

# Fish Welfare Initiative's Reporting of Programs, Financials, Leadership, and Culture (2022)

*This document contains responses written by the charity. ACE has made no content changes other than the removal of confidential information.*

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## **PROGRAM 1**

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**Program name:** Standard Setting (India)

**Date commenced (approximate month & year):** October 2021

**Program description:**

Country: India

Species: Indian major carp

The main target outcome here is to continuously improve our welfare standard (fwi.fish/commitment) such that it strikes the optimal balance of implementability and impactfulness. Specifically, our (ambitious) goal is to create version 2 of our standard by EOY (see fwi.fish/goals). This project is part of our ultimate goal of building a scalable theory of change for helping fish in India (fwi.fish/toc).

Our strategy to achieve this outcome is an iterative research process. This involves researching welfare improvements, surveying farmers and experts and our staff, modeling costs and impacts and expected uptake, efficacy testing, and process evaluations. Our change mechanism assessment is part of our broader work of mapping and ranking various welfare issues, their causes, and interventions to help them, as informed by the 6SQUID methodology (<https://www.ncbi.nlm.nih.gov/pmc/articles/PMC4853546/>).

**Do you collaborate with other organizations for this program? yes/no [if yes] Which organizations do you collaborate with, and what is the nature of their involvement?**

No.

**Program achievements:**

See Fish Welfare Initiative's Program Outputs document.

**Program expenses: Please indicate the currency you are referring to here:**

USD

*For the projected numbers in this section, please answer under the assumption that your ACE recommendation status (and therefore the amount of ACEinfluenced funding your organization receives) will stay the same. If you have not yet produced detailed plans, simply provide your best estimates.*

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**Program plans: Do you plan to maintain, expand, or shrink this program between now and the end of 2024? Please elaborate, and include any plans to bring on new hires.**

- We plan to expand this program by hiring a new fish welfare officer (fwi.fish/fwo) as well as 1-3 more data collectors (dependent on our need for the upcoming feed test).

- Over the next 2 to 3 quarters we will be running an efficacy test to understand the effect of improving feed management of fish on dissolved oxygen.

- Assuming that our provisional conclusion is that poor feed management is the main driving cause of dissolved oxygen, we will start working on A/B testing different ways of getting farmers to better manage their feed quantities.

- Assuming that we find promising avenues for implementation of better feed quantities, this will become part of our standard (version 2). We will then continue to consider other change mechanisms to continue increasing take-up.

**PROGRAM 2**

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**Program name:** Alliance for Responsible Aquaculture (India)

**Date commenced (approximate month & year):** June 2021

**Program description:** Country: India  
Species targeted: Indian Major Carp



**Program plans: Do you plan to maintain, expand, or shrink this program between now and the end of 2024? Please elaborate, and include any plans to bring on new hires.**

- We plan to add another 46 farms by the end of 2022.
- We will likely add another 75-100 farms each year in 2023 and 2024, and we're considering expanding more rapidly beyond that.
- We are currently hiring 2 Fish Welfare Officers (fwi.fish/fwo) and will hire one more data collector by the end of 2022.
- In 2023 and 2024, we will likely add at least 2 more data collectors
- We expect to figure out how we can visit farms less frequently (and thus increase cost effectiveness) as our Standard Setting program progresses and we prepare for greater scaling.
- We see the ARA as one avenue for scaling up our work by disseminating our version 2 standard to a vast number of farmers.

**PROGRAM 3**

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**Program name:** Corporate Transitions (India)

**Date commenced (approximate month & year):** June 2021

**Program description:** Main outcome: Develop a subtheory of change for how corporations influence farmer behavior. We are working to achieve this via getting corporations to transition currently sold fish to fish raised in better conditions (our v1 standard, fwi.fish/commitment). We also aim to build institutional awareness and precedent.

Main intervention for getting commitments: Meetings, media, and pitching intersectional benefits of fish welfare. It's all positive—no negativity or pressure [REDACTED].

Early evidence suggests that implementation/compliance will be much more challenging than getting commitments. [REDACTED]

[REDACTED] a larger part though is that there is no precedent or previously established supply of higher welfare fish in India (see our ARA work for how we're transitioning this supply in tandem). Thus, implementation/compliance is also a major focus (e.g. helping corporations identify higher welfare farms).

Country: India

Beneficiaries: Indian major carp





**Program plans: Do you plan to maintain, expand, or shrink this program between now and the end of 2024? Please elaborate, and include any plans to bring on new hires.**

We plan to mostly maintain our government outreach as is, with the primary expenses being the pay of our legal consultant and part of our Managing Director's time. [REDACTED]

[REDACTED]

[REDACTED]

## PROGRAM 5

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**Program name:** China

**Date commenced (approximate month & year):** November 2020

**Program description:** Country: China

Species targeted: Likely local carp species, Nile tilapia, and pond loach

Intended outcomes:

- Explore the opportunities for fish welfare work in China
- Develop and execute a scalable theory of change
- Build capacity for (future) animal advocacy work

STRATEGIES USED:

Cooperate with ICCAW ([icaw.org.cn](http://icaw.org.cn)) on:

- Co-hosting events to introduce aquatic animal welfare to academics, and nonprofit organizations ([fwi.fish/post/wcfaw](http://fwi.fish/post/wcfaw))
- Developing a set of national (non-mandatory) welfare standards
- Creating and distributing public awareness material on WeChat

Cooperate with Chinese academics on:

- Identifying priority species for fish welfare work in China
- Developing standards
- Conducting a literature review on welfare improvements with priority species
- Visiting local farms

Network with existing Chinese organizations

[REDACTED]

**Program achievements:**

See Fish Welfare Initiative's Program Outputs document.

**Program expenses: Please indicate the currency you are referring to here:**

USD

*For the projected numbers in this section, please answer under the assumption that your ACE recommendation status (and therefore the amount of ACEinfluenced funding your organization receives) will stay the same. If you have not yet produced detailed plans, simply provide your best estimates.*

	First 6 months of 2021	Last 6 months of 2021	First 6 months of 2022	Projections For entirety of 2022	Projection For 2023	Projection For 2024
Expenses	\$3,000	\$6,000	\$41,000	\$81,000	\$175,000	\$190,000

**Program plans: Do you plan to maintain, expand, or shrink this program between now and the end of 2024? Please elaborate, and include any plans to bring on new hires.**

- We are currently planning an Aquatic Animal Welfare Roundtable to be held later this year in cooperation with ICCAW.
- We plan to hire a China Managing Director and will likely start the process this year.
- We plan to hire at least one more research assistant this year to help with the priority species research and standard setting.
- We plan to conclude the literature review (in Chinese) by the end of this year.
- We expect to later consider formally registering in China to execute projects more independently. This would be a lengthy and expensive process, and would probably not begin until mid-late 2023.
- We are planning various field visits in 2022, 2023 and 2024.
- One of our possible scale-up mechanisms includes developing a higher welfare town model—a popular concept in China where a few farms are identified as “model farms” and their practices shown to the rest of the province. We are planning to start this work in late 2023.



## PROGRAM 6

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**Program name:** Philippines

**Date commenced (approximate month & year):** October 2020

**Program description:** Country: Philippines

Beneficiaries: Milkfish

Intended outcomes:

- Assess the potential of fish welfare work in the Philippines
- Develop a scalable theory of change for helping fish there (and later execute it)
- Capacity build and empower the local Filipino movement

We've gone about this in several ways now:

- In 2020, we wrote our Philippines scoping report ([fwi.fish/philippines-scoping](http://fwi.fish/philippines-scoping))
- In 2021, we ran an internship program to continue with more foundational work and support the skill development of promising people.
- In 2022, we ran a farmer engagement program in Carmen, Cebu, which involved making welfare improvements collaboratively with select farms, holding community meetings, and government outreach.

**Do you collaborate with other organizations for this program? yes/no [if yes] Which organizations do you collaborate with, and what is the nature of their involvement?**

Yes. We collaborate regularly with Animal Empathy Philippines (<https://www.facebook.com/AnimalEmpathyPH>). We have co-hosted events with them and given and received a great deal of advice to/from them. One of their co-founders (Kate) even accompanied us for a day of field work and one of our farmer training events. We also partnered with Oceana in taking action together against the construction of a boat repair shop that would have significantly decreased the water quality for farmed and wild fishes. Specifically, Oceana first served as a consultant and then later became an unofficial partner in the issue by drafting some legal paperwork, which we used against the local government to prevent the construction of the boat repair shop.

**Program achievements:**

See Fish Welfare Initiative's Program Outputs document.

**Program expenses: Please indicate the currency you are referring to here:**

USD

*For the projected numbers in this section, please answer under the assumption that your ACE recommendation status (and therefore the amount of ACEinfluenced funding your organization receives) will stay the same. If you have not yet produced detailed plans, simply provide your best estimates.*

	First 6 months of 2021	Last 6 months of 2021	First 6 months of 2022	Projections For entirety of 2022	Projection For 2023	Projection For 2024
Expenses	\$2000	\$1000	\$24,000	\$25,000	\$50,000	\$125,000

**Program plans: Do you plan to maintain, expand, or shrink this program between now and the end of 2024? Please elaborate, and include any plans to bring on new hires.**

As discussed in the Program Achievements document, our Philippines project is currently on pause (due primarily to lack of staffing). We hope and expect however to restart it in 2023. Restarting it will likely involve hiring a Managing Director as well as 1-3 early stage staff.

**(Optional) Is there anything else you would like us to know about your programs?**

To contextualize our programming, we think it would be helpful for you to read this blogpost: <http://fwi.fish/post/toc-strategy>. Its key takeaway is this: Though we would prefer to be in a scaling stage right now, we are not—we are still in a program development stage. This is why so much of our project currently is about developing/validating theories of change. It’s important to us to get these key questions right before scaling.

A large part of the reason for our remaining in this program development stage is, we believe, due to the fairly novel nature of our work (though certainly we have also made many mistakes along the way):

- Few NGOs have worked on helping fishes generally.
- None have worked on fish in India or with the species we target.
- What research there is about these species is focused on production, not welfare.

We hope our work enables the movement to overcome some of these barriers.

(Though certainly we are also still partly in this stage due to the mistakes we've made along the way.)



[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

**Which accounting method do you use or did you use in the following years?**

2020	Accrual accounting
2021	Accrual accounting
2022	Accrual accounting

**[If other] Please elaborate, if possible:**

**Please indicate the currency you are referring to here:**

USD

**Please complete the following table about your organization's annual financials.** If available, attach the corresponding tax forms (e.g., Form 990 in the U.S.) for each year. For all projected numbers, please answer under the assumption that your status with ACE (Top Charity, Standout Charity, or not currently recommended) will stay the same. If you project a sizable increase or decrease in revenue in 2023 and/or 2024 that may appear to diverge from your current trajectory, we ask that you briefly comment with an explanation below. These figures will assist us in understanding the overall health of your charity's financials, such as revenue diversity and sufficiency of reserves, as well as your existing plans for expansion.

	2020	2021	MidYear 2022	Projection For 2022	Projection For 2023	Projection For 2024
Total Revenue (sum of the 4 below)						
- Revenue from donations	\$98,480	\$562,246	\$99,755	\$1,000,000	\$800,000	\$1,300,000
- Revenue from own work (earned income)	0	0	0	0	0	0
- Revenue from capital investments (investment income)	0	0	0	0	0	0
- Revenue (other)	0	\$763	\$331	\$500	\$1000	\$2000
Total Expenditures	\$39,693	\$278,068	\$261,508	\$560,000	\$940,000	\$1,200,000
- Expenditures specifically for starting new programs				0	\$50,000	0
Financial Assets (i.e., cash, savings, investments, etc.)	\$58,787	\$285,413	\$124,076	\$564,000	\$424,000	\$524,000
Nonfinancial assets > \$10,000 USD	0	0	0	0	0	0

Liabilities (if any)	0	0	0	0	0	0
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**If available, attach the corresponding tax forms (e.g., Form 990 in the U.S.) for each year.**

*You can upload multiple files through one file upload if the files are compressed into a ZIP file before uploading.*

**What is the total share of funding sources from large donations (>20% of funding)? Specify the funding source, if possible.**

In 2020, 97% of our \$98K revenue came from >20% donations. We were funded by the EA Animal Welfare Fund, with one grant of \$30K delivered in July 2020, and another of \$65K delivered in November 2020.

Note that we were previously operating via a fiscal sponsor, which had received other large donations on our behalf. The revenue and expenditures of FWI under the fiscal sponsor were much smaller than our current revenue and expenses, although we are happy to provide information on the financial activities of our fiscal sponsor upon request.

In 2021, 30% of our \$563K revenue came from >20% donations. We were funded by the EA Animal Welfare Fund with a November grant of \$170K.

In 2022, 31% of our current \$130K revenue (roughly up to August 12) came from >20% donations. We were honored to receive a donation from Peter Singer [REDACTED].

**Do you have any significant restricted donations? [If yes] Please elaborate.**

No.

**If you reported expenditures specifically for starting new programs in the table above, please elaborate.**

In 2023, we're budgeting \$50K for expecting to restart our Philippines project, specifically to hire a Managing Director and perhaps other early staff.

**If your expenditures reported in the table above include significant costs that are not directly related to programs (e.g., administration expenses, wages, or training), please elaborate.**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

**Do you have a significant percentage of assets that would be difficult to liquidate to meet cash needs within one year? [If yes] Please elaborate.**

No.

**(Optional) Is there anything else you would like us to know about your financial situation?**

[REDACTED]

Also, our runway is pretty short right now (about 3-4 months). This has happened once or twice before, and fortunately we were able to raise to fill the gaps in those occasions. We're fairly confident the same will happen here, and that if our runway got much smaller, we have enough good credibility built up with certain donors that we would not have to significantly cut programming.

**If you received additional, unexpected funding of \$200,000 USD, how would you allocate it across each of your current programs, any new programs, and/or other plans for expansion, on top of the projections submitted in the previous section?**

We would first have to think hard about whether to accept it, as it's important for us to grow at a sustainable rate and we have always set our plans based on what we think strikes the appropriate balance between impactfulness and sustainable growth, and not based on the maximum we felt we could fundraise. (Noting though that this answer assumes that we have our funding gap filled through 2024, which is not the case right now: Our current runway is about 3 months, though we are applying for an OpenPhil grant and are confident that, if our runway becomes much shorter, we have sufficiently good donor relationships where we would not immediately have to significantly cut programming.)

Knowing that there are other organizations who could use this money effectively and who wouldn't have their funding gap filled for 2.5 more years, I think there's a 70% likelihood we would reject an additional \$200K (provided that we did have our funding gap filled through 2024), and encourage the donor(s) to give it to other ACE- or Givewell-recommended charities.

If we did decide to accept it, here are some of the possibilities for how we would spend it (roughly in descending order of likelihood):

- We would increase our management capacity, either by hiring more mid-level or senior-level people in India, or by hiring more and/or better senior level people than our current international leadership team.

- We would hire more mid-level and ground team people in India to expand the ARA much more quickly (though we'd still probably want to finalize our Version 2 standard before this).

- We would hire additional consultants [REDACTED] to more quickly get FWI a seat with various government entities [REDACTED].

- We would hire someone else, perhaps a Managing Director, to work on our China project. Though we are considering doing this already anyway.

- We would hire someone with the sole purpose of re-launching the Philippines work sooner, someone who we felt could manage the project almost entirely independently (either a local managing director, or someone who could identify and recruit such a managing director and manage them as needed).

**If you received \$1,000,000 USD of additional, unexpected funding, how would you distribute it among i) each of your current programs, ii) any new programs, and/or iii) other plans for expansion, on top of the projected expenditures reported in the previous section?**

It is unlikely that our leadership team would think it best for the world to accept most of it (provided that our current plans for programming and expansion were funded through 2024).

If we are in such an unusual world where we did decide to accept the \$1M, we would probably do all five options listed above. Here's some other ideas (though we haven't thought rigorously about any of them so we would consider them all low confidence):

- Expanding our support team (e.g. operations, communications) to make everything run more effectively.

- Regrant to other organizations we think may be doing promising fish welfare work (e.g. Animal Kingdom Foundation in the Philippines, the Aquatic Life Institute, Equalia).

[REDACTED]

**Please list the key members of your organization's leadership team, including i) their name, ii) their role, and iii) the number of years they've worked at your organization.**

Karthik Pulugurtha, Managing Director of FWI India (responsible for our team in India, has final say over all things with the India project). Hired 2 years ago.

Jennifer-Justine Kirsch, Director of International Programs [REDACTED]  
[REDACTED] Hired 2.5 years ago.

Tom Billington, Director of Impact & Evaluation (leads our standard setting and responsible for ensuring the organization is generally impactful and cost-effective). Cofounded FWI 3 years ago.

Haven King-Nobles, Executive Director [REDACTED]. Cofounded FWI 3 years ago.

**Have you had a leadership transition in your Executive Director role (or equivalent) since the beginning of 2021? [If yes] Please describe the transition process.**

No.

**Please provide a complete list of your organization's current board members. If this information is available online, you may simply provide a link to the web page.**

[REDACTED]  
[REDACTED]  
[REDACTED]

FWI US Board Members

- Haven King-Nobles (President)
- Karolina Sarek (Secretary, Director of Programs at Charity Entrepreneurship)
- Nick Hollman (Treasurer, previously a Research Assistant at the Legal Priorities Project [REDACTED])
- [REDACTED]
- Tom Billington

We're also hoping and expecting to add a new board member to the US board in the coming months, in order to a) have an odd number for voting in case of disputes, b) add new skillsets to the board and help it become more active in supporting and overseeing the organization, and c) diversify the board (particularly experience-wise, though to some extent demographic-wise as well).

**What kind of legal entity is your organization?**

[REDACTED]  
[REDACTED]

"Fish Welfare Initiative" (FWI US), a US 501c3 non-profit. This is the organization that fundraises, sends money to our work internationally, and employs contractors internationally.

[REDACTED]  
[REDACTED]  
[REDACTED]

[REDACTED]  
[REDACTED]  
[REDACTED]



[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

**How many full-time staff, part-time staff, and contractors are currently employed/contracted by your organization? Please specify staff numbers by country subsidiary, if applicable.**

[Redacted]

[Redacted]

**How many volunteers working at least five hours per week are currently affiliated with your organization?**

0

**What strategies do you use to learn about staff morale and work culture (e.g., staff surveys, in-person check-ins, suggestion boxes, etc.)?**

We conduct short culture surveys monthly, and longer culture surveys quarterly. We also regularly ask people how they are doing, both personally and professionally. Our Managing Director,

Karthik, is seen by many of the India team as a mentor, and always has a keen sense of how different people are doing.

**Please indicate the following policies for which your organization has a written commitment:**

Have partial policy / informal policy	A formal compensation policy to determine staff salaries
Have formal policy	Paid time off
Have formal policy	Sick days and personal leave
Have partial policy / informal policy	Healthcare coverage
Have partial policy / informal policy	Paid family and medical leave
Have partial policy / informal policy	Clearly defined essential functions for all positions, preferably with written job descriptions
Have formal policy	Annual (or more frequent) performance evaluations
Have formal policy	Formal onboarding or orientation process
Have formal policy	Training and development available to each employee
Have formal policy	A simple and transparent written procedure for employees to request additional training or support
Have formal policy	Flexible work hours
Have formal policy	Remote work option
Have partial policy / informal policy	Paid internships
Have formal policy	A clearly written workplace code of ethics/conduct
Have formal policy	A written statement that the organization does not tolerate discrimination on the basis of race, gender, sexual orientation, disability status, or other irrelevant characteristics
Have formal policy	A simple and transparent written procedure for filing complaints
Have formal policy	Mandatory reporting of harassment and discrimination through all levels, up to and including the board of directors
Have formal policy	Explicit protocols for addressing concerns or allegations of

	harassment or discrimination
Have formal policy	Documentation of all reported instances of harassment or discrimination, along with the outcomes of each case
No policy	Regular training on topics such as harassment and discrimination in the workplace
Have formal policy	An anti-retaliation policy protecting whistleblowers and those who report grievances

**Is there anything else you'd like us to know about your organization's human resources policies?**

In the interests of being transparent, you should know that we did formalize and add several policies (added or formalized 7 policies in total) since we were invited to be evaluated by ACE. We did this both because we think it's the right thing to do and because we aim to be recommended by ACE, so thank you for inspiring us to improve.