and a visa for working/conducting research in Indonesia.	Moderate	Unlikely	Moderate	Oxford and IPB have a long history of collaboration, with previous foreign researchers being successful in obtaining permits. The application process has already begun to ensure timely approval.	Minor

Section 8 - Implementation Timetable

Q21. 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 Word 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.

   ⤓ BCF_Implementation_Timetable_Template_20
      22-23_FINAL
   🗓 07/12/2022
   🕐 00:51:04
   📄 pdf 154.05 KB

Section 9 - Monitoring and Evaluation

Q22. Monitoring and evaluation (M&E)

Describe 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**).**

Monitoring and evaluation is fully embedded throughout this project, and in particular as part of Output 3. As described, we will quantitatively and qualitatively evaluate the project interventions' impacts on biodiversity and human well-being across the portfolio if sites using experimental, quasi-experimental and participatory methods. We will establish pre-intervention baselines for fisher behaviour, marine megafauna catches and fisher well-being. Where feasible, we will identify (matched) controls, and pre-register studies as field experiments. Throughout the interventions we will monitor: fisher attitudes, norms, subjective wellbeing and self-reported fishing behaviour using periodic surveys; and megafauna catches using landing site surveys and on-vessel monitoring. We will also conduct post-intervention participatory research to understand participants' perceptions, narratives and impacts on wellbeing.

All project partners will be responsible for M&E, with local partner NGOs collecting field data, and on-going support from Oxford and IPB for design, analysis, and write-up.

Total project budget for M&E in GBP (this may include Staff, Travel and Subsistence costs)	███████
Percentage of total project budget set aside for M&E (%)	█
Number of days planned for M&E	200

Section 10 - Logical Framework

Q23. Logical Framework (logframe)

Darwin Initiative projects will be required to monitor and report against their progress towards their 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

The **logframe template** (N.B. there is a different template for Stage 1 and Stage 2) needs to be downloaded from Flexi-Grant, completed and uploaded as a PDF within your Flexi-Grant application – **please do not edit the logframe template structure (other than adding additional Outputs if needed) as this may make your application ineligible.**

Please upload your logframe as a PDF document.

- BCF_St1_Logical_Framework_Template_2022-2 3_FINAL
- 07/12/2022
- 00:48:12
- pdf 68.1 KB

Impact:

Incentive-based mechanisms for conservation in small-scale fisheries reduce overfishing of threatened CITES-listed marine megafauna and alleviate poverty, supporting long-term recovery of marine biodiversity, and its benefits to people and ecosystems

Outcome:

Catches of threatened marine megafauna are significantly reduced while maintaining or improving wellbeing of project-affected people (>200 households across 4 coastal communities), and methods and models are developed for scaling-up.

Project Outputs

Output 1:

Understand and design: research outputs estimating how incentives could change fisher behaviour and impact biodiversity and human wellbeing compiled for 6 project sites (covering >300 households) by March 2024

Output 2:

Implement: incentive-based interventions are implemented in 4 coastal communities, with >200 participating fisher households, by March 2025.

Output 3:

Evaluate: research outputs compiled detailing the impact and cost-effectiveness of the interventions - on marine biodiversity and human well-being - by August 2025.

Output 4:

Scale and legacy: institutions, capacity, long-term partnerships, and financing mechanisms are established, to maintain on-going investments in project sites, and share methods and lessons learned for scaling up to other sites, by March 2026.

Output 5:

No Response

Do you require more Output fields?

It is advised to have fewer 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 Recruit and train IPB students

1.2 Draft research instruments (e.g., key informant interviews, TPB surveys, scenario interviews) for understanding behaviours, norms, incentives and baseline (by)catch rates and subjective wellbeing

1.3 Conduct scoping research, and pilot survey instruments for relevant sites

1.4 Conduct full surveys on behaviours, norms and incentives and baseline (by)catch and wellbeing in relevant project sites

1.5 Establish pre-intervention baselines and (matched) controls fisher behaviour, megafauna (by)catch and fisher wellbeing in project sites (overlap with Output 3, Activity 3.1)

1.6 Analyse data, write-up findings and implications, publish and disseminate

2.1 Plan proposed incentive schemes based on relevant pre-project research and results from output 1), including establishing incentive type, value, and means of verification

2.2 Conduct workshops with target fishing communities to communicate results from output 1, conduct stakeholder consultations regarding proposed incentive scheme and obtain FPIC

2.3 Finalise incentive scheme based on stakeholder feedback and recruit fishers to participate

2.4 Implement incentive schemes, with regular distribution of incentives based on clear evidence of (by)catch mitigation

3.1 Establish clear baselines for fisher behaviour, megafauna (by)catch and fisher wellbeing in project sites (based on existing data, or data collected under Output 1)

3.2 Establish mechanisms for causal inference and attribution during the interventions, using experimental or quasi-experimental designs where feasible and ethical

3.3 Monitor fisher behaviour and wellbeing throughout the intervention(s), including for control and matched control fishers where relevant, using period surveys

3.4 Monitor megafauna (by)catch throughout the interventions, including for control and matched control fishers where relevant, using landings surveys

3.5 Monitor disbursement of incentives, and any other relevant evidence (e.g., videos of live releases)

3.6 Conduct post-intervention interviews with fishers to understand narratives and perspectives

3.7 Combine and analyse qualitative and quantitative data into mixed-methods impact assessments for each site, and conduct cross-case comparisons

3.8 Write-up results and lessons learned, publish, and disseminate

4.1 Recruit, train, and mentor IPB students

4.2 Provide structured training and on-going mentoring for local NGO project leaders

4.3 Conduct stakeholder engagement, consultation, and capacity building workshops

4.4 Conduct funder outreach and engagement to secure sustainable financing where necessary, and develop agreements and institutional arrangements between funders, local NGOs, and fishers

4.5 Compile technical findings into non-technical policy briefings and guidance documents and disseminate

4.6 Conduct exchange visits for PhD students and NGO project leaders

4.7 Findings and lessons learned presented at conferences

4.8 Findings and lessons learned used to develop conservation practitioners socio-ecological systems 'bootcamp' curriculum at IPB

Section 11 - Budget and Funding

Q24. 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 all Darwin Main should be using the over £100,000 template. Please refer to the Finance Guidance **for more information.**

- Budget form for projects over £100k

Please ensure you include any co-financing figures in the Budget spreadsheet to clarify the full budget required to deliver this project.

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 the Lead Partner's accounts at the certification page at the end of the application form.

     ⤓   BCF_Budget_over__100k_MASTER_Apr22

     🗓   08/12/2022

     🕐   12:24:33

     📄   xlsx 91.45 KB

Q25. Funding

Q25a. Is this a new initiative or does it build on existing work (delivered by anyone and funded through any source)?

◉ Development of existing work

Please provide details:

This work builds several strands of pre-existing work:

- A Save Our Seas Foundation grant to the project leader, which involves applied research on incentive-based approaches in two sites (Tanjung Luar and Lhok Rigaih) and a pilot compensation scheme for mitigating catches of hammerhead sharks and wedgefish. The grant ends in 2023, and this funding will enable the work to continue and expand.
- Several years of work by Thresher Project Indonesia (under Yayasan Teman Laut Indonesia) to develop livelihood-based interventions for small-scale thresher shark fishers in Alor. This funding will enable continuation and expansion.
- Baseline data collection on catches of threatened sharks and rays, and initial fisher engagement in Karimunjawa National Park and Aceh Barat Daya (under Yayasan Impak Impak Laut Biru) and Muncar (under Yayasan Pari Mobula). This funding will build on this preliminary research to move towards conservation action.
- An IWTCF grant to CEFAS and MMAF (which the project leader was involved in), which has built government systems and capacity for CITES implementation for sharks. Our project complements and fishtails into this high-level/top-down work through a local-scale/bottom-up approach, and we will continue to collaborate and share with MMAF and CEFAS to ensure a synergistic approach.

Q25b. Are you aware of any current or future plans for similar work to the proposed project?

⊙ No

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.

NA

Q27. Value for Money

Please demonstrate why your project is good value for money in terms of impact and cost-effectiveness of each pound spend (economy, efficiency, effectiveness and equity). Please make sure you read the guidance documents, before answering this question.

This project offers good value for money as follows:
- Most of the budget (80%) is being spent in Indonesia, to support high-capacity local researchers and local NGOs. This is equitable and economic and means that more high quality work can be done and more local capacity can be built (e.g., relative to a project which employs a large number of foreign researchers/project leaders, or big NGOs with large overheads and staff costs). Moreover, embedding the project within local institutions will help to ensure results are sustained long-term.
- The project focuses on offering incentives to fishers – and in some cases direct conditional cash transfers – with 12% of the total budget dedicated to direct or livelihood-based incentives. Cash transfers have proven to be an efficient and cost-effective approach for poverty alleviation, and our pre-project research suggests it can be the most cost-effective and efficient approach for delivering conservation outcomes, especially in comparison to other indirect conservation actions or resource-intensive enforcement. This approach also enables direct measurement of conservation outcomes per pound spent, with systems in place to ensure payments are conditional on conservation outcomes.
- The project is based on existing foundations of research and engagement, giving it a high change of success, yet it is also novel and builds on rather than duplicates existing initiatives, ensuring that value is added.

- The University of Oxford has stringent financial management systems and procurement processes to reduce waste and ensure competitiveness, following the Transparent Approach to Costing methodology.

Section 12 - Safeguarding and Ethics

Q28. 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 Partner has the following policies in place and that these can be available on request:

Please upload the lead partner's Safeguarding Policy as a PDF on the certification page.

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	Checked
We have attached a copy of our safeguarding policy to this application (file upload on certification page)	Checked
We keep a detailed register of safeguarding issues raised and how they were dealt with	Checked
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	Checked
We share our safeguarding policy with all partners	Checked
We have a whistle-blowing policy which protects whistle blowers from reprisals and includes clear processes for dealing with concerns raised	Checked
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	Checked

Please outline how you will implement and strengthen your safeguarding policies in practice and ensure that all partners apply the same standards as the Lead Partner. If any of the responses are "no", please indicate how it is being addressed.

During the first quarter of the project, all project partners will recieve structured training in socio-economic research methods for conservation, project management and impact evaluation. A key component of this training will be research ethics, with a particular focus on ethical considerations when conservation research involves people, based on research and guidance prepared by the lead research group at Oxford (https://conbio.onlinelibrary.wiley.com/doi/10.1111/cobi.13464), and Oxford's safeguarding standards. As part of the projects governance structure we will develop an anonymous whilstblowing system to ensure that all project staff and project-affected communities can quickly and

safely report any violations of this policy.

Q29. Ethics

Outline your approach to meeting the key principles of good ethical practice, as outlined in the guidance.

Good ethical practice will be secured through following the University of Oxford's Code of Conduct for Ethical Fieldwork, and through two parallel processes of ethical clearance for research and project activities via: 1) The University of Oxford's Central University Research Ethics Committee, including completion of ethics training by the project leader and PI and submission of an application for ethical review and approval; 2) Ethical clearance from Indonesia's National Research and Innovation Agency (BRIN), which is a necessary pre-requisit for obtaining a foreign research permit, and ensures proposed activities meet legal and ethical obligations in Indonesia. The project outlines a clear plan for leadership and participation from developing countries (by engaging with four local NGOs), and the communities involved (through a process of particiaptory action research and on-going consultation to design locally-appropriate interventions which incorporate traditional knowledge). By upholding Oxford's Code of Conduct and our planned participatory process we will adopt a human rights based approach, ensuring FPIC for all research and interventions. The project leader has undergone Oxford's rigorous fieldwork health and safey and research ethics trainings, will be required to obtain full ethics and health and safety approval, and will train key in-country project partners in research ethics.

Section 13 - FCDO Notifications

Q30. 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 Initiative in any country.

No

Please indicate whether you have contacted FCDO Embassy or High Commission to discuss the project and attach details of any advice you have received from them.

⊙ Yes (no written advice)

Section 14 - Project Staff

Q31. Project staff

Please identify the core staff (identified in the budget), their role and what % of their time they will be working on the project.

Please provide 1-page CVs or job description, further information on who is considered core staff can be found in the <u>Finance Guidance</u>**.**

Name (First name, Surname)	Role	% time on project	1 page CV or job description attached?
Hollie Booth	**Project Leader**	20	Checked
Katrina Davis	Principle Investigator - Oxford	10	Checked
Luky Adrianto	Principle Investigator - IPB	10	Checked
Rafid Shidqi	Project co-leader for Yayasan Teman Laut	50	Checked

Do you require more fields?

⦿ Yes

Name (First name, Surname)	Role	% time on project	1 page CV or job description attached?
Dewi Ratna Sari	Project co-leader for Yayasan Teman Laut	50	Checked
Betty Laglbauer	Project co-leader for Yayasan Konservasi dan Penelitian Pari Mobula	50	Checked
Muhammad Ghozaly Salim	Project co-leader for Yayasan Konservasi dan Penelitian Pari Mobula	50	Checked
Muhammad Ichsan	Shark program manager for Yayasan Impak Biru Laut	10	Checked
Naomi Prinda	Shark program manager for Yayasan Impak Biru Laut	10	Checked
Faqih A. Alghozali	Team leader for Karimunjawa	50	Checked
Mohammad Mukhlis Kamal	IPB lecturer	20	Checked
M Said Ramdlan	Team leader for Lombok	50	Checked

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.

Have you attached all project staff CVs?

◉ Yes

Section 15 - Project Partners

Q32. Project Partners

Please list all the Project Partners (including the Lead Partner - i.e. the partner who will administer the grant and coordinate the delivery of the project), clearly setting out their roles and responsibilities in the project including the extent of their engagement so far and planned.

This section should demonstrate the capability and capacity of the Project Partners to successfully deliver the project. Please provide Letters of Support for all project partners or explain why this has not been included.

The partners listed here should correspond to the Delivery Chain Risk Map (within the Risk Register template) which you will be asked to submit if your project is recommended for funding.

Lead partner name:	Interdisciplinary Centre for Conservation Science, Department of Biology, University of Oxford
Website address:	https://www.ox.ac.uk/

Details (including roles and responsibilities and capacity to engage with the project):	The University of Oxford is one of the world's best reserch institutes, with a history of delivering successful Darwin Initiative projects. Oxford brings both the technical and project management capabilities that are needed to design, deliver and evaluate a portfolio of incentive-based interventions. The Project Leader is uniquely well-placed to lead this project, with seven years of in-country experience in Indonesia conducting applied research and community-based conservation, including developing and piloting the methods and approaches that will be used in this project during her PhD. From this experience, the Project Leader also has strong existing working relationships with IPB and the three local NGO partners, as well as a broader network of community and government stakeholders, which will help to ensure success. The University of Oxford will be responsible for: - Overall project management and oversight (in collaboration with IPB), including disbursing sub-grants to project partners and ensuring activities and outputs are delivered to a high degree of quality and with high integrity ethical standards. - Supporting design of research, interventions, and impact evaluation, and drawing together data and lessons learned from across the project sites - Co-supervising and building capacity of IPB students and local NGOs
Allocated budget (proportion or value):	██████████
Represented on the Project Board	⊙ Yes
Have you included a Letter of Support from this organisation?	⊙ Yes
Have you provided a cover letter to address your Stage 1 feedback?	⊙ Yes

Do you have partners involved in the Project?

⊙ Yes

1. Partner Name:	Bogor Agricultural University (IPB)
Website address:	https://ipb.ac.id

Details (including roles and responsibilities and capacity to engage with the project):	IPB is one of the top public universities in Indonesia, and excels in particular in natural resource management. For example, IPB ranked 41st in the world according to the 2022 QS World University Rankings by subject Agriculture and Forestry, and is one of Indonesia's top 10 institutes for marine biology and oceanography. It is also one of the few universities in Indonesia to offer interdisciplinary courses, for example through the Social-Ecology System of the Oceans (SESO) lab, which will be the collaborating lab under this project. SESO also frequently offers scientific advise to the Indonesian ministries of fisheries and forestry. Working via an existing Memorandum of Understanding (MoU) with Oxford, IPB will co-design project research and interventions, and provide technical support throughout. IPB will employ a post-doc researcher who will be responsible for oversight of all research activities in Indonesia, with support from the Oxford project leader and the PIs. IPB will also recruit four PhD students, sponsored via this grant, to conduct collaborative project research for intervention design and evaluation. IPB will also support capacity building and stakeholder engagement efforts via their extensive student network and strong existing collaborations with government agencies, particularly MMAF.
Allocated budget:	▮▮▮▮▮
Represented on the Project Board	⦿ Yes
Have you included a Letter of Support from this organisation?	⦿ Yes

2. Partner Name: Yayasan Impak Laut Biru Indonesia

Website address:	https://www.linkedin.com/company/impact-blue-sea-foundation/?originalSubdomain=id

Details (including roles and responsibilities and capacity to engage with the project):	Yayasan Impak Laut Biru has a highly-qualified Indonesian team with extensive experience conducting shark conservation and applied research. Collectively, they have a track record of delivering successful projects for international NGOs (e.g., WCS and CI) within international donor and multi-partner contexts, as well as developing and implementing their own grassroots projects and research programs in small-scale fishing communities in several locations in Aceh, Java, Lombok, and East Nusa Tenggara. As such, they have existing data, relationships, and context-specific expertise for the sites they will be responsible for, and a wealth of experience with biological and social sciences, and understanding the impacts of conservation on local people. Yayasan Impak Laut Biru's team will be responsible for project activities in Aceh, Lombok and Karimunjawa. They will be the main point of contact with local fishing communities in the aforementioned locations, and will ensure incentive-based interventions are suited to local contexts; and resources are disbursed to fishers and conservation actions/outcomes are monitored, with technical support from Oxford and IPB.
Allocated budget:	██████████
Represented on the Project Board	⦿ Yes
Have you included a Letter of Support from this organisation?	⦿ Yes

3. Partner Name: Yayasan Teman Laut Indonesia

Website address:	https://threshershark.id/
Details (including roles and responsibilities and capacity to engage with the project):	Yayasan Teman Laut will be responsible for implementing project activities in Alor via the existing Thresher Shark Indonesia project. This partner brings a high capacity youth-led team with a history of designing and delivering locally-adapted conservation solutions, alongside a well-established network of local conservation champions and relationships with the local government. Yayasan Teman Laut will be the main point of contact with local fishing communities in Alor, and East Nusa Tenggara more broadly with potential expansion of their activities under this project. They will ensure incentive-based interventions are well designed to meet the local context; and that incentives and resources are disbursed to fishers and conservation actions/outcomes are implemented and monitored, with technical support from Oxford and IPB.
Allocated budget:	██████████
Represented on the Project Board	⦿ Yes
Have you included a Letter of Support from this organisation?	⦿ Yes

4. Partner Name:	Yayasan Konservasi dan Penelitian Pari Mobula
Website address:	https://www.mantatrust.org/indonesia-devil-rays
Details (including roles and responsibilities and capacity to engage with the project):	Yayasan Konservasi dan Penelitian Pari Mobula will be responsible for implementing project activities in East Java via the existing Mobula Project Indonesia. This partner brings a high capacity international and local team with a 7-year history of engagement in Muncar, primarily via fisheries-related research. Yayasan Konservasi dan Penelitian Pari Mobula will be the main point of contact with local fishing communities in Muncar, East Java. They will ensure incentive-based interventions are well designed to meet the local context; and that incentives and resources are disbursed to fishers and conservation actions/outcomes are implemented and monitored, with technical support from Oxford and IPB.
Allocated budget:	▮▮▮▮▮
Represented on the Project Board	⦿ Yes
Have you included a Letter of Support from this organisation?	⦿ Yes

5. Partner Name:	*No Response*
Website address:	*No Response*
Details (including roles and responsibilities and capacity to engage with the project):	*No Response*
Allocated budget:	£0.00

Represented on the Project Board	○ Yes ○ No
Have you included a Letter of Support from this organisation?	○ Yes ○ No

6. Partner Name:	*No Response*
Website address:	*No Response*
Details (including roles and responsibilities and capacity to engage with the project):	*No Response*
Allocated budget:	£0.00
Represented on the Project Board	○ Yes ○ No
Have you included a Letter of Support from this organisation?	○ Yes ○ No

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.

⬇ Cover & Support Letters
📅 07/12/2022
🕐 00:31:22
📄 pdf 1.73 MB

Section 16 - Lead Partner Capability and Capacity

Q33. Lead Partner Capability and Capacity

Has your organisation been awarded Darwin Initiative, Darwin Plus or Illegal Wildlife Trade Challenge Fund funding before (for the purposes of this question, being a partner does not count)?
  ⊙ Yes

If yes, please provide details of the most recent awards (up to 6 examples).

Reference No	Project Leader	Title
26-016	David Whyte Macdonald	Lion Carbon: creating biodiversity value and sustainable management through REDD+
25-023	John Mackay	Conserving Rosewood genetic diversity for resilient livelihoods in the Mekong
23-019	Eleanor Jane Milner-Gulland	Achieving No Net Loss for communities and biodiversity in Uganda
No Response	*No Response*	*No Response*
No Response	*No Response*	*No Response*
No Response	*No Response*	*No Response*

Have you provided the requested signed audited/independently examined accounts?

If yes, please upload these on the certification page. Note that this is not required from Government Agencies.
  ⊙ Yes

Section 17 - Certification

Certification

On behalf of the
  Company

of
  University of Oxford

I apply for a grant of

████████

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 project key project personnel, cover letter, letters of support, a budget, logframe, Safeguarding Policy 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	Philippa King
Position in the organisation	Research Funding Specialist, Research Services
Signature (please upload e-signature)	⬇ PKing signature 📅 09/12/2022 🕐 16:47:30 📄 png 4.3 KB
Date	08 December 2022

Please attach the requested signed audited/independently examined accounts.

⬇ Oxford University, Financial Statement 2019-20_0
📅 06/12/2022
🕐 04:31:36
📄 pdf 4.61 MB

⬇ Oxford University, Financial Statements 2020-21
📅 06/12/2022
🕐 04:18:16
📄 pdf 3.71 MB

Please upload the Lead Partner's Safeguarding Policy as a PDF

⬇ Safeguarding code of practice
📅 25/11/2022
🕐 18:00:22
📄 pdf 252.03 KB

Section 18 - Submission Checklist

Checklist for submission

	Check
I have read the Guidance, **including the "**Darwin Initiative Guidance**", "**Monitoring Evaluation and Learning Guidance**", "Risk Guidance" and "**Financial 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 attached the below documents to my application • **my** completed logframe **as a PDF using the template provided**	Checked
• **my** budget **(which meets the requirements above)**	Checked
• **my completed** implementation timetable **as a PDF using the template provided**	Checked
I have included a 1 page CV or job description for all the Project Staff **identified at Question 31, including the Project Leader, or provided an explanation of why not.**	Checked
I have included a letter of support **from the Lead Partner and partner(s) identified at Question 32, or an explanation of why not.**	Checked
I have included a cover letter from the Lead Partner, **outlining how any feedback received at Stage 1 has been addressed where relevant.**	Checked
I have included a copy of the Lead Partner's safeguarding policy, **which covers the criteria listed in Question 28.**	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 Partner, or provided an explanation if not.**	Checked
I have checked the Darwin Initiative website **immediately prior to submission to ensure there are no late updates.**	Checked
I have read and understood the Privacy Notice on the Darwin Initiative website**.**	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.

Unchecked

Data protection and use of personal data

Information supplied in the application form, including personal data, will be used by Defra as set out in the **Privacy Notice**, available from the Forms and Guidance Portal.

This **Privacy Notice must be provided to all individuals** whose personal data is supplied in the application form. Some information may be used when publicising the Darwin Initiative including project details (usually title, lead partner, project leader, location, and total grant value).

Project Title: Incentive-based approaches for biodiversity and well-being outcomes in small-scale fisheries (DIR29S2\1038)

	Activity	No. of months	Year 1 (23/24)				Year 2 (24/25)				Year 3 (25/26)			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 1	Understand and design: research outputs estimating how incentives could change fisher behaviour and impact biodiversity and human wellbeing compiled for 6 project sites (covering >300 households) by March 2024	12	x	x	x	x								
1.1	Recruit and train IPB students	2	x											
1.2	Draft research instruments (e.g., key informant interviews, TPB surveys, scenario interviews) for understanding behaviours, norms, incentives and baseline (by)catch rates and subjective wellbeing	2	x	x										
1.3	Conduct scoping research, and pilot survey instruments for relevant sites	3		x										
1.4	Conduct full surveys on behaviours, norms and incentives and baseline (by)catch and wellbeing in relevant project sites	3		x	x									
1.5	Establish pre-intervention baselines and (matched) controls fisher behaviour, megafauna (by)catch and fisher wellbeing in project sites (overlap with Output 3, Activity 3.1)		x	x	x	x								
1.6	Analyse data, write-up findings and implications, publish and disseminate	2			x	x								
Output 2	Implement: incentive-based interventions are implemented in 4 coastal communities, with >200 participating fisher households, by March 2025.	24	x	x	x	x	x	x	x	x				
2.1	Plan proposed incentive schemes based on relevant pre-project research and results from output 1),	2	x			x								

Project Title: Incentive-based approaches for biodiversity and well-being outcomes in small-scale fisheries (DIR29S2\1038)

	Activity	No. of months	Year 1 (23/24)				Year 2 (24/25)				Year 3 (25/26)			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
	including establishing incentive type, value, and means of verification													
2.2	Conduct workshops with target fishing communities to communicate results from output 1, conduct stakeholder consultations regarding proposed incentive scheme and obtain FPIC	2				x	x							
2.3	Finalise incentive scheme based on stakeholder feedback and recruit fishers to participate	1					x							
2.4	Implement incentive schemes, with regular distribution of incentives based on clear evidence of (by)catch mitigation	24	x	x	x	x	x	x	x	x				
Output 3	Evaluate: research outputs compiled detailing the impact and cost-effectiveness of the interventions - on marine biodiversity and human well-being - by August 2025.	30	x	x	x	x	x	x	x	x	x	x		
3.1	Establish clear baselines for fisher behaviour, megafauna (by)catch and fisher wellbeing in project sites (based on existing data, or data collected under Output 1)	2	x	x	x	x								
3.2	Establish mechanisms for causal inference and attribution during the interventions, using experimental or quasi-experimental designs where feasible and ethical	2	x			x	x							
3.3	Monitor fisher behaviour and wellbeing throughout the intervention(s), including for control and matched control fishers where relevant, using period surveys	24	x	x	x	x	x	x	x	x				
3.4	Monitor megafauna (by)catch throughout the interventions, including for control and matched control fishers where relevant, using landings surveys	24	x	x	x	x	x	x	x	x				

Biodiversity Challenge Funds Implementation Timetable Template

Project Title: Incentive-based approaches for biodiversity and well-being outcomes in small-scale fisheries (DIR29S2\1038)

	Activity	No. of months	Year 1 (23/24)				Year 2 (24/25)				Year 3 (25/26)			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
3.5	Monitor disbursement of incentives, and any other relevant evidence (e.g., videos of live releases)	24	x	x	x	x	x	x	x	x				
3.6	Conduct post-intervention interviews with fishers to understand narratives and perspectives	3				x					x			
3.7	Combine and analyse qualitative and quantitative data into mixed-methods impact assessments for each site, and conduct cross-case comparisons	2									x	x		
3.8	Write-up results and lessons learned, publish, and disseminate	2										x		
Output 4	Scale and legacy: institutions, capacity, long-term partnerships, and financing mechanisms are established, to maintain on-going investments in project sites, and share methods and lessons learned for scaling up to other sites, by March 2026.	36	x	x	x	x	x	x	x	x	x	x	x	x
4.1	Recruit, train, and mentor IPB students	36	x	x	x	x	x	x	x	x	x	x	x	x
4.2	Provide structured training and on-going mentoring for local NGO project leaders	36	x	x	x	x	x	x	x	x	x	x	x	x
4.3	Conduct stakeholder engagement, consultation, and capacity building workshops	6	x		x		x		x		x		x	
4.4	Conduct funder outreach and engagement to secure sustainable financing where necessary, and develop agreements and institutional arrangements between funders, local NGOs, and fishers	4				x				x			x	x
4.5	Compile technical findings into non-technical policy briefings and guidance documents and disseminate	2											x	x
4.6	Conduct exchange visits for PhD students and NGO project leaders	3				x				x				

Biodiversity Challenge Funds Implementation Timetable Template

Project Title: Incentive-based approaches for biodiversity and well-being outcomes in small-scale fisheries (DIR29S2\1038)

	Activity	No. of months	Year 1 (23/24)				Year 2 (24/25)				Year 3 (25/26)			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
4.7	Findings and lessons learned presented at conferences	1				x				x				x
4.8	Findings and lessons learned used to develop conservation practitioners' socio-ecological systems 'bootcamp' curriculum at IPB	3											x	x

Biodiversity Challenge Funds Implementation Timetable Template

Project Title:

Project Summary	SMART Indicators	Means of Verification	Important Assumptions
Impact: Incentive-based mechanisms for conservation in small-scale fisheries reduce overfishing of threatened CITES-listed marine megafauna and alleviate poverty, supporting long-term recovery of marine biodiversity, and its benefits to people and ecosystems. (Max 30 words)			
Outcome: Catches of threatened marine megafauna are significantly reduced while maintaining or improving wellbeing of project-affected people (>200 households across 4 coastal communities), and methods and models are developed for scaling-up. (Max 30 words)	0.1 At least 30% reduction in catch of threatened marine megafauna (wedgefish, guitarfish, hammerheads, mobula rays, thresher sharks) amongst participating fisher households by May 2025, compared to pre-intervention baselines and/or (matched) control fishers. 0.2 Indicators of material and social well-being (e.g., household income, self-reported life satisfaction, social connections) are maintained or improved in the short-term (despite decreases in their catches of valuable threatened species) for >200 fisher households across 4 coastal communities by May 2025, compared to pre-intervention baselines and matched controls. 0.3 Long-term partnerships, agreements, institutions, and funding sources established for >200 participating fisher households across 4 coastal communities by April 2026 (relative to a pre-project baseline of 0).	0.1 Catch monitoring conducted before and during interventions for intervention and (matched) control fishers 0.2 Socio-economic surveys conducted before and during the interventions for intervention and (matched) control fishers 0.3 Signed agreement and/or incorporation documents 0.4 Published papers 0.5 Workshop attendance sheets	- We are able to develop suitable cost-effective interventions in at least 4 communities, which can effectively incentivise pro-conservation behaviour. This assumption holds based on research conducted to date by the project team, and discussions with stakeholders. - There are no major micro- or macro-economic fluctuations outside of the control of the project, which shift market values and incentives towards increasing catches of marine megafauna relative to pre-intervention baselines. This assumption holds based on our current knowledge of markets, though numbers of small-scale fishers may have increased during the pandemic as a safety-net livelihood. - There are no major micro- or macro-economic shocks outside the control of the

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	0.4 At least 2 high-impact papers and associated policy briefings published on methods, findings and lessons learned by April 2026. 0.5 At least 6 workshops conducted with local and national community leaders, government agencies, grassroots NGOs, and relevant private sector companies to disseminate methods and models and build capacity for evidence-based and community-based conservation by April 2026.		project (such as earthquakes, tsunamis or political instability) which destabilise local economies and/or significantly reduce human well-being relative to pre-intervention baselines. Natural disasters are difficult to predict, though Indonesia has been increasingly politically stable since the fall of the Suharto in 1998. The pandemic has significantly impacted tourism-based economies, although efforts are already being made to slowly re-open. - There are no perverse or unintended consequences of the incentive-based mechanisms, such as causing community distrust or indirectly increasing pressures on marine biodiversity. Our rigorous intervention design will ensure this assumption holds. - The pilot interventions are successful in at least 4 communities, and communities and local stakeholders support their continuation. Our participatory process and

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			rigorous intervention design will ensure this assumption holds.
			- The threatened marine megafauna are extirpated from Indonesia due to other external fishing pressures (e.g. from commercial fisheries). This assumption holds based on previous research – while other fisheries also add external pressures on these taxa, SSFs typically operate in isolate coastal areas of important habitat (e.g., nursery grounds) which can be effectively protected in isolation to support long-term health of the populations.
			- Suitable long-term revenue sources can be identified through collaboration with governments, philanthropists and private sector. This assumption holds based on research and consultations by the project team (e.g. with dive operators and fishing companies) – we have already identified some potential long-term funders.
			- The peer-review process proceeds in a timely manner. We have built in ample time

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			for peer review based on our past experiences of publication.
Outputs: 1 Understand and design: research outputs estimating how incentives could change fisher behaviour and impact biodiversity and human wellbeing compiled for 6 project sites (covering >300 households) by March 2024	1.1 New behaviour/behaviour change research outputs from 3 fisher communities (>150 household) by May 2024 (building on pre-project research in 3 communities (~150 households) = 6 communities (>300 households in total) 1.2 Recommendations on impactful, equitable and cost-effective interventions for 3 new sites/communities by May 2024 (building on pre-project research in 3 sites = 6 in total) 1.3 Open access research paper detailing methods, results and recommendations submitted for publication by May 2024, and published by October 2024.	1.1 A brief report and slide deck which summarises findings and recommendations for project partners 1.2 A brief report and slide deck which summarises findings and recommendations for project partners 1.3 Proofs of submitted paper, published article	- The Project Leader is able to secure a foreign research permit for Indonesia. This assumption is supported by an existing research permit for the PL (which will need to be renewed during the life time of the project) supported by an on-going MoU between Oxford and IPB. - Four project communities give their free, prior and informed consent for the research to take place. This is consistent with experiences during pre-project research and existing local NGO relationships. - Field work is able to take place, and there are no major events which disrupt the field work plans (e.g., natural disasters, on-going pandemic restrictions). Natural disasters are difficult to predict, however field work in Indonesia has been able to continue during the COVID-19 pandemic, albeit with strict health and safety procedures in place.

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			- The research is able to identify suitable, cost-effective incentive-based interventions. This assumption is consistent with pre-project research and local NGO activities. - The peer-review process proceeds in a timely manner. We have included ample time for the peer-review process, based on previous experiences with publishing.
2 Implement: incentive-based interventions are implemented in 4 coastal communities, with >200 participating fisher households, by March 2025.	2.1 Full intervention plans developed based on research outputs, and agreements established with >200 fisher households across 4 coastal communities by May 2024 2.2 Pilot interventions are implemented with >200 fisher households across 4 coastal communities by May 2025, with monitoring data collected throughout	2.3 Photographs and minutes from community meetings, signed agreements 2.4 Photographs and videos of project communities implementing catch reduction practices, photographs and receipts for any bycatch reduction technologies purchased, monitoring data	- Three project communities give their free, prior and informed consent for the interventions to take place. This is consistent with experiences during pre-project research and existing local NGO relationships. - We are able to co-design three cost-effective incentive-based interventions which are within the total budget of the project. This is consistent with pre-project research, which we have used to inform the budget available for community interventions. One community has already been identified as a promising and cost-effective intervention site, with initial support from local

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			government. Livelihood-based incentives have already been introduced in a further two communities, which could be scaled-up/built upon under this project. - Field work is able to take place, and there are no major events which disrupt the field work plans (e.g. natural disasters, on-going pandemic restrictions). Natural disasters are difficult to predict, however field work in Indonesia has been able to continue during the COVID-19 pandemic, albeit with strict health and safety procedures in place.
3 Evaluate: research outputs compiled detailing the impact and cost-effectiveness of the interventions - on marine biodiversity and human well-being - by August 2025.	3.1 Pre-intervention baselines for fisher attitudes, norms behaviour; marine megafauna catches; and fisher well-being established for >200 fisher households across 4 coastal communities (with (matched) controls where feasible) by May 2024 3.2 Interventions pre-registered as field experiments by May 2024 3.3 Fisher attitudes, norms, and behaviour; marine megafauna catches; and project costs are monitored throughout the	3.1 Databases of pre-intervention baseline data 3.2 Certificate of pre-registration from Wharton Credibility Lab's AsPredicted pre-registration platform 3.3 Databases of monitoring data 3.4 Databases of monitoring data	- The Project Leader is able to secure a foreign research permit for Indonesia. This assumption is supported by an existing research permit for the PL (which will need to be renewed during the life time of the project) supported by an on-going MoU between Oxford and IPB. - Four project communities give their free, prior and informed consent for the research to take place. This is consistent with

	interventions for >200 fisher households across 4 coastal communities (through to May 2025) 3.4 Post intervention well-being surveys and qualitative interviews conducted for >200 fisher households across 4 coastal communities by August 2025 3.5 Qualitative and quantitative data on impact and cost-effectiveness analyzed and synthesised, with open access research paper detailing submitted for publication by December 2025 and published by June 2026	3.5 Proofs of submitted paper, published article	experiences during pre-project research and existing local NGO relationships (S1, S2). - All field work is able to take place, and there are no major events which disrupt the field work plans (e.g. natural disasters, on-going pandemic restrictions). Natural disasters are difficult to predict, however field work in Indonesia has been able to continue during the COVID-19 pandemic, albeit with strict health and safety procedures in place. - The peer-review process proceeds in a timely manner. We have included ample time for the peer-review process, based on previous experiences with publishing.
4 Scale and legacy: institutions, capacity, long-term partnerships, and financing mechanisms are established, to maintain on-going investments in project sites, and share methods and lessons learned for scaling up by March 2026.	4.1 Four PhD Students recruited at IPB University to participate in the project by September 2023, and use research from the project towards PhD theses by July 2026 4.2 A seminar/workshop series conducted for local students and NGO project leaders on socio-economic research methods, project management and fundraising, and impact assessment by September 2023	4.1 Enrolment documents, copies of PhD chapters 4.2 Training agenda, attendance list, polling results 4.3 Meeting agenda, minutes, photos, agreement documents	- Three project communities and other relevant stakeholders give their free, prior and informed consent for the research and interventions to take place. This is consistent with pre-project research and NGO partner experiences. - The interventions are successfully implemented and monitored, and deliver

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	4.3 At least 4 consultation and capacity building workshops conducted for communities and local government agencies by April 2026, which collectively reach more than 250 people 4.4 Four site-specific and one generic policy briefing document prepared based on project results by September 2025, and disseminated via at least two policy-focused workshops with local and national government by April 2026 4.5 Long-term agreements and funding mechanisms established for >200 fisher households across 4 coastal communities by March 2026 4.6 Exchange visits to UK conducted for at least four Indonesian project leaders/students by June 2026 4.7 One guidance document developed and disseminated on how to apply the project process and methods to develop locally-appropriate incentive-based interventions for marine conservation in other contexts by June 2026 4.8 Project research outputs and lessons learned are presented national and	4.4 Briefing, guidance documents, meeting agenda, minutes, attendance sheets 4.5 Signed agreement and/or incorporation documents 4.6 Exchange visit reports, blogs on the ICCS Biodiversity Fellows website 4.7 Guidance document 4.8 Conference proceedings and copies of presentations 4.9 Bootcamp curriculum	the anticipated biodiversity and human well-being outcomes as anticipated by all affected stakeholders, with support for continued implementation. Our robust design phase will ensure the interventions are designed for success. - Potential long-term funders support the interventions, and are willing to commit long-term sustainable revenue streams. This assumption holds based on pre-project research and consultations (e.g., with dive operators and fishing companies) which has enabled us to already identify potential long-term funders (e.g. via tourism levies, S1), though this also depends on Indonesia's tourism market recovering after the pandemic by 2025. Indonesia is already beginning a multi-stage plan to re-open to international travellers, and we are confident that the tourism market will recover once travel resumes to normal. - Masters and PhD students are able to collect and

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	international conferences (at least 3 in total) by March 2026 4.9 Materials and learnings from the project are used to inform the development of a curriculum within IPB for an interdisciplinary / socio-ecological systems 'bootcamp' for marine conservation practitioners in Indonesia by March 2026		analyse enough data for completing their theses. This assumption is consistent with the PL's previous experience of working with IPB Masters students during her PhD.