

Please note this Guidance is for Annual Application Round 1 and will soon be updated for Round 2.

# Guidance Note for Applicants

Round 1, FY 2024/25

January 2024



**Ocean Community  
Empowerment  
and Nature**



**UK International  
Development**

Partnership | Progress | Prosperity

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# 1. Purpose of this guidance

This guidance note provides information on what projects can be funded by OCEAN and how to apply, including the process used to select projects for funding. It is structured in the following sections, excluding appendix and annexes:

- Glossary
- The OCEAN Grants Programme
- Funding pathways
- Round 1 timetable
- Eligibility criteria
- Selection criteria
- Additional requirements for applicants
- How to complete an application form
- Assessment process
- Assessment criteria and scoring

All guidance is available from Flexi-Grant (<https://ocean.flexigrant.com/>) and from our website (<https://oceangrants.org.uk/>). Required templates can be downloaded from Flexi-Grant and our website.

**We strongly recommend reading all sections of this guidance note as well as additional guidance materials such as the Finance Guidance and the Flexi-Grant Guidance before starting your application.**

## Contact us

If, after reading this guidance, you require any further assistance, please contact us on [helpdesk@oceangrants.org.uk](mailto:helpdesk@oceangrants.org.uk).



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Any enquiries regarding this publication should be sent to us at [ocean@defra.gov.uk](mailto:ocean@defra.gov.uk).

## 2. Glossary

Capability & Capacity	Capability refers to the types of ability (skills and knowledge) required for a task; Capacity refers to the amount of ability at a point in time to deliver a task.
Civil Society Organisation (CSO)	An organisational structure whose members serve the general interest through a democratic process and which plays the role of mediator between public authorities and citizens. Examples of such organisations include: social partners (trades unions and employers' groups); non-governmental organisations (e.g., for environmental protection); grassroots organisations (e.g., youth and family groupings).
Complementary	Whilst distinct, activities are compatible and support the delivery of results, as opposed to having a negative impact on each other such as duplication or competition for resources.
Country	Normally refers (unless otherwise stated) to any country on the eligible country list (see 6.1 and Annex A: Eligible countries), and not countries such as the UK.
Defra	Department for Environment, Food and Rural Affairs (Defra), UK Government. The OCEAN Grants Programme is a programme funded by Defra.
Delivery Partners	See glossary for 'Project Partners'.
Expert Committee (EC)	Expert Committee is a group of independent experts in marine protection and sustainable development that provides strategic advice, assesses proposals and makes recommendations to Defra on funding decisions.
Ethics	The values, such as fairness, honesty, openness, integrity, that shape how an individual or an organisation operates and interacts with others.
Evidence	Information that demonstrates project actions, outputs, outcomes and impact. It varies in format, quality and relevance and can include, documented and undocumented experiences, data, studies, policies, best practices, from a range of perspectives. However, evidence is particularly valued when it is quality assured, accessible and applicable.
FCDO	Foreign, Commonwealth & Development Office, UK Government.
GESI	Gender Equality and Social Inclusion, see 8.5 for details.
In-country Organisations	Organisations of an eligible country (Annex A: Eligible countries), and based in such country.
Innovation	The implementation of a novel or significantly improved approach (product, ways of working, and/or process) that differs from previous approaches. Innovation can include the implementation of tried and tested approaches in geographies, scales, contexts and ways than have not been used before.
International organisations	Organisations that may have a presence in an eligible country, but a head office located in a country not listed as an eligible country (Annex A: Eligible countries).

MEL	Monitoring, Evaluation and Learning. MEL is an important part of effectively delivering projects, demonstrating results, and learning from your activities and experiences to understand what works and what does not. See the Monitoring, Evaluation and Learning Guidance for further details.
Large sized organisation	In the context of OCEAN: a large sized organisation is an organisation with an annual income of more than £1 million.
Lead Applicant	The individual who leads on the submission of the application and supporting materials, and will be the project contact point during the application process. The lead applicant should also be the person that submits and signs the application form.
Lead Organisation	The organisation who will administer the grant and coordinate the delivery, accepting the Terms and Conditions of the Grant on behalf of the project.
Local/national organisations	Organisations of an eligible country (Annex A: Eligible countries), with either a national or local remit, based within that country, and typically led by a national of the country.
Locally-led organisation	An organisation with either a national or local remit, based within that country, and typically led by a national of the country. See glossary for 'Local/national organisations'.
Logframe or Logical Framework	A monitoring tool to measure progress against a Results Chain, comparing planned and actual results along a causal pathway, and including indicators, baselines, targets, as well as risks and assumptions.
Marine Environment	Includes estuaries, coastal marine and nearshore zones, and open-ocean-deep-sea regions.
Matched Funding	Additional finance that is secured to help meet the total cost of the project, including public and private sources, as well as quantified in-kind contributions.
Multi-dimensional Poverty	See glossary for 'Poverty'.
NIRAS	OCEAN Grants Programme Administrator; first point of contact for projects and applicants.
Non-Governmental Organisation (NGO)	Any non-profit, voluntary citizens' group which is organized on a local, national or international level. Task-oriented and driven by people with a common interest, NGOs perform a variety of service and humanitarian functions, bring citizen concerns to governments, advocate and monitor policies and encourage political participation through provision of information.
OCEAN	The Ocean Community Empowerment and Nature Grants Programme.
ODA	Official Development Assistance – commonly known as overseas aid – is when support, expertise or finance is supplied by one government to help the people of another country via activities that promote economic development and welfare as a main objective.

Partner Organisation(s)	The organisation(s) who have a formal governance role in the project, and a formal relationship with the project that may involve staff costs and/or budget management responsibilities.
Poverty	Poverty is multidimensional and not solely about a lack of money; it encompasses a range of issues that hinder people's abilities to meet their basic needs and better their life with dignity including a lack of income, land, or other means of access to the basic material goods and services needed to survive with dignity, or a deficiency in healthcare, security, education or necessary social relations.
Project Leader	The individual with the necessary authority, capability and capacity, and a full understanding of their role and associated obligations, who takes responsibility for delivering value for money, managing risk and financial controls whilst fulfilling the terms and conditions of the grant. The Project Leader could coincide with the Lead Applicant
Project Partners	The Lead Organisation together with each Partner Organisation. Project Partners can also be referred to as Delivery Partners.
Safeguarding	Broadly means preventing harm to people and the environment. In practice, efforts often focus on taking all reasonable steps to prevent sexual exploitation, abuse and harassment (SEAH) from occurring, and to respond appropriately when it does.
Scale	The ability to deliver greater impact of a proven approach, either through expanding the scope of activities within a given geography or focal issue, taking the approach into a new geography or focal issue, or through uptake by stakeholders that promotes systemic change.
SEAH	Sexual exploitation, abuse and harassment. See glossary for 'Safeguarding' for greater details.
Small to medium sized organisation	In the context of OCEAN: a small sized organisation is an organisation with an annual income of up to £100,000; a medium sized organisation is an organisation with an annual income of between £100,000 and £1 million.
Stakeholder	The individuals/organisations who are consulted, engaged and/or participate in project activities as they have an interest or concern in the project and its impact. They can also be partners, but if not, they would not have a budget management, or a formal governance role, within the project. Stakeholders are not homogenous groups and will include layers of diversity within them (see 8.5). For difference between a Stakeholder and Partner Organisation, see 6.3.
Theory of Change	Explains the process of change by outlining causal linkages taking activities through to a desired outcome, being explicit about the assumptions underlying the expected causal pathways and including an analysis of barriers and enablers as well as indicators of success. Often set out in a diagram and narrative form.
Value for Money	Good value for money is the optimal use of resources to achieve the intended outcomes.

## 3. The OCEAN Grants Programme

### 3.1. OCEAN

The Ocean Community Empowerment and Nature (OCEAN) Grants Programme (hereinafter referred to as 'OCEAN') is part of the Blue Planet Fund (BPF) – the UK's £500 million initiative supporting developing countries in protecting the ocean and reducing poverty. BPF is jointly managed by the UK's Department for Environment, Food and Rural Affairs (Defra) and the Foreign, Commonwealth and Development Office (FCDO).

**OCEAN is a competitive grants programme providing support to projects that aim to deliver lasting change to the marine environment and for coastal communities.** By supporting both large and small organisations working towards ocean-based solutions to climate change, OCEAN aims to build resilience for coastal people and communities most acutely affected by declining ocean health and climate change.

**OCEAN is particularly interested in receiving proposals from in-country organisations working with coastal communities.**

OCEAN is funded by Defra. Applications are administered by NIRAS (hereinafter referred to as 'OCEAN Grants Administrator').

### 3.2. Intended impact of OCEAN

Background to the set-up of OCEAN and useful information to applicants in terms of global marine protection and poverty reduction challenges that OCEAN aims to address can be found in [Appendix 1: Global Context](#).

**The intended impact of OCEAN is placing the ocean on a path of recovery that enables local communities and nature to thrive.** This will be achieved through projects that help local communities manage marine resources sustainably, effectively, and inclusively, and using evidence and best practices to reduce multi-dimensional poverty.

#### **Example areas that successful projects might address:**

- **Communities** have increased willingness and capacity to access funding so that they are able to establish and sustainably, effectively, and inclusively implement and manage marine protected areas and other effective conservation measures.
- **Illegal, unreported, and unregulated fishing activities** are more effectively monitored, prevented and prohibited with the communities previously dependent on these practices supported through alternative, stable, sustainable livelihoods.
- **Management of regional and national fisheries and aquaculture** is strengthened to deliver sustainable fish stocks and healthy marine ecosystems, provide inclusive livelihoods, and reduce overfishing.
- **Communities** have increased capacity to manage marine pollution, targeting pathways from land to sea to prevent it entering the marine environment.



**Examples of types of activities projects might include:**

- **Training** artisanal fishers in Illegal Unregulated and Unreported (IUU) fishing data collection to develop community-led networks to report IUU fishing.
- **Capacity building** projects to train in-country experts to carry out fishery assessments and develop improvements based on data.
- **Community training workshops** in sustainable marine management practices to increase productivity and yields of ecosystems.
- Establishing **no-take zones** and creating **biodiversity monitoring** programmes.
- Establishing and **training staff** in environmental management and information systems.
- Establishing **waste collection, sorting, and disposal** systems in local communities.
- **Supporting women, youth, and disabled people** to develop income generation and livelihood development in integrated waste management.

### 3.3. Projects funded by OCEAN

OCEAN will award grants to projects that aim to achieve **improvements to the marine environment and its biodiversity and a reduction to multi-dimensional poverty** through the following two distinct funding pathways (see 4 for further details).

**Community Grants** of a maximum allocation of £250,000 will be available for small-scale, local, in-country organisations. These grants must focus on increasing the capacity of local communities to tackle marine and poverty issues, by delivering local solutions to local problems.

**Partnership Grants** of between £250,000 to £3 million will be available for medium to large organisations with the capacity to deliver solutions at scale. These grants must focus on partnering with and working alongside the local communities, to deliver local solutions to local problems, while addressing the potential to scale.

**OCEAN will award grants to projects that successfully meet the eligibility criteria (see 6) and the selection criteria (see 7), and demonstrate how they will address the additional requirements (see 8).**

Applications should be made through the online application portal Flexi-Grant at <https://ocean.flexigrant.com/>. All questions in the application form must be answered, and all required attachments must be uploaded. Please read all available guidance before starting your application. All guidance is available via the Flexi-Grant portal, and replicated on the OCEAN website at <https://oceangrants.org.uk/>.

If you require any assistance during the application process, please contact us on [helpdesk@oceangrants.org.uk](mailto:helpdesk@oceangrants.org.uk).

## 4. Funding pathways

### 4.1. Community Grants and Partnership Grants

Applicants may apply for funding under **either one** of the following two pathways:

	Community Grants	Partnership Grants
<b>Grant Size</b>	Up to £250,0000	£250,0000 - £3,000,000
<b>Start Date</b>	1 October 2024 onwards.	1 October 2024 onwards.
<b>Duration</b>	Minimum: One Year; Maximum: up until 31 March 2029.	Minimum: One Year; Maximum: up until 31 March 2029.
<b>Application Stages</b>	Two: Stage 1. Concept Note; Stage 2. Detailed Application	Two: Stage 1. Detailed Application; Stage 2. Interview.
<b>Type of Project</b>	<ul style="list-style-type: none"> <li>• Must support <b>a reduction in multi-dimensional poverty</b>.</li> <li>• Must focus on <b>marine environment</b>. This could directly relate to one of the Blue Planet Fund's seven key outcomes (see <a href="#">Annex C: Blue Planet Fund's seven key outcomes</a>), but this is not a requirement.</li> <li>• The <b>annual value</b> must not exceed 50% of the Lead Organisation's annual income.</li> <li>• Should focus on <b>developing new ideas, providing local solutions to local problems, stimulating capacity building, and strengthening ownership and community empowerment</b>.</li> <li>• Must demonstrate <b>good understanding of the context</b> in which it will take place.</li> </ul>	<ul style="list-style-type: none"> <li>• Must support <b>a reduction in multi-dimensional poverty</b>.</li> <li>• Must focus on <b>marine environment</b>. This could directly relate to one of the Blue Planet Fund's seven key outcomes (see <a href="#">Annex C: Blue Planet Fund's seven key outcomes</a>), but this is not a requirement.</li> <li>• The <b>annual value</b> must not exceed 50% of the Lead Organisation's annual income.</li> <li>• Should focus on <b>developing new ideas, providing local solutions to local problems, stimulating capacity building, and strengthening ownership and community empowerment</b>.</li> <li>• Must demonstrate <b>good understanding of the context</b> in which it will take place.</li> <li>• Must <b>effectively engage with and work alongside the local communities</b> it is seeking to support.</li> <li>• Must have the <b>potential to scale</b>, with networks in place to deliver long-term outcomes to the marine environment, and local organisations / communities.</li> </ul>
<b>Scoring Criteria (see 11)</b>	<ul style="list-style-type: none"> <li>• Technical Merit</li> <li>• Marine Impact</li> <li>• Poverty Reduction</li> <li>• Capability &amp; Capacity</li> </ul>	<ul style="list-style-type: none"> <li>• Technical Merit</li> <li>• Marine Impact</li> <li>• Poverty Reduction</li> <li>• Scaling Potential</li> </ul>

## 5. Round 1 timetable

### 5.1. Community Grants

**Call for Stage 1 Applications from 5 February 2024 to 23:59 GMT on 18 March 2024;** results expected in May 2024.

Call for Stage 2 is by invitation only (application link will be provided) in May/June 2024. Stage 2 Application Deadline – 22:59 GMT (23:59 BST) on 15 July 2024. Results are expected by end of September 2024.

### 5.2. Partnership Grants

**Call for Stage 1 Applications from 5 February 2024 to 22:59 GMT (23:59 BST) on 2 April 2024;** results expected in June 2024.

Shortlisted applicants will be invited to interview (virtual) in July 2024. Results are expected by end of September 2024.

### 5.3. Projects' expected start date

**Successful Community Grants and Partnership Grants projects are expected to start from 1 October 2024. It is encouraged that projects start in October 2024,** but applicants should consider the best date to start their project to allow for start-up and recruitment, based on the expected notification of results.

All applications will be acknowledged within 5 working days of the funding round close. If you have not heard after 5 days, please contact please contact us on [helpdesk@oceangrants.org.uk](mailto:helpdesk@oceangrants.org.uk).

## 6. Eligibility criteria

Applications will be independently assessed on their technical merit, only if they meet the following eligibility criteria in relation to:

- Project country
- Lead Organisation
- Partner Organisation
- Consultation with British embassies/ high commissions

Applicants should carefully consider the following eligibility requirements to ensure that you are eligible to apply for a grant.

	Community Grants	Partnership Grants
<b>Project country</b>	Based in a country listed in <a href="#">Annex A: Eligible countries</a> .	Based in a country listed in <a href="#">Annex A: Eligible countries</a> .
<b>Lead Organisation</b>	<ul style="list-style-type: none"> <li>• Must be a <b>small to medium sized local, regional, or national</b> organisation based in the same country as the project (please review definition in Glossary).</li> <li>• Must have an <b>annual income of less than £1 million</b> (calculated as an average of the past two years of the organisations accounts).</li> <li>• Must be able to demonstrate it is a <b>non-profit</b> organisation.</li> </ul>	<ul style="list-style-type: none"> <li>• Must be a <b>large established</b> organisation (please review definition in Glossary).</li> <li>• Must have an <b>annual income of more than £1 million</b> (calculated as an average of the past three years of the organisations accounts).</li> <li>• Must <b>work with small and other established organisations</b> to develop local, regional, national, and/or international partnerships.</li> <li>• Must be able to demonstrate it is a <b>non-profit</b> organisation, it is <b>experienced</b> in the kind of work proposed, and it is <b>staffed with the appropriate technical and financial capacity and expertise</b> to manage and implement projects successfully and deliver reporting.</li> </ul>
<b>Partner Organisation(s)</b>	<ul style="list-style-type: none"> <li>• The Lead Organisation may partner with one or more non-profit organisations. <b>Partnerships are encouraged but not mandatory.</b></li> <li>• The Partner Organisation can also be a private sector organisation, a business, or a business association.</li> <li>• <b>Government agencies and inter-governmental organisations can be Partner Organisations but may not receive funding.</b></li> </ul>	<ul style="list-style-type: none"> <li>• The Lead Organisation must partner with <b>at least one non-profit</b> Partner Organisation that is <b>based in the same country as the project. If the project is working across multiple countries</b>, a Partner Organisation based in each project country is required.</li> <li>• The Partner Organisation can also be a private sector organisation, a business, or a business association.</li> <li>• <b>Government agencies and inter-governmental organisations can be Partner Organisations but may not receive funding.</b></li> </ul>
<b>Consultation with British embassies/high commissions</b>	Lead Organisations are <b>encouraged</b> to contact their nearest regional FCDO to discuss their project proposal.	Lead Organisations are <b>required</b> to contact their nearest regional FCDO to discuss their project proposal.

## 6.1. Project country

OCEAN is entirely Official Development Assistance (ODA) funded. Therefore, **projects must be based in an ODA eligible country** and promote the economic development and welfare of that country as a primary objective. Projects must also contribute to poverty reduction and do so in a way that reduces gender inequality, as required by the UK International Development Act. **Projects can be based in more than one country, as long as all countries are ODA eligible.**

Please see [Annex A: Eligible countries](#) for a list of all countries that are currently eligible for funding. Please note that certain ODA eligible countries may be temporarily excluded from the list due to current operating challenges. If the country does not feature on this list, then it is not-eligible for funding at this time.

OCEAN is expected to be **mostly focused on Least Developed, Low Income and Lower Middle-Income countries**, as defined by the OECD DAC eligibility<sup>1</sup>.

**Projects based in Upper Middle-Income Countries (UMICs) are eligible; however,** projects applying to work in a UMIC should clearly demonstrate a stronger case for support, and this will be assessed. The reason for working in a UMIC could include operating in areas of high importance for marine environment and climate adaptation, or where there is a clear gender equality and social inclusion need. **Applications for projects based in a UMIC should demonstrate that they will:**

- advance knowledge, evidence, and impact in Least Developed or Low-Income Countries, **or**
- contribute to a global public good, for example by advancing understanding or strengthening the knowledge base related to sustainable marine management and protection of the marine environment, **or**
- contribute to serious and unique advancements on a critical marine issue as a result of specific circumstances of the UMIC that could not be made elsewhere.

**Please note that funding cannot be awarded to organisations that are subject to sanctions of the UK Government.**

**Please contact us on [helpdesk@oceangrants.org.uk](mailto:helpdesk@oceangrants.org.uk) if you are unsure whether your project would be eligible for funding, or you have any questions about working in a UMIC Country.**

## 6.2. Lead Organisation

Applications may be made by a group of organisations; however, they must name **one Lead Organisation**. The Lead Organisation will make an agreement with OCEAN and receive a grant if the proposal is successful. The Lead Organisation must agree to the Terms and Conditions (see 8.11) and will be ultimately responsible for the delivery and management of

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<sup>1</sup> <https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/daclist.htm>

the project, including the management of any partners and sub-grantees, and all use of funds by sub-grantees and partners.

Lead Organisations must be able to demonstrate that they are **non-profit organisations**, which may include:

- Local community groups / organisations
- Civil Society Organisations (CSOs)
- Non-profit organisations (including trusts, foundations, and charities)
- Non-Government Organisations (NGOs)
- Academic / Research Institutes

**Government agencies and inter-governmental organisations**, such as UN agencies, and **private sector organisations, businesses, or business associations** are **not eligible** to be the lead organisation. **However, they are encouraged to be partner organisation but may not receive funding (see 6.3).**

The following evidence must be provided by the Lead Organisation:

Community Grants	Partnership Grants
<ul style="list-style-type: none"> <li>• An <b>annual income of less than £1 million</b> (calculated as an average of the past two years of the organisations accounts).</li> <li>• At least two years of detailed financial reporting (see the Finance Guidance for further details).</li> <li>• A safeguarding policy or agree to seek OCEAN guidance / support on how to develop one as part of the application and embedded into the project plan.</li> </ul>	<ul style="list-style-type: none"> <li>• An annual income of <b>more than £1 million</b> (calculated as an average of the past three years of the organisations accounts) <b>OR</b> have previously successfully applied for and delivered an OCEAN Community Grant.</li> <li>• At least three years of detailed financial reporting (see the Finance Guidance for further details).</li> <li>• Safeguarding policies fully established and in place that meet the Inter-Agency Standing Committee (IASC) minimum operating standards and core humanitarian standards (see <a href="#">Annex B: Safeguarding</a>).</li> <li>• Previous evidence of managing substantial funding streams and capability to scale-up new and existing activities to maximise outreach to high numbers of people.</li> </ul>

**For the full list of supporting documents to be provided as part of the application form, please see 9.7. Please contact us on [helpdesk@oceangrants.org.uk](mailto:helpdesk@oceangrants.org.uk) if you are unsure whether your Lead Organisation would be eligible for funding.**

#### **Difference between a Lead Organisation, a Lead Applicant and a Project Leader.**

The **Lead Organisation** is the organisation that submits the application and that will administer the grant and coordinate the delivery, accepting the Terms and Conditions of the grant on behalf of the project.

The **Lead Applicant** is the individual who leads on the submission of the application and supporting materials, and will be the project contact point during the application process. **The lead applicant should also be the person that submits and signs the application form.**

The **Project Leader** is the individual with the necessary authority, capability and capacity, and a full understanding of their role and associated obligations, who takes responsibility for delivering value for money, managing risk and financial controls whilst fulfilling the terms and conditions of the grant. The Project Leader will be the first point of contact for all aspects of project management, and will be responsible for the overall management of the project and accountability of the award, on behalf of the institution they represent. **The Project Leader can be the same person as the Lead Applicant.**

### 6.3. Partner Organisations

Partnerships between organisations aligning their interests around a common vision, combining their complementary resources, experiences, and competencies, and sharing risk, can maximise a project's impact in terms of scale, quality, sustainability and benefits.

**All Partner Organisations must co-develop the project with the Lead Organisation.**

The following types of partner organisations are eligible:

Community Grants	Partnership Grants
<ul style="list-style-type: none"> <li>Partnerships are <b>encouraged but not required</b>.</li> <li><b>Government agencies and inter-governmental organisations</b>, such as UN agencies, are <b>encouraged</b> to be a partner organisation on OCEAN projects but <b>may not receive funding</b>. Hence, government agencies and inter-governmental organisations can only provide <b>in-kind partnership</b>.</li> <li><b>Private sector organisations, businesses, or business associations</b>, are <b>eligible</b> to be a partner organisation only.</li> </ul>	<ul style="list-style-type: none"> <li>Partnerships are <b>required with at least one non-profit</b> partner organisation that is <b>based in the same country as the project</b>. <b>If the project is working across multiple countries</b>, a Partner Organisation based in each project country is required.</li> <li><b>Government agencies and inter-governmental organisations</b>, such as UN agencies, are <b>encouraged</b> to be a partner organisation on OCEAN projects but <b>may not receive funding</b>. Hence, government agencies and inter-governmental organisations can only provide <b>in-kind partnership</b>. However, they are <b>not eligible to be the only partner organisation</b>.</li> <li><b>Private sector organisations, businesses, or business associations</b>, are <b>eligible</b> to be a partner organisation only. However, they are <b>not eligible to be the only partner organisation</b>.</li> </ul>

**Local offices of international NGOs or in-country organisations that are part of a federation or closely associated with an NGO umbrella organisation, are eligible to apply as the Lead Organisation for Community Grants.** However, these organisations are **strongly encouraged** to partner with another, independent, in-country organisation, to

align with the overall objectives of OCEAN. These organisations may additionally choose to partner with their umbrella organisation in order to receive in-kind support. **Umbrella organisations will need to provide a robust case and justification in order to receive funding from a Community Grant, and this justification will be reviewed as part of the overall project selection.**

Please contact on [helpdesk@oceangrants.org.uk](mailto:helpdesk@oceangrants.org.uk) if you are unsure whether your Partner Organisation would be eligible for funding.

#### Difference between a Partner Organisation and a Stakeholder

A **Partner Organisation** is an organisation that have a formal governance role in the project, and a formal relationship with the project that may involve staff costs and/or budget management responsibilities.

A **Stakeholder** is an organisation or an individual that does not have a budget management, or a formal governance role, within the project but is consulted, engaged and may participate in project activities.

## 6.4. Consultation with British embassies/high commissions

OCEAN is keen to provide an opportunity for the British embassies or high commissions to be aware of proposed work before an application is submitted, and potentially advise on any security or political sensitivities. We recognise that the capacity of British embassies or high commissions to support or engage projects is varied.

The following requirements apply:

Community Grants	Partnership Grants
Lead Organisations are <b>encouraged</b> to contact their nearest regional Foreign, Commonwealth & Development Office (FCDO) <sup>2</sup> to discuss their project proposal.	Lead Organisations are <b>required</b> to contact their nearest regional Foreign, Commonwealth & Development Office (FCDO) <sup>3</sup> to discuss their project proposal.

Applicants **will not be penalised if** they are unable to submit comments from the embassy or high commission alongside their application, **provided that** they have made an attempt to contact them as early as possible to allow engagement. This can be **proved** through a .pdf copy of the email chain with the embassy or high commission or another form of evidence of contact.

All applications may be shared with other UK Government Departments including the FCDO. If your application is successful, the relevant British embassies or high commissions will be informed and may, depending on their resource levels, seek to publicise the award, or be involved in any formal launch, and may wish to develop a relationship with the project during delivery.

<sup>2</sup> <https://www.gov.uk/world/embassies>

<sup>3</sup> <https://www.gov.uk/world/embassies>



## 7. Selection criteria

**Applications will be assessed individually in their technical merit, provided that they meet the eligibility criteria** (see 6). To be successful, an OCEAN project must address the following elements:

- Budgeting and timeframe
- Marine impact
- Poverty reduction
- Community empowerment
- Challenge fund principles
- Specific requirements for Community Grants and Partnership Grants

### 7.1. Budgeting and timeframe

Applications will be assessed against whether the amount that has been applied for reflects an appropriate amount to complete the project in their local context. Applications will also be assessed against whether the timeframe proposed is realistic and sufficient to undertake the project.

**Projects must present a realistic budget and realistic timeframe, and not be overly ambitious in what they hope to achieve.**

The **size and length of a project must be determined based on evidence** and what is needed to deliver intended outcomes and impacts. Ambitious proposals are welcome, but care needs to be taken not to be overambitious (or overly optimistic) as this can undermine confidence in the proposal to deliver its outcomes.

**The maximum annual value of funds requested should not exceed 50% of the Lead Organisation's average annual income** (see the Finance Guidance for further details).

### 7.2. Marine impact

Applications will be assessed on the technical merits of their proposed marine intervention, including the likelihood and degree to which a proposed project will have a positive impact on the marine environment.

**Projects must demonstrate how their work will contribute to the impact of OCEAN (see 3.2), including how this will be monitored and evidenced.**

Applications are **encouraged to note if their project will also relate to one of more of the Blue Planet Fund's seven key outcomes** (see [Annex C: Blue Planet Fund's seven key outcomes](#)). Where this is the case, applications will be **assessed on how effectively they address the outcome(s)** that they are seeking to work towards.

Applications that do not directly relate to a Blue Planet Fund's outcome, will not be penalised for this. However, **applications that do not directly relate to a Blue Planet Fund**

**outcome must demonstrate in a robust way that they align to one of the following two areas:**

- Protect, restore, and enhance the marine environment or its biodiversity through conservation and / or sustainable management approaches.
- Improve awareness and understanding of global ocean challenges faced and the options to address them at the local and national level.

### 7.3. Poverty reduction

Applications will be assessed on the technical merits of their proposed approach to reducing multidimensional poverty including the likelihood and degree to which a proposed project will have a positive impact on poverty reduction.

**Projects must demonstrate how their work will address multi-dimensional poverty reduction either directly or indirectly.**

Applications may address poverty reduction **directly**, for instance, through activities that help secure increased income for local communities, whilst tackling marine issues.

Applications may address poverty reduction **indirectly**, for instance, through safeguarding traditional rights and cultural values, increasing the voice of marginalised communities, increasing equality within communities (see 8.5), improved governance, protecting and restoring the marine environment through capacity building of local organisations.

### 7.4. Community engagement

Applications will be assessed on how well they embrace localisation and empower local communities.

**Projects must demonstrate how their work will effectively engage with and work alongside the local communities they are seeking to support. Projects must focus on providing local solutions to local problems, stimulating capacity building, and strengthening ownership and community empowerment.**

Applications may address this through building capacity in local organisations and coastal communities to reduce poverty and adapt to climate change, empowering local organisations and coastal communities to deliver local solutions to tackle current marine issues, and/or driving equitable and inclusive decision-making for coastal communities to sustainably manage and benefit from the marine environment.

Examples of promoting understanding of marine issues include improving awareness and understanding of the challenges faced and the options to address them; developing policy and approaches tailored to local contexts and needs; building and strengthening inclusive partnerships, through collaboration, skills development, resource sharing and the co-delivery of projects to deliver lasting change to the marine environment and coastal communities; and capacity-building for local organisations in areas such as applying for aid grants, forecasting and budgeting, log frame development, fraud and risk monitoring and assessment.

## 7.5. Challenge fund principles

OCEAN is a challenge fund and will consider the following principles when selecting applications:

- **Competitive process:** OCEAN is open to all who meet the eligibility criteria (see 6) and are willing to compete. Only the highest scoring projects will be funded.
- **Innovation:** OCEAN encourages applicants to submit potentially transformational plans that can contribute to achieving local solutions to local problems (see box below for a definition of innovation).
- **Co-financing:** OCEAN encourages co-financing (including in-kind funding) for successful projects, promoting ownership and commitment, and ensures public funds go further. This is not a requirement or assessed.
- **Partnerships:** OCEAN encourages the bringing together of partners and cooperation of shared mutual benefits.
- **Local solutions to local problems:** OCEAN encourages localisation and the development of ideas that provide local solutions to local problems, stimulating ownership and greater innovation.

**Projects must be of high quality, develop new ideas, where possible co-finance (including in-kind funding), enhance partnerships, and provide local solutions to local problems, overall strengthening ownership, and community empowerment.**

### What is innovation?

Within OCEAN we understand innovation to be the implementation of a novel or significantly improved approach (product, ways of working, and/or process) that differs from previous approaches. There are broadly three types of innovation:

1. **Novel to the area**, the diffusion, replication, or application of proven approaches in another geography or to a different issue or stakeholder group.
2. **Novel to the sector**, an approach proven in a different sector is adapted to deliver results and impact in the marine protection and poverty reduction sector.
3. **Novel to the world**, an innovation unproven in any sector, is applied to the marine protection and poverty reduction sector.

## 7.6. Specific requirements for Community Grants

Applications to the Community Grants **must have a Lead Organisation that is locally based and has a good understanding of the context** in which the project will take place.

Community Grants applications will be assessed on their **ability to address at least one of the following objectives:**

- Empower local organisations and communities and help deliver local solutions to tackle current marine issues.
- Increase flow of local knowledge and experiences feeding into marine policy and decision making.
- Increase capacity of local organisations and communities to tackle poverty and cope with climate change.

## 7.7. Specific requirements for Partnership Grants

Applications to the Partnership Grants **must have at least one Partner Organisation that is based in the same country as the project.**

Partnership Grants applications will be assessed **on how effectively their proposed projects engage with and work alongside the local communities** they are seeking to support. For instance, applications could demonstrate this through collaboration, skills development, resource sharing and co-delivery of project outcomes to deliver lasting change to the marine environment, local organisations, and communities; or developing marine policies, strategies or regulations that are tailored to support local organisations and communities.

Applications for a Partnership Grant will be also assessed on the **potential scalability** of the proposed project. Applications must demonstrate a scalable approach to provide maximum impact, with appropriate networks in place to deliver long-term outcomes to the marine environment, local organisations, and communities.

### What are scalable approaches?

Work can be scaled in any of the following ways:

- **Landscape scaling:** test an approach and then apply it more broadly at the landscape/seascape level.
- **Replication scaling:** test an approach and apply it in another geography, or to another issue or stakeholder group.
- **Systems change scaling:** support system changes (e.g., legislation) that have impacts beyond their original scale.
- **Capacity scaling:** leaving a legacy of higher capacity to achieve change, e.g., through improving the capacity of organisations, key individuals, or regionally (e.g., geographic clusters of projects, combining to build capacity and momentum).

**Post-project scaling** of the approach could be achieved through new finance or through uptake by stakeholders, markets or other mechanisms.

## 8. Additional requirements for applicants

In addition to the eligibility criteria and selection criteria, **applicants will need to consider the following elements which are of relevance both at the application stage and at the delivery stage if their application is successful:**

- Building capability and capacity
- Evidence
- Value for money
- Ethics
- Gender equality and social inclusion (GESI)
- Safeguarding
- Risk management
- Communications
- Reporting
- Monitoring and evaluation
- Terms and conditions

### 8.1. Building capability and capacity

**Projects will need to include activities and/or structures that will enhance and strengthen the capability and capacity of identified local and national partners and stakeholders to carry out marine protection and poverty reduction more efficiently and effectively in future.**

#### **Difference between capability and capacity.**

**Capability** refers to the types of ability (skills and knowledge) required for a task.

**Capacity** refers to the amount of ability at a point in time to deliver a task.

The approach adopted to enhance the capability and capacity of local and national stakeholders is for the applicants to formulate and justify in the application; with the proportion of the project outputs focussed on capability and capacity varying. Approaches should consider diversity considerations (see 8.5) within the stakeholders benefiting directly and indirectly from the capability and capacity activities.

Enhanced capability and capacity can be delivered through a wide range of activities and approaches including, but not limited to, structured training, fellowships, work placements, mentoring and the opportunity to deliver projects in partnership with more experienced organisations.

**International Lead Organisations must ensure that local and national partners have meaningful and stretching roles, and/or receive tailored mentoring/support to develop their capabilities.** In addition to technical areas (marine protection, poverty reduction), activities can and should include enhancing the underpinning capabilities for example

financial, communication, monitoring, and evaluation, GESI, safeguarding, and risk management.

## 8.2. Evidence

**Projects will need to use evidence (including best practices) to provide confidence that the project has demonstrated a need, understood the context, made fair assumptions, identified the risks and, as a result, has been designed well. Projects should strengthen, promote and use evidence to inform and, where appropriate scale, activities and action.**

### What is evidence?

Evidence ranges greatly in format, quality and relevance and **includes documented and undocumented experiences, data, studies, experiments, observations, peer-reviewed papers, policies, best practices etc.** and is **particularly valuable when it is:**

- **accessible – people should be able to get at it.**
- **comprehensible – people should be able to understand it.**
- **useable – it should suit their needs.**
- **assessable – interested parties should, if necessary, be able to assess its quality.**
- **ethical – see 8.4 for details.**

Often overlooked, the role of **local knowledge** and evidence held by indigenous groups and local communities is vital and should be considered by projects in their design and delivery, abiding by ethical best practices.

By improving the quality, accessibility and use of evidence and best practices, decisions by individuals and organisations funded by OCEAN and beyond should lead to more effective solutions and greater impact.

Consideration should be given to opportunities to **strengthen the value of evidence** produced by projects, by improving its accessibility, comprehensibility, usability, and quality. For example, incorporating experimental elements within projects to test and compare approaches are welcomed.

All evidence gathering, and use must be conducted within a **robust ethics framework** (see 8.4) that respects the prior informed consent of and benefit sharing with the owners of such evidence, seeks to remove barriers to participation from women and socially excluded groups, in addition to appropriate procedures related to the collection, storage and use of personal data.

Reflecting these ethical considerations, all projects should consider and set out the central role of evidence **throughout the project and beyond**, in developing the idea and approach, strengthening the implementation of the project, and the uptake of new evidence to help secure the project's legacy.

Where projects are proposed in geographic/thematic areas with existing related activities, demonstrating an understanding of these, how the proposed project aligns, and how the project adds value will help support the case for the project. Conversely, a lack of awareness or understanding of related activities can undermine confidence in the proposal.

## 8.3. Value for money

Projects will need to demonstrate strong value for money in terms of expected impacts from each pound spent.

### What is value for money?

- **Value for money means aiming for the best feasible project for amount spent.** This means drawing on evidence to carefully appraise possible objectives and delivery options.
- **It does not mean only doing the cheapest things.** We need to understand what drives costs and make sure that we are getting the best outcomes for the lowest price.
- **Nor do we just do the easiest things to measure.** We need to explain what we value, be innovative in how we assess and monitor value for money and what results we are trying to achieve with UK taxpayers' money.
- **Value for money is not something that applies only to project design.** It should drive decision making throughout the project cycle and in relation to running costs and evaluations.

Project partners must demonstrate that they are pursuing **continuous improvement** and applying stringent **financial management and governance** to reduce waste and improve efficiency. This can include the consideration of **evidence** from relevant historical and existing initiatives, and reflect this in project design, incorporating lessons learnt, to maximise the chance of success.

Projects are encouraged to secure **matched funding** to help meet the total cost of the project, from public and/or private sources, as well as **quantified in-kind contributions** as far as possible.

Projects are expected to demonstrate openness, honesty and realism about capacity and capability, **accepting accountability and responsibility** for performance **along the project chain** (see the Finance Guidance for further details).

**Projects should not significantly cut across or duplicate the work of others as this is inefficient and provides poor value for money. Projects should openly acknowledge the work of others (past and present) and demonstrate in their application an understanding of projects within their area (thematically and/or geographically) to clearly establish how the project will be complementary and add value.**

## 8.4. Ethics

Projects will need to meet the key principles of good ethical practice and demonstrate this in the application. All projects must:

- meet **all legal and ethical obligations** of all countries and organisations involved in the project, including securing necessary ethics approvals;
- follow **best practice** where legislation is incomplete or absent;
- include **strong leadership and participation from contributing countries and the communities involved** to enhance the incorporation of their perspectives, interests

and knowledge, in addressing the wellbeing of those directly impacted by the project;

- recognise the value and importance of **traditional knowledge**, alongside international scientific approaches, and methods;
- respect the **rights, privacy, and safety of people** who are impacted directly and indirectly by project activities;
- use **Prior Informed Consent (PIC) principles** with communities;
- protect the **health and safety** of all project staff;
- uphold the **credibility of evidence**, research and other findings;
- **remove barriers to participation** in research;
- **enhance transparency** as a commitment to share and communicate research and evidence findings;
- **be of practical value.**

**Funding may be frozen or withdrawn in the event that these principles are not met.**

Staff involved in the design or conduct of research should maintain the independence and integrity of the process, including intellectual detachment from personal convictions relating to the topic.

## 8.5. Gender equality and social inclusion (GESI)

**Projects will need to consider how they will contribute to promoting equality between persons of different gender and social characteristics and do so in a way that contributes to poverty reduction, with activities expected to deliver equitable net benefits for all.**

### What is gender equality? What is social inclusion? Why are they important?

**Gender Equality** is about addressing inequalities and transforming the distribution of opportunities, choices, and resources available to girls, women and non-binary individuals so that they have equal power to shape their lives and participate in the process thereby increasing equality between people of all genders.

Evidence from the *Ecosystem Services for Poverty Alleviation* ([www.espa.ac.uk](http://www.espa.ac.uk)) programme demonstrates that individuals access resources differently depending on their gender and social background. In addition to the strong evidential basis, regard for and a prioritisation of gender equality and social inclusion is clearly set out in amongst others: the International Development (Gender Equality) Act 2014, UK's International Development Strategy (2022) and UN's Sustainable Development Goals (SDGs).

It should be noted that **stakeholders are not homogenous groups**, and have additional layers of diversity and social identity including gender, ethnicity, caste, age, religion, sexuality, disability status, and income that need to be considered within the design and delivery of projects.

**Social Inclusion** refers to the process of improving the terms for individuals and groups to take part in society, and the process of improving the ability, opportunity and dignity of people disadvantaged and historically excluded from decision making and spheres of influence on the basis of their identity to take part in society.

**Projects will be assessed against the approach taken to promoting equality between persons of different gender and social backgrounds and ensuring individuals achieve equitable outcomes.** To shape and inform all marine protection and poverty reduction



actions, it is **vital to understand** gender and social characteristics in differentiating marine protection practices, knowledge acquisition and usage, as well as inequalities in control over resources.

As no action is neutral, by not giving due consideration to gender equality and social inclusion (GESI), projects could unintentionally exacerbate inequalities, reinforce barriers, or cause harm to already disadvantaged groups. Projects that have successfully considered or even mainstreamed GESI appropriately into their design at an early stage, including assessing the implications for everyone, are considered to result in more equitable outcomes because they understand and reflect their community needs.

All projects are expected to report **indicators disaggregated by GESI** where applicable (see the Monitoring, Evaluation and Learning Guidance for more information).

**Please note that all projects are expected to provide at least one GESI related risk as part of their risk framework, both at the application stage and at the project implementation stage.** Some questions to consider early on:

- What are the prevailing gender and social norms in the host country in relation to division of labour, access and control of resources, and ability to participate in decision making?
- How do these prevailing norms affect the project, in terms of what it can achieve, how will it engage with stakeholders and how it needs to be designed?
- How will the project impact (positively and negatively) girls, boys, women, and men in their domestic, economic and community roles and responsibilities and in term of access to and control over assets?
- How will the project ensure equitable opportunities for all to influence and participate in decision making?
- Does the intervention address underlying barriers that exclude certain groups from accessing opportunities created?
- How will risks and unintended negative consequences be identified, avoided, or mitigated against, and monitored?

#### **Some additional guidance on GESI**

For help on how to integrate gender and social equity into conservation programming, please refer to [Integrating Gender & Social Equity into Conservation Programming](#).

## **8.6. Safeguarding against Sexual Exploitation, Abuse and Harassment (SEAH)**

**Projects will need to ensure that everyone regardless of age, gender identity, disability, sexual orientation, ethnic origin, or other protected characteristic<sup>4</sup> has the right to be protected from all forms of harm, abuse, neglect and exploitation.**

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<sup>4</sup> OCEAN is a UK government fund, and it is against UK law to discriminate against someone because of a protected characteristic, these are: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation ([www.equalityhumanrights.com/en/equality-act/protected-characteristics](http://www.equalityhumanrights.com/en/equality-act/protected-characteristics)).

Defra has a **zero tolerance for inaction to tackling abuse and/or exploitation of any person** (staff, implementing partners, the public and beneficiaries) by staff or associated personnel involved in grants. Safeguarding is an iterative process; partners must be prepared to discuss and strengthen their safeguarding capability and capacity to **prevent, listen, respond, and learn**.

#### Lead Organisations must:

- have appropriate and proportionate **safeguarding policies and procedures** in place (including but not limited to SEAH), tailored to the project and reflecting GESI factors and power relationships, to **protect staff, implementing partners, the public and beneficiaries**.
- take **all reasonable and adequate steps to prevent** sexual exploitation and abuse and sexual harassment (SEAH) of any person (**staff, implementing partners, the public and beneficiaries**) linked to the delivery of the grant. An **acceptance and adherence** to the IASC 6 Core Principles<sup>5</sup>, as required by the terms and conditions of the grant (see [Annex B: Safeguarding](#)).
- ensure that **all partners** understand and meet the safeguarding standards.
- swiftly and appropriately **action any suspicions or complaints of SEAH** to stop harm occurring, investigate and report to relevant authorities (for criminal matters) when safe to do so and after considering the wishes of the survivor.
- **promptly report to Defra** ([ODA.Safeguarding@defra.gov.uk](mailto:ODA.Safeguarding@defra.gov.uk)) **any and all credible allegations including SEAH** that warrant investigation relating directly to the grant or related indirectly to the grant but could impact the relationship with Defra.

Raising a safeguarding concern with Defra does not necessarily mean funding will be paused if the concern is investigated, and robust action is taken when allegations are upheld. However, **failure to report to Defra any credible allegation that warrants investigation, even in the case where it is determined to be unfounded, may result in the funding being stopped**. The reporting to Defra is in addition to, not a replacement of any mandatory reporting required by others.

The Lead Organisation must be capable of demonstrating that they have:

- 1) a **safeguarding policy**, which includes a statement of commitment to safeguarding and a zero-tolerance statement on inaction to tackling bullying, harassment and sexual exploitation and abuse;
- 2) a detailed and up to date **register of safeguarding issues** raised and how they were dealt with;
- 3) **clear investigation and disciplinary procedures** for allegations and complaints, as well as a clear processes for disclosure;
- 4) **proactively shared** safeguarding policies with all **partners**, ensuring that they understand and meet the required standards, offering support where required;
- 5) an **accessible and clearly communicated whistle-blowing mechanism** which protects whistle blowers from reprisals and includes clear processes for dealing with concerns raised;
- 6) **identified, assessed and monitor safeguarding risks including SEAH** in the project risk framework;

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<sup>5</sup> <https://psea.interagencystandingcommittee.org/update/iasc-six-core-principles>

- 7) have in place a **Code of Conduct** signed by all staff and volunteers that sets out clear expectations of behaviours - inside and outside the workplace - and what will happen in the event of non-compliance or breach of these standards;

In addition, the Lead Organisation is strongly encouraged to demonstrate that they have:

- 8) a **recruitment approach** that includes appropriate background checks of new recruits and consultants;
- 9) **all staff trained** in safeguarding.

**Failure to be able to demonstrate any of the above does not automatically exclude you from applying, rather it can help you identify priority areas for strengthening; if you feel that this applies to you, please contact the OCEAN Grants Administrator.** The Safeguarding Resource & Support Hub ([safeguardingsupporthub.org](http://safeguardingsupporthub.org)) also provides a valuable resource to support the development and delivery of safeguarding objectives.

**Applicants applying for a Community Grant under £100,000 may be exempt from these requirements at application stage. However, will be obliged to develop a Safeguarding policy and meet the requirements detailed above upon award. Support will be provided by NIRAS to develop this within six months of being awarded the grant. The second grant disbursement may be contingent on progress / submission of this policy and meeting the detailed requirements.**

## 8.7. Risk management

**Projects will need to identify and assess risks, treat, or mitigate them, as well as monitor and report risks.** All projects will need to maintain a risk register and regularly submit it as part of the required reporting (see 8.9). Partnership Grants will also be required to maintain and regularly submit a Delivery Chain Risk Mapping (DCRM) and an issues log. Risk management should be considered a continuous process throughout the duration of the project, continually being improved through learning and experience.

See examples of different risk types and descriptions in the table below.

Risk Type	Description
<b>Contextual</b>	in-country socio-political events or unrest, or natural disasters.
<b>Delivery</b>	associated with achieving the aims and objectives of the project (likely to be higher for innovative or high impact programmes).
<b>GESI</b>	potential negative impact that your project or its activities may have on gender equality and/or marginalised or vulnerable groups within a society or community.
<b>Safeguarding</b>	'doing harm' including sexual exploitation abuse and harassment, safety and welfare, or unintended harm to beneficiaries, the public, implementing partners, and staff.
<b>Operational</b>	internal capacity and capability to manage the project (professional competence, experience, and appropriate level of resource in managing programmes and funds).
<b>Fiduciary (financial)</b>	funds not used for intended purposes or not accounted for (fraud, corruption, mishandling or misappropriated).

Risk Type	Description
Reputational	interventions or delivery partners' actions risk any partner's, including Defra's, reputation.

At the application stage, all projects will need to identify and record at least one fiduciary, one safeguarding, one delivery chain, and one GESI related risk. Further guidance is included in the risk register templates provided (one template for Community Grants and one for Partnership Grants).

## 8.8. Communications

Projects will need to clearly communicate how public money is being utilised, given that all OCEAN projects are funded by UK public money (raised through taxation).

Initially at the application stage, each applicant is asked to provide a very short, simply worded summary of what the project will do. If the project is successful, this summary will be used in communication activities. To this end, the summary should be written for a non-technical audience with little or no prior knowledge of the issue, and clearly describe the project plan and intended outcome.

During delivery, projects will be expected to engage and support wider communications and awareness raising activities to inform audiences what they are planning, learning, and achieving. The Grant Administrator will provide guidance and support in this regard.

### 8.8.1. Open access policy and data sharing

The UK Government is committed to push for greater transparency in the availability and use of data to improve accountability, decision making, and to help deliver sustainable development outcomes to people living in poverty.

Projects are likely to generate significant outputs including datasets, best practices, peer-reviewed journal articles and technical reports which will be of value to other countries and stakeholders.

**Projects must make all evidence and data produced freely available and accessible to the public, unless there are particular sensitivities involved.**

Data collection, analysis, management, and storage **protocols** should be established to ensure the **integrity of evidence and its subsequent use** within the project, OCEAN and beyond. This includes all derived and raw data on marine protection and poverty reduction, through appropriate national, regional, and global databases.

#### Examples of some databases

For help in identifying databases, please refer to [Compendium of guidance on key global databases related to biodiversity-related conventions](#). We encourage that where possible and appropriate data is shared directly or indirectly with **Global Biodiversity Information Facility** ([GBIF.org](http://GBIF.org)) for wider accessibility.

Applicants may include appropriate costs in their budget to support open access publishing but be realistic about when articles will be published. It is likely that dates will fall outside the formal project, so it is worth considering matched funding for these costs. Further information on open and enhanced access can be found on [GOV.UK](https://www.gov.uk).

### 8.8.2. Transparency

In order to support understanding and in line with the aim of OCEAN, **successful project applications, along with subsequent reporting, will be published** on the OCEAN website and elsewhere. If there are **any sensitivities** within any of these, for example political sensitivities, or prosecutions for illegal activities, or security of staff, applicants should state them in their application form so that sensitivities can be considered for **redaction prior to publication**.

### 8.8.3. 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 at <https://oceangrants.org.uk/privacy-policy/>. 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 OCEAN including project details (usually title, lead organisation, project leader, location, and total grant value).

## 8.9. Reporting

**Projects will need to provide Annual, and Half Year progress reports that are reviewed each year.** These reports must provide robust reporting against intended objectives. In addition, all projects are required to submit a **Final Report** at the end of the award. To continue receiving funding from OCEAN **reports must be complete and within deadlines. Funding can be stopped if these requirements are not met.**

## 8.10. Monitoring, Evaluation and Learning (MEL)

**Projects will need to adhere to a robust monitoring framework to support both the efficient delivery of the project as well the capability to demonstrate the impact and value for money achieved** (see Monitoring, Evaluation and Learning Guidance for further details).

Examples of different MEL tools and descriptions are provided in the table below.

Tool	Description
<b>Pathway to change</b>	A narrative description of how your project activities will lead to a desired change in marine environment and a reduction in multi-dimensional poverty.
<b>Theory of Change</b>	A visual depiction of how the project will lead to a desired change by outlining the problem, the drivers, enabling conditions and/or potential barriers to project success. It will show how activities, outputs, outcome and impact are linked, and illustrate the narrative in your Pathway to Change.

Tool	Description
<b>Logframe</b>	A monitoring tool to measure progress along a chain of actions and results (i.e. Activities to Outputs to Outcome to Impact). It sets out planned and actual results using indicators, baselines, and targets, and specifies the sources of evidence

**All Community Grants over £100,000** will need to submit a logframe (using the template provided) **at application Stage 2 only. There are no MEL requirements at Stage 1.** Further guidance will be made available on the OCEAN website to support this.

**All Partnership Grants** will need to submit a logframe (using the template provided) and upload a Theory of Change (no template provided) at Stage 1. See the Monitoring, Evaluation and Learning Guidance for further information on the requirements.

## 8.11. Terms and conditions

**All applicants will need to review and fully understand the Terms and Conditions available from Flexi-Grant (<https://ocean.flexigrant.com/>) and from our website (<https://oceangrants.org.uk/>) before making an application to ensure compliance will not be an issue.** Successful applicants will be issued a grant award letter with the Terms and Conditions that apply to the grant, including the grant purpose, value, period, and reporting and financial arrangements. **Defra retains the right to amend these terms and conditions at any time.**

# 9. How to complete an application form

## 9.1. Completing the application form

### All applications must be submitted:

- through **Flexi-Grant** (<https://ocean.flexigrant.com/>), using provided templates where indicated.
- with **fully answered** questions, referencing evidence where possible. The **word count** indicates the level of detail required.
- with the **required supporting evidence** attached.
- **signed**, with a signature (.jpg or .pdf) uploaded as part of the Flexi-Grant application.

**In case of inability to submit via Flexi-Grant, applicants for Community Grants can contact us on [helpdesk@oceangrants.org.uk](mailto:helpdesk@oceangrants.org.uk) to explore alternative means to submit their application.**

### **IMPORTANT: Competition for funding is very strong. Applications which:**

- **are incorrect or incomplete, including missing supporting attachments, or**
  - **do not match all published criteria, including eligible countries and dates, or**
  - **are submitted using the incorrect/unofficial template, or incorrect file format, or**
  - **exceed word count limits**
- will be rejected as ineligible.**

## 9.2. Personal details of Lead and Partner Organisation

Application forms require Community Grants and Partnership Grants applicants to declare key information on the Lead Organisation and the Partner Organisation(s) where applicable. Such key information includes the organisation's full name and website, registered address, average annual income (see the Finance Guideline for how to calculate this), legal status, number of staff, and number and roles of volunteers. This key information will be used to better understand the size, operating context, and capacity of each organisation.

### 9.2.1. Calculating full-time equivalent

Information on the number of staff will be asked as Full-time Equivalent (FTE). FTE is a unit of measurement used to figure out the number of full-time hours worked by all employees. The FTE of an employee is calculated by dividing the number of hours in the employee's working week by the total number of hours they work. For example, an employee working 21 hours in a 35-hour working week would equal 0.6 FTE.

Information on the number and roles of volunteers will be requested only from those organisations that rely substantially on volunteers.

### 9.3. Language of the application form

Application forms and supporting documents are accepted in the following languages:

	Community Grants	Partnership Grants
<b>Application form and provided templates</b>	<ul style="list-style-type: none"> <li>English (preferred)</li> <li>French</li> <li>Portuguese</li> <li>Spanish</li> </ul>	<ul style="list-style-type: none"> <li>English</li> </ul>
<b>Supporting documentation to be uploaded</b>	<ul style="list-style-type: none"> <li>English (preferred)</li> <li>French</li> <li>Portuguese</li> <li>Spanish</li> </ul>	<ul style="list-style-type: none"> <li>English. Unofficial translations are accepted. Only financial reporting can be submitted in French, Portuguese or Spanish.</li> </ul>

Please contact us on [helpdesk@oceangrants.org.uk](mailto:helpdesk@oceangrants.org.uk) if you face challenges meeting the language requirements outlined.

### 9.4. Audio and video

Please note that for **Community Grants only**, it will be possible to answer some questions of your Stage 1 application through an audio or video file (.mp3 or .mov) instead of in writing (duration limits apply as indicated in the application form) to be uploaded on Flexi-Grant. This should be clearly identified in the Flexi-Grant form where applicable.

Please note that the Expert Committee evaluating projects (see 10) will be provided with a **transcript** of your audio or video file, and therefore only information communicated verbally will be assessed as part of your application. Therefore, please make sure to answer the question verbally when submitting audio or video files.

### 9.5. Funding from any other UK Government body

Applicants are required to indicate whether they have received, applied for, or plan to apply for any other UK Government funding for their proposed project or a similar project. If this is the case, applicants are required to disclose details of their applications, explaining how the activities funded by OCEAN are distinct and complementary.

Applicants cannot apply to both OCEAN and the Biodiversity Challenge Funds (BCFs) with the same project. **Failure to declare similar projects could result in applications being rejected under both OCEAN and BCFs.**

### 9.6. Additional guidance

In addition to this guidance document, there are several other guidance documents and resources available which will help applicants in preparing their application. These include:

- Flexi-Grant Guidance
- Finance Guidance



- Monitoring, Evaluation and Learning Guidance

All of the above can be found on our website (<https://oceangrants.org.uk>) and Flexi-Grant (<https://ocean.flexigrant.com>). **Please read all the available guidance. If you have any questions, contact us on [helpdesk@oceangrants.org.uk](mailto:helpdesk@oceangrants.org.uk).**

### 9.7. Supporting evidence

The application form provides sufficient space to present your evidence and make your case. Please note that:

- **ONLY the requested supporting evidence set out below should be submitted with your application.**
- **Each document needs to be submitted as a single file. The application form and Flexi-Grant Guidance detail what file extensions are accepted (.xlm, .pdf, .jpg, .mp3, and .mov).**
- **Audio or video files need to be submitted as a single file.**
- **In the case of CVs and project references, these should be merged into a single .pdf file.**

	Community Grants - under £100,000 Stage 1	Community Grants - under £100,000 Stage 2	Community Grants - £100,000 - £250,000 Stage 1	Community Grants - £100,000 - £250,000 Stage 2	Partnership Grants - Single-Staged
<b>Project Workplan</b>	Not required	Required on Workplan template	Not required	Required on Workplan template	Required on Workplan template
<b>Project Budget</b>	Not required	Required on Budget template	Not required	Required on Budget template	Required on Budget template
<b>Project Logframe</b>	Not required	Not required	Not required	Required on Logframe template	Required on Logframe template
<b>Project Theory of Change</b>	Not required	Not required	Not required	Not required	Required (no template)
<b>Project Risk framework</b>	Not required	Answered in application form	Not required	Answered in application form	Required on Risk Framework template
<b>Evidence of legal status of Lead Organisation</b>	Required by uploading on Flexi-Grant registration certificate or, if not available, a letter of support from Host Governments/ FCDO Post	Required by uploading on Flexi-Grant registration certificate or, if not available, a letter of support from Host Governments/ FCDO Post	Required by uploading on Flexi-Grant registration certificate	Required by uploading on Flexi-Grant registration certificate	Required by uploading on Flexi-Grant registration certificate
<b>Lead Organisation's:</b> • <b>Organisation annual report</b> • <b>Risk framework</b> • <b>Staff management and HR processes</b>	Not required	Not required	Not required	Not required	<b>Will be required only if the project is recommended for funding</b>
<b>Lead Organisation's Financial annual report and accounts</b>	Required by uploading on Flexi-Grant relevant documentation (no need to be audited)	Required by uploading on Flexi-Grant relevant documentation (no need to be audited)	Required by uploading on Flexi-Grant relevant documentation (no need to be audited)	Required by uploading on Flexi-Grant relevant documentation (no need to be audited)	Required by uploading on Flexi-Grant relevant documentation ( <b>to be externally audited</b> )
<b>Lead Organisation's Financial processes (including Foreign</b>	Not required	Not required	Not required	<b>Will be required only if project is</b>	<b>Will be required only if project is</b>

	Community Grants - under £100,000 Stage 1	Community Grants - under £100,000 Stage 2	Community Grants - £100,000 - £250,000 Stage 1	Community Grants - £100,000 - £250,000 Stage 2	Partnership Grants - Single-Staged
<b>Exchange policy, Investment policy and Reserves policy)</b>				<b>recommended for funding</b>	<b>recommended for funding</b>
<b>Project Partners' Staff capacity and capability (CVs or pen portraits)</b>	Not required	Required by completing a pen portrait of each core staff on template in application form	Not required	Required by uploading on Flexi-Grant in a single file a one-page CV for each core staff (see Annex D: Project team CV)	Required by uploading on Flexi-Grant in a single file a one-page CV for each core staff (see Annex D: Project team CV)
<b>Lead Organisation's Project references (including evidence of effective budgetary control)</b>	Not required	Not required	Not required	Required by uploading on Flexi-Grant three project references or, if not available, by completing information on template in application form	Required by uploading on Flexi-Grant three project references or, if not available, by completing information on template in application form
<b>Lead Organisation's Project management processes (e.g., standard operating procedures)</b>	Not required	Required by responding to relevant question in application form	Not required	Required by responding to relevant question in application form. <b>Relevant policy will be required only if project is recommended for funding</b>	Required by responding to relevant question in application form. <b>Relevant policy will be required only if project is recommended for funding</b>
<b>Letter of support from partner organisation</b>	Not required	Required by uploading on Flexi-Grant a letter from each Partner Organisation ( <b>no</b>	Not required	Required by uploading on Flexi-Grant a letter from each Partner Organisation ( <b>no</b>	Required by uploading on Flexi-Grant a letter from each Partner Organisation ( <b>no</b>

	Community Grants - under £100,000 Stage 1	Community Grants - under £100,000 Stage 2	Community Grants - £100,000 - £250,000 Stage 1	Community Grants - £100,000 - £250,000 Stage 2	Partnership Grants - Single-Staged
		<b>template, letter to be on letterheaded paper)</b>		<b>template, letter to be on letterheaded paper)</b>	<b>template, letter to be on letterheaded paper)</b>
<ul style="list-style-type: none"> <li>• <b>Safeguarding policy</b></li> <li>• <b>Whistleblowing policy</b></li> <li>• <b>Gender Equality and Social Inclusion policy</b></li> <li>• <b>Equal Opportunities / Diversity policy</b></li> <li>• <b>Code of Conduct</b></li> </ul>	Not required	<b>Will be required only if project is recommended for funding. If no policy available, policy to be developed with support from NIRAS, upon award. Policy to be attached in first report. Second grant disbursement may be contingent to progress/ submission of policy.</b> NIRAS will provide guidance / template.	Not required	Required by uploading on Flexi-Grant relevant policy	Required by uploading on Flexi-Grant relevant policy
<ul style="list-style-type: none"> <li>• <b>Counter Fraud, Bribery and Corruption policy</b></li> <li>• <b>Ethics policy</b></li> </ul>	Not required	Not required	Not required	<b>Will be required only if project is recommended for funding</b>	<b>Will be required only if project is recommended for funding</b>
<b>Evidence of consultation with British embassy / high commission</b>	Not required	Not required but encouraged so relevant evidence can be uploaded on Flexi-Grant as non-mandatory requirement	Not required	Required by uploading relevant evidence on Flexi-Grant	Required by uploading relevant evidence on Flexi-Grant

## 10. Assessment process

### 10.1. General process for grants

All eligible applications that meet the required standard will be assessed by the **OCEAN Expert Committee** (EC), who are independent experts in marine protection and sustainable development.

The EC follows a **strict code of practice**: if any member has been involved in or is closely associated with an application, the applicant, or a project partner, they **declare their interest** and play no role in its assessment or discussion at the Sift meeting.

Defra reserves the right to apply more stringent assessment at the Initial Review if the number of applications is high to ensure that the experts can robustly review those with the highest chance of being discussed at the Sift Meeting.

**Due diligence will be conducted on all projects recommended for funding prior to award.**

### 10.2. Community Grants (Stage 1 & Stage 2)

An overview of the steps for assessing Community Grants applications is:

- 1) **Initial Review:** Applications that are incomplete or do not meet the essential eligibility criteria or compliance standard will be rejected. Applicants will always be informed of the reasons for rejection.
- 2) **Independent Expert Assessment:** Applications are reviewed and scored by at least three experts, against the assessment criteria (see 11) to inform the discussion at the Sift meeting.
- 3) **First Sift meeting:** The experts discuss scores and comments and agree the shortlisted applications and clarification points.
- 4) **Stage 2 applications:** Shortlisted applications are required to submit a Stage 2 application form.
- 5) **Independent Expert Assessment:** Applications are reviewed and scored by at least three experts, against the assessment criteria (see 11) to inform the discussion at the Sift meeting.
- 6) **Second Sift meeting:** The experts discuss comments and agree the strongest applications to recommend for funding.
- 7) **Funding Decision:** Defra reviews the EC's recommendations and awards the grants.

### 10.3. Partnership Grants (Single-Staged)

An overview of the steps for assessing Partnership Grants applications is:

- 1) **Initial Review:** Applications that are poor quality, incomplete or do not meet the essential eligibility criteria or standard will be rejected. Applicants will be informed of the reasons for rejection.
- 2) **Independent Expert Assessment:** Applications are reviewed and scored by at least three experts, against the assessment criteria (see 11) to inform the discussion at the Sift meeting.
- 3) **First Sift meeting:** The experts discuss comments and agree the strongest applications to recommend for inviting to interview.
- 4) **Interview:** The shortlisted applicants are required to attend a virtual interview to respond to clarification questions from EC.
- 5) **Second Sift meeting:** The experts discuss the applicants' responses and agree the strongest applications to recommend for funding.
- 6) **Funding Decision:** Defra reviews the EC's recommendations and awards the grants.

## 10.4. Results of applications

Once the funding decision has been made, **all Lead Applicants (both successful and unsuccessful) will receive notification via email.**

Defra retains the **right to clarify any issues** raised during the application process or to award funding **subject to required amendments**. If the applicant is subsequently unable to meet the requirements of the award, Defra retains the right to withdraw the offer.

## 10.5. Feedback

**Feedback is a valued method to support the development of capability of potential applicants and strengthen current or future proposals in support of the objectives of the funds.**

**Applicants recommended to Defra for funding** are provided **specific feedback upon award**. If significant, this feedback may form a formal caveat that will need to be addressed by the project by a specific deadline to allow funding to continue. Other feedback points will be provided as recommendations to strengthen your project and it is advised that you address these where possible, and report on any actions you have taken to address this feedback in your first report.

**Community Grants** applicants invited to submit a Stage 2 application are provided **specific feedback** on their Stage 1 application; this **must be responded to** in their Stage 2 application.

**Near-misses**, that is applications that are considered **competitive but narrowly miss** being invited to Stage 2 or recommended to Defra for funding are provided **specific feedback** on how to strengthen future applications.

**Non-Competitive applications** that are significantly below the expected standard and would require substantial work to be competitive, are not provided with specific feedback but will be provided general recommendations and are encouraged to consider application guidance and other available resources ahead of any future applications. This feedback is also utilised when reviewing funding guidance, workshops, and articles.

## 10.6. Resubmission of applications

OCEAN will accept the resubmission of an unsuccessful application for both Community and Partnership Grants. However, to be eligible for funding, resubmitted applications must clearly demonstrate how they have addressed and responded to any feedback provided.

A question to respond to feedback will be provided in the application form. Applications that do not address feedback or clearly detail how they have responded to the recommendations made, will be identified as ineligible. Responses to feedback will also be reviewed by the Expert Committee as part of the assessment process.

## 10.7. Limit to the number of applications from the same Lead Organisation

There is **no limit** on the number of applications a Lead Organisation may submit, but we would strongly encourage **internal co-ordination to ensure all submissions are truly competitive**; Defra will consider the number of applications from an organisation as part of their decision-making process when awarding grants.

# 11. Assessment criteria and scoring

Each application is assessed against the criteria outlined in the table below. At least **three experts assess** each application, with the scores combined into the **application score**; **this score only informs the Sift Meeting, it does not determine the outcome.**

All grants are expected to demonstrate an **acceptable level of evidence** (4 points or more in each score) to exceed the **indicative competitive threshold.**

Score	Community Grants	Partnership Grants
Technical Merit	0-6 points	0-6 points
Marine Impact	0-6 points	0-6 points
Poverty Reduction	0-6 points	0-6 points
Capability & Capacity	0-6 points	
Scaling Potential		0-6 points

## 11.1. Assessment criteria for the Community Grants

Applications for Community Grants will be assessed against the following scoring criteria. Each criteria will be scored with 0-6 points.

### Technical Merit (0-6 points)

- 1) The evidence-based methodology and budget outlined is robust, clear, and appropriate to meet the identified need and achieve the targeted outcome, within a realistic timeframe.
- 2) Demonstrates how it will strengthen the capability and capacity of local partners, and further empower them.
- 3) Risks are clearly identified, assessed, and have robust mitigation actions.
- 4) Safeguarding and ethical issues are identified and will be managed to Defra standards.
- 5) Gender inequality is understood and reflected in the design, monitoring, and evaluation of the project; intentional or unintentional increased inequality will be prevented.
- 6) The Project Team has the capability and capacity to deliver at a high-quality technical and professional standard as evidenced by the submitted CVs and includes identified local partners.

### Marine Impact (0-6 points)

- 1) Will make a clear contribution to an identified need in the marine environment.
- 2) The work is new and additional, building on, not repeating past or duplicating current activities.
- 3) Improves the conservation, restoration, and sustainable use of the marine environment.
- 4) Clear logic of why and how its outputs will contribute towards the outcomes highlighted in the OCEAN theory of change, including how these will be monitored and evidenced.



## Poverty Reduction (0-6 points)

- 1) The project objectives clearly demonstrate how it aims to deliver lasting benefits for poor and/or marginalised and vulnerable communities.
- 2) In helping to reduce poverty of identified communities, the project also contributes to the conservation and/or sustainable use of marine environments.
- 3) Upper-Middle Income Countries projects also demonstrate that they will either:
  - a) have an impact in Least Developed or Low-Income Countries, or
  - b) contribute to the global public good, or
  - c) contribute to a critical issue that could not be made elsewhere.
- 4) Strong understanding and empowerment of in-country local organisations and communities through evidence of early engagement, clearly identifying who, how many will benefit, and how they will benefit.
- 5) Safeguarding and ethical issues are identified and will be managed to Defra standards.
- 6) Gender inequality is understood and reflected in the design, monitoring, and evaluation of the project; intentional or unintentional increased inequality will be prevented.

## Capability & Capacity (0-6 points)

- 1) Demonstrates strong evidence of an identified in-country capability and capacity need, particularly at the local level.
- 2) The proposal connects organisations (and individuals) with a capability and capacity need with project partners with relevant experience.
- 3) The work is new and additional, building on and not repeating past training, capability or capacity building and strengthening.
- 4) The methodologies to build and embed capability and capacity are sound and appropriate.
- 5) The proposed approach includes hands-on, field or practical activities to apply and embed new skills and knowledge.
- 6) The grant is focused and will strengthen the capability and capacity within an identified and defined geographic and sectoral area.
- 7) There is a clear legacy that the strengthened capability and capacity will result in new high-quality in-country activities and projects with strong marine conservation and poverty reduction objectives.

## 11.2. Assessment criteria for the Partnership Grants

Applications for Partnership Grants will be assessed against the following scoring criteria. Each criteria will be scored with 0-6 points.

### Technical Merit (0-6 points)

- 1) The evidence-based methodology and budget outlined is robust, clear, and appropriate to meet the identified need and achieve the targeted outcome, within a realistic timeframe and a well-defined exit strategy in place.
- 2) Demonstrates evidence of a highly collaborative approach, involving early and strong participation and empowerment of local partners, stakeholders, and communities.
- 3) As appropriate, the project includes work that is innovative and distinctive, with targeted Outputs and Outcomes that are new, additional, and measurable (SMART), aligned to

Monitoring Evaluation and Learning Guidance; it will not cut across or duplicate work already being funded or completed.

- 4) Provides a clear plan of how it will make evidence (including data, lessons learnt and best practices etc.) widely available and accessible.
- 5) Demonstrates how it will strengthen the capability and capacity of local partners, and further empower them. Emphasis should be placed on partnering with small-scale, local organisations and community groups where possible.
- 6) Demonstrates good value for money, including the ability to leverage additional matched funding, in terms of the scale and legacy of the expected impact relative to cost.
- 7) Risks are clearly identified, assessed, and have robust mitigation actions.
- 8) Safeguarding and ethical issues are identified and will be managed to Defra standards.
- 9) Gender inequality is understood and reflected in the design, monitoring, and evaluation of the project; intentional or unintentional increased inequality will be prevented.
- 10) The Project Team has the capability and capacity to deliver at a high-quality technical and professional standard as evidenced by the submitted CVs and includes identified local partners.

### Marine Impact (0-6 points)

- 1) Will make a clear contribution to an identified need in the marine environment of the country/countries.
- 2) The work is new and additional, building on, not repeating past or duplicating current activities.
- 3) Improves the conservation, restoration and sustainable use of the marine environment.
- 4) Clear logic of why and how its outputs will contribute towards the outcomes highlighted in the OCEAN theory of change, including how these will be monitored and evidenced.
- 5) Integrates evidence and management of land, water and living resources to promote conservation and sustainable use in an equitable way.
- 6) Strengthens how evidence from the marine environment is incorporated into poverty reduction objectives and economic decision making at the local and/or national level.

### Poverty Reduction (0-6 points)

- 1) The project objectives clearly demonstrate how it aims to deliver lasting benefits for poor and/or marginalised and vulnerable communities.
- 2) Clear logic of why and how its outputs will contribute towards the outcome for poverty reduction, including how these will be monitored and evidenced.
- 3) Upper-Middle Income Countries projects also demonstrate that they will either:
  - a) have an impact in Least Developed or Low-Income Countries, or
  - b) contribute to the global public good, or
  - c) contribute to a critical issue that could not be made elsewhere.
- 4) In helping to reduce poverty of identified organisations and communities, the project also contributes to the conservation and/or sustainable use of marine environments.
- 5) Strong understanding and empowerment of in-country local organisations and communities through evidence of early engagement, clearly identifying who, how many will benefit, and how they will benefit.
- 6) Safeguarding and ethical issues will be managed to a Defra standard.

- 7) Gender inequality is understood and reflected in the design, monitoring, and evaluation of the project; intentional or unintentional increased inequality will be prevented.

### Scaling Potential (0-6 points)

- 1) The Lead Organisation is highly organised and has the capabilities to deliver the project at this scale.
- 2) The approach demonstrates an understanding of human behaviour and intends to empower people and/or local organisations and communities with the necessary capabilities, knowledge and control.
- 3) Smaller interventions present a strong evidence base to provide confidence that the project can deliver at this scale on a pathway to greater ambition.
- 4) The Lead Organisation is well connected within and externally to the project, supporting the mobilisation of knowledge and resources.
- 5) Factors impacting and trade-offs between the rates of uptake and the proportion of adoption is understood.
- 6) The approach is adaptive and agile, capable of responding to feedback on progress.
- 7) Impact can still be delivered if uptake is significantly lower or slower than anticipated.

### 11.3. Assessment scoring

Each Expert Committee member will be asked to provide a single score (0-6) as detailed in table below:

Scoring	Description
<b>6</b>	<p><b><u>Strong Demonstration:</u></b></p> <p>Substantial evidence presented that the grant application <b>meets all of the criteria, with no concerns raised</b>; the majority of which are met to a high standard. There may be a few minor issues which if addressed may improve the project, but they are unlikely to be detrimental to the delivery of the project and should not prevent it from being funded without changes being made. It is likely to significantly contribute to the objectives of the OCEAN grants programme.</p>
<b>5</b>	<p><b><u>Good Demonstration:</u></b></p> <p>Good evidence presented that the grant application <b>meets most of the criteria, no major concerns identified</b>. The met criteria are mostly to a high standard. There are minor issues that could improve the project but should not prevent it from being funded. It is likely to strongly contribute to the objectives of the OCEAN grants programme.</p>
<b>4</b>	<p><b><u>Acceptable Demonstration:</u></b></p> <p>The grant application <b>meets most of the criteria, no major concerns identified</b>. The criteria it does meet are often to a good standard. There are a few minor issues that would improve this grant application which they would be advised to consider if funded. It is likely to contribute to the objectives of the OCEAN grants programme.</p>
<b>3</b>	<p><b><u>Moderate Demonstration:</u></b></p> <p>The grant application <b>meets many of the criteria, some concerns raised</b>. Those met criteria are largely to an acceptable standard, and the concerns can be</p>

Scoring	Description
	addressed. It has the potential to contribute to the objectives of the OCEAN grants programme, if the issues are addressed to strengthen it.
2	<b>Weak Demonstration:</b> The grant application <b>meets some of the criteria or has raised concerns</b> . Those criteria it does meet are to a modest standard, but the grant application requires important changes to address the concerns and assessment criteria in order to make it competitive.
1	<b>Minimal demonstration:</b> The grant application is unsatisfactory and <b>meets only a few criteria or raises important concerns</b> . The grant application is likely to require significant revision.
0	<b>Not demonstrated:</b> The grant application <b>fails to meet any of the criteria outlined and raises serious concerns</b> e.g., flawed approach, subject to serious technical difficulties or risks, unclearly written that it cannot be properly assessed, or is duplicative.

## 11.4. Gender Equality and Social Inclusion (GESI)

OCEAN is committed to ensuring that all projects supported by the Fund will do not harm and will not exacerbate inequality. To support this, the OCEAN Expert Committee will assess all applications to understand how prospective projects will contribute to / promote gender equality and social inclusion (GESI) through their activities. Projects will be assessed and categorised into one of the following GESI Levels:

GESI unaware	GESI sensitive	GESI empowering	GESI transformative
<p>Lack of social and gender analysis means that the project may fail to acknowledge the role of gender and exclusion. These do not necessarily do harm but may indirectly support the status quo.</p> <p>Failure to effectively consult with women and marginalised groups (including people living in poverty, Indigenous People and Local Communities) that are impacted by the project.</p> <p>Lack of disaggregated data in MEL systems.</p>	<p>Social and gender analysis conducted and used to be confident that the project <u>will “do no harm”</u> and will not exacerbate inequality.</p> <p>Projects <u>assess impact</u> of activities on women and men, and relationships between them.</p> <p>Stakeholder consultation includes women and marginalised groups, with evidence presented to support this.</p> <p>Logframe includes data disaggregated to track impacts of activities on women</p>	<p>Social and gender analysis used to <u>understand and address practical barriers &amp; support opportunities</u> for increased equality in access to assets, resources, capabilities and opportunities, such as jobs, markets, services, skills, knowledge and decision-making.</p> <p>Participation of women and marginalised groups in planning/ design processes.</p> <p>Logframe includes data disaggregated to track impacts of interventions on diverse groups,</p>	<p>Social and gender analysis used to address prevailing power relations and support <u>institutional and societal level change</u> to be gender &amp; Inclusion sensitive.</p> <p>Involves challenging social norms and breaking stereotypes for women, men and marginalised people.</p> <p>Women and marginalised groups have active control over resources and decisions in the context of the project, including support for rights-based civil society such as women’s/Indigenous Peoples/OPDs,</p>

GESI unaware	GESI sensitive	GESI empowering	GESI transformative
<p>Lack of expertise / resourcing dedicated to GESI.</p> <p>Lack of social and gender analysis may result in safeguarding risks not being identified or adequately mitigated against.</p> <p>Safeguarding policies and procedures may not be well established and/or project stakeholders may not be aware of available reporting channels to raise concerns.</p>	<p>and other targeted groups, where relevant.</p> <p>Relevant GESI expertise and resources are drawn on as needed</p> <p>Social and gender analysis supports identification of suitable Safeguarding / GESI risks and mitigation actions which are monitored via the <u>risk management process</u>.</p> <p>Delivery partners have robust safeguarding measures in place, assessed through <u>due diligence</u>.</p> <p>Safeguarding policies and procedures are well established and effectively managed by all project partners. All project stakeholders are made aware of reporting channels to raise any concerns.</p>	<p>includes a GESI focused outcome and/or indicators.</p> <p>Dedicated staff time working on GESI and ability to draw on relevant expertise and resources.</p> <p>Social and gender analysis supports identification of GESI / Safeguarding risks and mitigation actions which are monitored via the <u>risk management process</u>.</p> <p>Delivery partners have robust safeguarding measures in place, assessed through <u>due diligence</u>.</p> <p>Safeguarding policies and procedures are well established and effectively managed by all project partners. All project stakeholders are made aware of channels to raise any concerns.</p>	<p>enabling their leadership and collective action to strengthen their decision-making, agency and control.</p> <p>Data disaggregated to track impacts of interventions on diverse groups, gender and inclusion as a principal programme objective.</p> <p>Significant dedicated resources and GESI experts a core part of the delivery team.</p> <p>Social and gender analysis supports identification of Safeguarding risks and mitigation actions which are monitored via the <u>risk management process</u>.</p> <p>Delivery partners have robust safeguarding measures in place, assessed through <u>due diligence</u>.</p> <p>Safeguarding policies and procedures are well established and effectively managed by all project partners. All project stakeholders are made aware of channels to raise any concerns.</p>

We expect applications to the **Partnership Grants** to be GESI sensitive at a minimum and where possible demonstrate progress towards becoming GESI Empowering.

For **Community Grants**, we expect applications to demonstrate that their project will “do no harm” and will not exacerbate inequality at a minimum. Where possible, Community Grants should demonstrate that they are able to meet the other GESI Sensitive criteria. Support will be provided to Community Grants projects to meet GESI Sensitive criteria upon award.

Projects will be expected to report against their progress towards promoting GESI in their Annual Reports.

# Appendix 1: Global Context

## Marine ecosystems, poverty and livelihoods

Over-extraction, habitat destruction, biodiversity loss, pollution and climate change all threaten the health of the ocean. Marine environments and the biodiversity within them have historically been undervalued in economic and policy decision-making, as have the goods and services that they provide such as cultural and traditional significance, societal well-being and resilience, and natural infrastructure to mitigate the effects of climate change.

The most severe impacts from marine ecosystem degradation, such as food and water insecurity, loss of nutrition, loss of employment and income, and the erosion of social cohesion, will be felt most by those who rely directly on marine resources for their livelihoods<sup>6</sup>. Those living in coastal communities and small island developing states (SIDS) are especially vulnerable, where the poorest and marginalised often rely on the ocean not only for their livelihoods, but for nutrition, economic growth, and climate resilience<sup>7</sup> <sup>8</sup>. By 2030 it is expected there will be 900 million people living in these areas<sup>9</sup> where poverty, vulnerability, and a lack of alternative livelihoods can also be drivers of marine habitat loss, with resulting impacts on communities' resilience to climate change compounded.

Poorer households and communities are also less likely to have access to the services (such as innovative technological solutions, public/social services, opportunities for savings, equitable access to markets etc.) or resources (social, political, financial, technological etc.) to build resilience. They often have significantly less involvement in the decision-making processes necessary to increase their ability to protect the marine environment and to adapt to climate change. This lack of resources disproportionately affects women<sup>10</sup>, who make up the majority of the world's poor, and other vulnerable groups such as indigenous peoples<sup>11</sup>, remote communities, persons with disabilities, vulnerable children, and the elderly<sup>12</sup>. If projects or policies are implemented without women's meaningful participation, it has been shown that their effectiveness can decrease, and existing inequalities increase<sup>13</sup>.

Despite advancements in achieving an end to poverty, global extreme poverty rose in 2020 for the first time in over 20 years, with the disruption of the Covid-19 pandemic compounding the forces of conflict and climate change, which were already slowing poverty reduction progress<sup>14</sup>.

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<sup>6</sup> IPCC (2022), [Sixth Assessment Report: Impacts, Adaptation, and Vulnerability](#), The Intergovernmental Panel on Climate Change, United Nations, NYC

<sup>7</sup> Ibid.

<sup>8</sup> FAO (2020), [The State of World Fisheries and Aquaculture](#), Food and Agricultural Organisation of the United Nations, Rome

<sup>9</sup> [Future Coastal Population Growth and Exposure to Sea-Level Rise and Coastal Flooding - A Global Assessment](#), Neumann (2015)

<sup>10</sup> UNFCCC (2019), [Introduction to Gender and Climate Change](#), United Nations Climate Change Secretariat, United Nations, YouTube

<sup>11</sup> IPCC (2022), [Sixth Assessment Report: Impacts, Adaptation, and Vulnerability](#), The Intergovernmental Panel on Climate Change, United Nations, NYC

<sup>12</sup> UNFCCC (2018), [Considerations regarding vulnerable groups, communities and ecosystems in the context of the national adaptation plans](#) (2018), Least Developed Countries Expert Group, United Nations Climate Change Secretariat, Bonn

<sup>13</sup> UNFCCC (2019), [Introduction to Gender and Climate Change](#), United Nations Climate Change Secretariat, United Nations, YouTube

<sup>14</sup> World Bank (2020), [Poverty and Shared Prosperity 2020: Reversals of Fortune](#), World Bank Group

About 100 million additional people are now living in poverty as a result of the pandemic<sup>15</sup>. As such, over the past decade we have seen environmental and corresponding societal risks grow and steadily climb to the top of the World Economic Forum's annual risk reports<sup>16</sup>.

## Addressing the challenge: key barriers

The ocean economy is expected to grow faster than the global economy as a whole over the next decade<sup>17</sup>, presenting opportunities for developing countries to grow their blue economies and improve the livelihoods of their people. However, there are considerable challenges to ensuring this growth also tackles the key marine and development issues at the local and community level in a sustainable way.

### The ocean financing gap

In the last 10 years, less than 1% (USD ~\$13 billion) of the total value of the ocean has been invested in sustainable projects, mostly through philanthropy and ODA<sup>18 19</sup>, despite the fact that the ocean supports the livelihoods of one in ten people globally<sup>20</sup>. Available evidence indicates that current financial flows are insufficient to meet the costs of the coastal and marine impacts of climate change<sup>21</sup>. In their report, the cost of saving our ocean - estimating the funding gap of sustainable development goal 14, researchers estimate that restoring the health of our ocean by 2030 would require total finance flows of US\$174.52 billion per year<sup>22</sup>.

### Marine resources are not equitably managed

Access to ocean resources is rarely equitably distributed, and inequity is a systemic feature of the current ocean economy<sup>23</sup>. Inequalities are also deeply embedded and rooted in existing political and economic systems, the result of historical legacies and prevailing norms<sup>24</sup>.

Inequity manifests in multiple ways, for example: in the unfair distribution of commercial fish catches; in areas where sectors such as tourism, urban development, port infrastructure, energy and transport are expanding and competing; in the limited political power of local communities, particularly women, disabled persons and other minority groups, and their limited engagement in decision-making; and the consolidated interests of certain agenda-setting groups<sup>25</sup>. The 2022 IPCC report, the latest on climate impacts, adaptation and vulnerability, introduced new, unprecedented language to reflect this: *Vulnerability to climate change differs substantially*

<sup>15</sup> Mahler, D G, et al (2021), [Updated estimates of the impact of COVID-19 on global poverty: Turning the corner on the pandemic in 2021?](#), World Bank Group

<sup>16</sup> WEF (2022), The Global Risks Report, The Global Risks Report 2022, 17th Edition, World Economic Forum

<sup>17</sup> OECD (2020), Reframing Financing and Investment for a Sustainable Ocean Economy, OECD Environment Policy Paper No. 22

<sup>18</sup> Sumaila, U.R., M. Walsh, K. Hoareau, A. Cox, et al. (2020), *Ocean Finance: Financing the Transition to a Sustainable Ocean Economy*, Washington, DC: World Resources Institute

<sup>19</sup> [Economist Impact \(2022\) Why we need to tackle the ocean funding crisis](#)

<sup>20</sup> Selig, E R et al (2018), *Mapping global dependence on marine ecosystems*, Conservation Letters 2019;12:12617; UN (press release, 2017)

<sup>21</sup> Sumaila, U.R., M. Walsh, K. Hoareau, A. Cox, et al. (2020), *Ocean Finance: Financing the Transition to a Sustainable Ocean Economy*, Washington, DC: World Resources Institute

<sup>22</sup> Johnsen, D F., and Vestik, R A (2020), 'The cost of saving our ocean - estimating the funding gap of sustainable development goal 14', Marine Policy, Vol. 112 (103783)

<sup>23</sup> Österblom, H., C.C.C. Wabnitz, D. Tladi et al. (2020), *Towards Ocean Equity*, Washington, DC: World Resources Institute

<sup>24</sup> Ibid.

<sup>25</sup> Ibid.

among and within regions driven by patterns of intersecting socio-economic development, unsustainable ocean and land use, inequality, marginalisation, historical and ongoing patterns of inequality such as colonialism, and governance<sup>26</sup>. Without appropriate action climate change will create new - and worsen existing - challenges of fairness and equity faced by developing countries, regions and communities reliant on marine livelihoods<sup>27</sup>.

### Local communities are unable to access funding to ensure viable alternative livelihoods

As they battle a warming ocean, rising sea level and other challenges, vulnerable and marginalised communities are increasingly facing depleted resources without the ability to seek alternative livelihoods, or employment opportunities. Local poverty is often a proximate driver of marine biodiversity and ecosystem loss and degradation, e.g., through overexploitation of natural resources, waste mismanagement, or increasing coastal development. Since the 1980s, efforts have sought to reconcile local conservation and development priorities<sup>28</sup>, which is now widely recognised as imperative if solutions are to be sustainable<sup>29</sup>. However, the provision of alternative, less environmentally damaging livelihoods can only be successful if they are of genuine economic benefit to the communities concerned and are supported by an understanding of the social-cultural drivers behind current practices<sup>30</sup>.

### Inaccessible/difficult-to-access decision-making processes

Poorer households and communities often have significantly less involvement in the decision-making processes necessary to increase their ability to protect the marine environment and to adapt to climate change. Indigenous and local communities, locally based NGOs, and civil society organisations, including those that prioritise women's participation in decision-making, should form an integral part of the decision-making process on these issues. They form a vital link to local authorities and governance agencies, which in turn are connected to national, regional, and international institutions. The ability for these people and organisations – including those focused on women - to partake and influence state policies is, therefore, fundamental to achieving a balance of local and strategic objectives<sup>31</sup> and to align local socio-cultural concerns and global environmental issues.

### Information gaps

A lack of awareness of marine resource measures, understanding of the differential impacts of activities by gender (for example), and accessibility of information, resources, and options to manage marine ecosystems sustainably limits the effectiveness of policymakers, communities, and private agents.

<sup>26</sup> IPCC (2022), [Sixth Assessment Report: Impacts, Adaptation, and Vulnerability](#), The Intergovernmental Panel on Climate Change, United Nations, NYC

<sup>27</sup> Österblom, H., C.C.C. Wabnitz, D. Tladi et al. (2020), *Towards Ocean Equity*, Washington, DC: World Resources Institute

<sup>28</sup> Roe, D (2008), 'The origins and evolution of the conservation-poverty debate: a review of key literature, events and policy processes', *Oryx* 42(4), 491-503

<sup>29</sup> Salafsky and Wollenberg (2000), 'Linking livelihoods and conservation: a conceptual framework and scale for assessing the integration of human needs and biodiversity', *World Development* 28, 1421-1438

<sup>30</sup> Wright et al. (2015), 'Reframing the concept of alternative livelihoods', *Conservation Biology* 30 (1), 7-13

<sup>31</sup> Jones P J S (2014), *Governing marine protected areas: resilience through diversity*, London: Routledge



## Annex A: Eligible countries<sup>32</sup>

Least Developed Countries	Lower Middle-Income Countries	Upper Middle-Income Countries
Angola	Algeria	Albania
Bangladesh	Bhutan	Argentina
Benin	Bolivia	Armenia
Burkina Faso	Cabo Verde	Azerbaijan
Burundi	Cameroon	Belize
Cambodia	Congo	Bosnia and Herzegovina
Central African Rep.	Côte d'Ivoire	Botswana
Chad	Egypt	Brazil
Comoros	Eswatini	Colombia
Djibouti	Ghana	Costa Rica
Eritrea	Honduras	Cuba
Ethiopia	India	Dominica
Gambia	Jordan	Dominican Republic
Guinea	Kenya	Ecuador
Guinea-Bissau	Kyrgyzstan	El Salvador
Haiti	Lebanon	Equatorial Guinea
Kiribati	Micronesia	Fiji
Lao People's Dem. Rep.	Mongolia	Gabon
Lesotho	Morocco	Georgia
Liberia	Nicaragua	Grenada
Madagascar	Nigeria	Guatemala
Malawi	Pakistan	Guyana* <sup>33</sup>
Mali	Papua New Guinea	Indonesia
Mauritania	Philippines	Jamaica
Mozambique	Samoa	Kazakhstan
Nepal	Sri Lanka	Kosovo
Niger	Tajikistan	Malaysia
Rwanda	Tokelau	Maldives
São Tomé and Príncipe	Tunisia	Marshall Islands
Senegal	Ukraine	Mauritius
Sierra Leone	Uzbekistan	Mexico
Solomon Islands	Vanuatu	Moldova

<sup>32</sup> <https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/DAC-List-of-ODA-Recipients-for-reporting-2024-25-flows.pdf>. The table has been modified to reflect the countries temporarily excluded by the UK Government due to current political sensitivities (see 6.1).

<sup>33</sup> For countries marked with \*: any funding allocated for these countries will likely to be limited subject to their expected graduation from the DAC list on 1 January 2026, at which point eligibility for continued ODA funding will cease.

Least Developed Countries	Lower Middle-Income Countries	Upper Middle-Income Countries
Somalia	Viet Nam	Montenegro
South Sudan	Zimbabwe	Montserrat* <sup>34</sup>
Sudan		Namibia
Tanzania		Nauru*
Timor-Leste		Niue
Togo		North Macedonia
Tuvalu		Palau
Uganda		Panama*
Yemen		Paraguay
Zambia		Peru
		Saint Helena
		Saint Lucia
		Saint Vincent and the Grenadines
		Serbia
		South Africa
		Suriname
		Thailand
		Tonga
		Turkey
		Turkmenistan
		Venezuela
		Wallis and Futuna

<sup>34</sup> For countries marked with \*: any funding allocated for these countries will likely to be limited subject to their expected graduation from the DAC list on 1 January 2026, at which point eligibility for continued ODA funding will cease.

# Annex B: Safeguarding

Adapted from on the Inter-Agency Standing Committee (IASC) Six Core Principles<sup>35</sup>:

- 1) Sexual exploitation and abuse by anyone associated with an OCEAN Grants Programme project constitute acts of gross misconduct and are therefore grounds for termination of employment.
- 2) Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief regarding the age of a child is not a defence.
- 3) Exchange of money, employment, goods, or services for sex, including sexual favours or other forms of humiliating, degrading or exploitative behaviour is prohibited. This includes exchange of assistance that is due to beneficiaries.
- 4) Any sexual relationship between those associated with an OCEAN Grants Programme project and a person benefitting from the project that involves improper use of rank or position is prohibited. Such relationships undermine the credibility and integrity of humanitarian aid work.
- 5) Where anyone associated with an OCEAN Grants Programme project develops concerns or suspicions regarding sexual abuse or exploitation by anyone else associated with an OCEAN Grants Programme project, whether in the same organisation or not, they must report such concerns via established reporting mechanisms.
- 6) Everyone associated with an OCEAN Grants Programme project are obliged to create and maintain an environment which prevents sexual exploitation and abuse and promotes the implementation of their code of conduct. Managers at all levels have particular responsibilities to support and develop systems which maintain this environment.

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<sup>35</sup> [psea.interagencystandingcommittee.org/update/iasc-six-core-principles](https://psea.interagencystandingcommittee.org/update/iasc-six-core-principles)

# Annex C: Blue Planet Fund's seven key outcomes

- 1) **Marine protected areas (MPAs) and Other Effective Conservation Measures (OECMs)**  
Countries have increased willingness, capacity, and access to sustainable finance to establish and sustainably, effectively, and inclusively implement and manage MPAs and OECMs within national and international waters.
- 2) **Illegal Unregulated and Unreported (IUU) fishing**  
IUU fishing activities are more effectively monitored, prevented, and deterred and international enablers of IUU are increasingly minimised.
- 3) **International and large-scale fisheries**  
Management of regional and national fisheries and aquaculture is strengthened to deliver sustainable fish stocks and healthy marine ecosystems provide inclusive livelihoods, and reduce overfishing, including by removing or repurposing environmentally harmful subsidies.
- 4) **Solid waste and other forms of marine pollution**  
Waste management systems are strengthened and move towards circular economy approaches that reduce solid waste and other forms of pollution – including ghost gear – entering the marine environment, while supporting inclusive poverty reduction and women's empowerment.
- 5) **Small scale fisheries management**  
Local communities have improved fisheries management knowledge, capacities and incentives, supporting more climate resilient, inclusive and sustainable livelihoods.
- 6) **Critical marine habitats for coastal resilience**  
Locally inclusive approaches that protect, sustainably manage and restore marine ecosystems are demonstrated, scaled, and financed with private sector support, leading to improved biodiversity, ecosystem services and climate resilience of coastal communities.
- 7) **Aquaculture**  
Sustainable, inclusive aquaculture approaches that help restore and avoid harm to the environment are demonstrated and increasingly adopted with private sector support.

## Annex D: Project team CV

**All core staff must be named in the application form and budget.** Core staff includes those that make up the main project team and are critical to project success. Core staff can be from any of the Project Partners.

Applicants must provide a **one-page CV** for these named project staff, to demonstrate that the project will have the capability and capacity to deliver the outcome. **If these named project staff are yet to be recruited, please include a one-page job description. If you are applying for a Community Grant below £100,00, you do not need to provide CVs but pen portrait of each project staff, by compiling the table provided in the application form** (word count required).

The table below provides a guide to relevant and useful CV evidence, and evidence that is less relevant to demonstrating the capability of the core staff.

Useful evidence	What it demonstrates	How assessors will use this
<b>Previous roles/ positions on similar projects</b>	Up to date and relevant expertise.	If the roles listed are relevant to the proposed project, it will demonstrate appropriate experience leading or working on a similar type of project.
<b>Skills and knowledge</b>	Technical or specialist skills and knowledge relevant to the proposed project role.	Relevant skills and knowledge tailored to the project; it will provide evidence of the individual's match to the project.
<b>Country experience</b>	This individual has recent experience of working in project environment (e.g., political, social, legislative).	We do not expect all of the team to have worked in the host country but, we do expect some will have experience working in similar countries. This is especially valued in the senior project roles.
<b>List and scale of project funding received</b>	The individual is good at leading projects, managing the budgets, and fulfilling reporting requirements.	Good evidence of an experienced project leader in running projects.
Less useful evidence		
<b>List of courses/ lectures given</b>	The individual is a recognised teacher.	Gives no indication of their ability in a non-academic setting.
<b>List of job titles held</b>	Range of experience.	If this is a list of job titles i.e., lecturer, coordinator, researcher then it is unlikely this list will provide much useful detail.
<b>List of published papers</b>	Academic or scientific achievement but may not be relevant to the project.	A list of all papers ever published is of little interest to reviewers. A tailored list of papers, relevant to the project, will demonstrate expertise in this area.
<b>List of post graduate students</b>	This individual is a recognised research supervisor.	Doesn't show that the individual is capable of undertaking project work, although may be relevant if the project involves significant mentoring of local students.