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The Oceans and Fisheries Partnership (USAID Oceans)

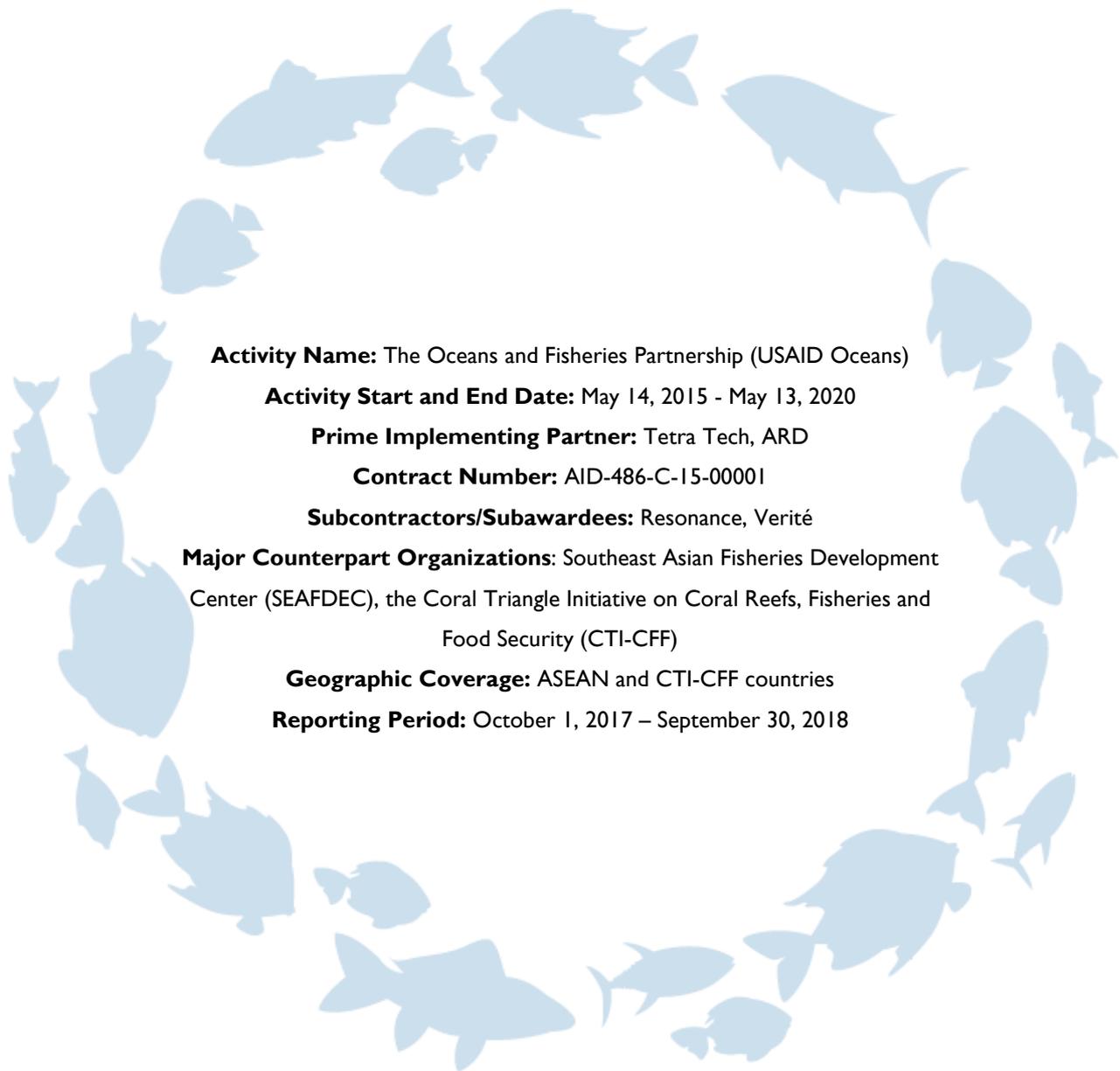
# ANNUAL PROGRESS REPORT

October 1, 2017 to September 30, 2018



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# ACRONYMS AND ABBREVIATIONS

ACDS	ASEAN Catch Documentation Scheme
ASEAN	Association of Southeast Asian Nations
BFAR	Bureau of Fisheries and Aquatic Resources
CDT	Catch Documentation and Traceability
CDTS	Catch Documentation and Traceability System
CT	Coral Triangle
CTEs	Critical Tracking Events
CTI-CFF	Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security
DQA	Data Quality Assurance
DO	Development Objective
DOI	US Department of the Interior
DOF	Department of Fisheries
eACDS	Electronic ASEAN Catch Documentation Scheme
EAFM	Ecosystem Approach to Fisheries Management
eCDT	Electronic Catch Documentation and Traceability
eCDTS	Electronic Catch Documentation and Traceability System
ECOFISH	Ecosystems Improved for Sustainable Fisheries Project
FAO	Food and Agriculture Organization of the United Nations
FIS	Fisheries Information System
FMA	Fisheries Management Area
FY	Fiscal Year
GDST	Global Dialogue for Seafood Traceability
GUC	Grants Under Contract
ICT	Information Communications Technology
IUU	Illegal, Unreported and Unregulated (fishing)
IR	Intermediate Result
KDEs	Key Data Elements
M&E	Monitoring and Evaluation
MIS	Monitoring Information System
MMAF	Ministry of Marine Affairs and Fisheries
MVP	Minimum Viable Product
NGO	Non-governmental Organization
NOAA	National Oceanic and Atmospheric Administration
PPP	Public-Private Partnership
RAFMS	Rapid Appraisal of Fisheries Management System
RPOA	Regional Plan of Action
SALT	[USAID] Seafood Alliance for Legality and Traceability
SEA	Sustainable Ecosystems Advanced Project
SEAFDEC	Southeast Asian Fisheries Development Center
SFMP	Sustainable Fisheries Management Plan
SFW	Seafood Watch
SSME	Sulu-Sulawesi Marine Ecoregion
STTA	Short Term Technical Assistance
TAG	Technical Advisory Group
TWG	Technical Working Group
TOC	Theory of Change
VCA	Value Chain Assessment
USAID	United States Agency for International Development
USAID Oceans	USAID Oceans and Fisheries Partnership Activity
USG	United States Government
WPP	Wilayah Pengelolaan Perikanan (Fisheries Management Area)
WWF	World Wildlife Fund

# EXECUTIVE SUMMARY

## Background

The impacts of illegal, unreported, and unregulated (IUU) fishing are daily realities for the Asia-Pacific region, manifesting in environmental, economic, human welfare, and political challenges. These challenges impact not only regional governments, the private sector, and members of the general population, but also have far-reaching consequences that span the globe in the form of compromised food stocks, threats to national economies, and degradation of shared, global resources. The annual estimated value of IUU fishing practices is estimated to be between US \$10 and 23 billion, representing between 11 to 26 million tons of fish. IUU fishing also comprises a significant percentage of the world's total seafood harvest, with IUU products equal to 14 to 33 percent of the world's total legal catch.\* While the consequences of IUU fishing are serious and growing in number, so too is global attention to this matter, particularly in regard to its biodiversity and human impacts.

The United States Agency for International Development Oceans and Fisheries Partnership (USAID Oceans), was launched on May 14, 2015, when Tetra Tech was awarded the program by the USAID Regional Development Mission for Asia (USAID/RDMA) and set out to implement the five-year, US \$19.95 million contract to realize regional and global impact. Since its launch, USAID Oceans has been working in partnership with the Southeast Asia Fisheries Development Center (SEAFDEC) and the Coral Triangle Initiative for Coral Reefs, Fisheries, and Food Security (CTI-CFF) with the explicit goals of combating IUU fishing in Southeast Asia, improving the region's capacity for building sustainable fisheries with enhanced management and regulatory frameworks, and addressing sectoral human welfare concerns.

September 2018 marked the completion of the program's third of its five years, with considerable success and milestones achieved since the program's launch. This Annual Progress Report provides an overview of the Activity and its accomplishments in the 2018 Fiscal Year, covering the period of October 1, 2017, through September 30, 2018. The structure of the FY 2018 Progress Report reflects the approach that the program has adopted for its strategic planning and reporting, geo-organized according to level of engagement and support (i.e., regional, learning site countries, and expansion countries).

## USAID Oceans Year Three Key Achievements and Impacts

Establishing legal, regulated, and responsible fisheries requires intergovernmental, regional cooperation as marine resources and operations are transboundary. The fisheries sector's challenges are multi-dimensional and embedded within complex ecosystems and supply chains. Thus, effective solutions require coordination, collaboration, and mutual support. As such, USAID Oceans dedicated much of its first two years to building the strong foundation required for regional collaboration, working closely with its core regional partners, SEAFDEC and CTI-CFF. The program also focused heavily on the research and design required to implement its core technical intervention—the development of interoperable electronic catch documentation and traceability (eCDT) systems that enable full-chain, fully transparent seafood traceability that benefits fisheries management and human welfare concerns.

From these investments, during Year Three, USAID Oceans continued to cement its reputation as a regional thought leader in capture fisheries traceability, fisheries management, and human welfare. The program provided technical guidance relating to eCDT standards, technical architecture, systems interoperability, and implementation methodologies. This included support to the SEAFDEC-developed ASEAN Catch Documentation Scheme (ACDS), which over the course of the Activity has evolved from a regional paper-

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\* Report of the Expert Workshop to Estimate the Magnitude of Illegal, Unreported, and Unregulated Fishing Globally, FAO. Borgo Di Tragliata, Rome. 2015.

based catch documentation scheme to an electronic traceability tool (eACDS) that is suitable for use by countries with limited fisheries production that are initiating traceability protocols. USAID Oceans was also engaged beyond the region for its expertise, from initiatives such as the USAID Seafood Alliance for Legality and Traceability (SALT) and the Global Dialogue for Seafood Traceability (GDST).



*A small-scale fisherman and USAID Oceans First Mover tests newly installed traceability technology on his fishing boat. First Mover. USAID Oceans/F. Maruf*

In Year Three, USAID Oceans applied this knowledge to move beyond the development and design phases and begin installations and testing of eCDT technology in its learning sites. Throughout the year, the program progressed through various stages of in-field installation, testing, optimization, and *real-time data capture and tracking*. By the close of the year, the program had successfully implemented **five eCDT technologies in its learning sites** and had tracked over **2.7 metric tons of seafood** through the technologies. The program also worked simultaneously to capacitate ASEAN and CTI-CFF countries to further regional eCDT adoption, uptake, and replication. By the close of the year, the program was closely coordinating with

expansion country members, including Malaysia and Vietnam, to support their upcoming eCDT system implementations.

Other areas of the program made equally impactful strides in Year Three. The program not only progressed its learning site Ecosystem Approach to Fisheries Management Sustainable Fisheries Plans but also completed collaborative development of and socialized the *Sub-Regional Plan for Managing Transboundary Fisheries in the Sulu-Sulawesi Seascape*. The plan is the first known sub-regional EAFM plan documented in fisheries management literature; it proposes specific management goals, objectives, and management actions to be undertaken by relevant governmental agencies, non-governmental partners, and multi-lateral/regional organizations focused on fisheries management and biodiversity conservation in Indonesia, Malaysia, and the Philippines. The plan will be proposed for adoption in Year Four at CTI-CFF's Senior Officials Meeting, and if adopted its implementation will be ground-breaking for the region.

Interest in the program's human welfare expertise and demand for support continued to grow in the region, and beyond, as USAID Oceans continued to shine the light on sectoral gender inequities, as well as the inspiring women and men behind regional movements for more fair, equitable, and prosperous work places. The program issued a call for learning site gender intervention grantees and selected two organizations by the year's end that will be fully operational in Year Four. Throughout the year, the program continued to engage partners in the region and facilitate networking to strengthen regional capacity and ensure human aspects are central to development discourse and its implementation.



*USAID/IRDMA and USAID Oceans Technical Working Group members visit a woman-owned business in Bitung, Indonesia at the program's regional Learning Exchange. USAID Oceans/M. Donnelly*

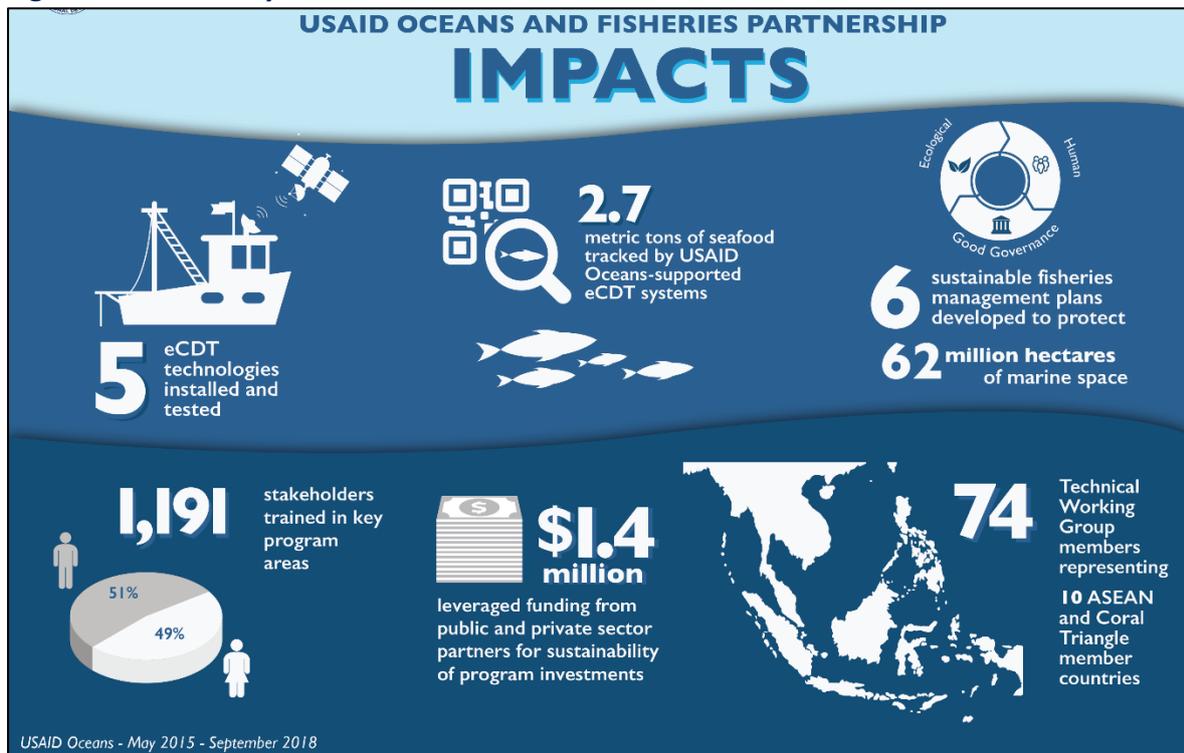
Many of USAID Oceans' Year Three successes were underwritten by the Public-Private Partnerships (PPP) team, who continued to bridge public and private sector members and interests for regional, national, and local action. The team successfully completed a pilot with Thai Union for eCDT and communications technology; launched a new partnership in the Philippines for small-scale vessel traceability technology, which drew interest from not only Philippines partners, but from other member countries who saw the value and potential applications in their own fisheries; and began engaging high-visibility private sectors such as Amazon

Web Services to work with the Partnership in Year Four. By year end, over **\$1.4 million** had been leveraged from public and private sector partners, to date, to support the U.S. Government’s investment and to strengthen the sustainability of program impacts.

At its approximate midpoint, the program also made significant investments during the year in ensuring the Partnership was strategically aligned to meet its end of program objectives. Efforts included an internally-conducted Midterm Program Review which informed its remaining Year Three activities and the Year Four work planning process. Further detail on the program’s adaptive management successes and efforts are detailed within the following report.

At the end of Year Three, USAID Oceans’ efforts drew the program closer to its Life of Activity Monitoring and Evaluation targets with notable impacts (Figure 1) not just in the program’s learning sites but reaching to each of its member countries.

**Figure 1. FY 2018 Key Achievements**



USAID Oceans is pleased to share its progress and successes with its partners through this Annual Report. The program thanks each of its partners for the role they have played to date in the Partnership—without whom these successes would not be possible.

# I. BACKGROUND AND STRATEGIC APPROACH

Over the program's first three years, USAID Oceans has established and continuously refined its strategic approach to incorporate acquired knowledge and optimize results. This section provides an overview of the strategies that guided Year Three program activities and will continue to guide the program in its fourth year.

**Background.** Southeast Asia is home to some of the world's most productive and bio-diverse marine ecosystems. They provide food and income for over 200 million people in the region. However, Southeast Asia's fish stocks and coral reefs are in danger because of unsustainable fishing practices, which threaten biodiversity, food security, and livelihoods. The region's fisheries are in a state of overcapacity and that overfishing, combined with illegal, unreported, and unregulated fishing practices are causing its fisheries to collapse. The decline and failure of the regional fisheries will ultimately have devastating consequences for regional food security and will seriously degrade the highest marine biodiversity area on the planet.

**The Mission.** The goal of USAID Oceans is to strengthen regional cooperation for sustainable and legal management and trade of natural resources in the Asia-Pacific region. The purpose of the Activity is to increase the ability of regional fishery organizations to conserve marine biodiversity and combat IUU fishing in the Asia-Pacific region through transparent, sustainable electronic catch documentation and traceability (eCDT) and improved fisheries management standards.

USAID Oceans is an investment in information and management systems for improved fisheries management in the region that seeks to improve integrated and sustainable fisheries management, focusing on priority species that are vital for food security and economic growth and under threat from IUU fishing and seafood fraud. The activity supports U.S. and regional efforts in Asia and the Pacific to promote sustainable fishing practices and combat fraud and the sale of fisheries products from IUU fishing. The Activity's Guiding Principles, Theory of Change and Results Framework detail USAID Oceans' guiding principles and proposed interventions (Annexes I and II).

**Strategic Approaches.** USAID Oceans operates under a set of strategic approaches that build on the Results Framework, Guiding Principles, and on-the-ground knowledge acquired over the course of the program. These strategic approaches include:



**Regional Capacity and Cooperation.** USAID Oceans works with regional, national, and local partners to develop a strong and lasting regional understanding and consensus of the critical importance and interconnected nature of all technical components of USAID Oceans in order to reduce IUU practices and unsustainable fishing in the Asia-Pacific region.



Electronic **Catch Documentation and Traceability (CDT)** is central to USAID Oceans' work, with support provided to governments and industry to implement traceability systems that reduce IUU practices, improve data management, and aid in fisheries management planning. USAID Oceans works closely with public and private sector partners to design, implement, test, and scale eCDT to ensure that traceability solutions align with national requirements and industry bottom lines.



USAID Oceans promotes an **Ecosystem Approach to Fisheries Management** as a foundation to enhancing sustainable fisheries management efforts. The program supports its ASEAN and CTI-CFF partners through the development of Sustainable Fisheries Management Plans (SFMPs), which also serve USAID Oceans' objectives to advance marine biodiversity conservation and fisheries management capacity and promotes the use of eCDT systems for data-driven fisheries management.



USAID Oceans works to engage and develop **Public-Private Partnerships** at global, regional, and local levels to support cross-cutting program objectives. Partnerships are structured to support the expansion and replication of eCDT solutions throughout all stages of the supply chain and bolster the long-term adoption and sustainability of the systems. USAID Oceans engages with a variety of fisheries stakeholders, governments, regional institutions, and private sector actors to leverage both public and private sector investment to increase the impact of its marine conservation efforts.



USAID Oceans incorporates **Human Welfare** and gender considerations throughout all program strategies and activities. Through detailed gender and labor studies, USAID Oceans has identified key human welfare concerns and supports the development of policies and interventions that address these issues. USAID Oceans believes that more gender equitable supply chains, with empowered women and men, lie at the heart of regional fisheries management solutions.

**Communications and Outreach** supports USAID Oceans' work stream-specific objectives as a crosscutting activity. Communications are tailored for key target audiences, which are international, regional, and local in nature and seek to raise program visibility, disseminate program findings and lessons learned, and equip audiences with the resources to take action.

## 2. REGIONAL ACTIVITIES AND ACHIEVEMENTS



### Summary Highlights

At the regional level, USAID Oceans key accomplishments included:

- Continued coordination with partners SEAFDEC and CTI-CFF, as seen through successful events such as a June 2018 **Regional Learning Exchange** and USAID Oceans' **Third Annual Technical Working Group Workshop**;
- Continued advancement of **regional eCDT data standards and technologies** through the program's released "CDT 201" "Key Data Element Manual;"
- Over **\$1.4 million** leveraged in support of program activities from public and private sector partners;
- Increased **regional networking for human welfare**, including USAID Oceans' becoming host of monthly Women's Leadership Forum meetings; and
- Development of the Sulu-Sulawesi Seascape Sub-Regional Fisheries Management Plan, the **first-known sub-regional fisheries management plan** in the world.

### 2.1 Regional Coordination and Capacity Building

In Year Three, USAID Oceans worked closely with its regional partner organizations to coordinate activities and build capacity across its Learning Sites and Expansion Countries in each of the program's technical areas. In addition to its regular coordination with SEAFDEC and CTI-CFF, the program also worked closely with its Technical Working Group (TWG) representatives, U.S. Government agencies, complementary USAID

initiatives, and like-minded development and non-governmental partners to bolster program interventions. USAID Oceans also continued to build regional capacity through its participation in key regional events and in high-visibility conferences to continue to raise awareness and share its learnings.



**USAID Oceans' partner, SEAFDEC, continued to be integral to the Activity's work, particularly in facilitating collaborations with local, regional and national government stakeholders.** SEAFDEC serves as the communication mechanism with member country fisheries agencies and bolsters all workstream activities with dedicated focal points for each technical area.

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Throughout Year Three, USAID Oceans and SEAFDEC worked closely together to align and execute program activities and engage regional partners. USAID Oceans participated in SEAFDEC's two key organizational meetings, the Program Committee Meeting and Council Meeting, which convene SEAFDEC member countries to socialize and gain support for the organization's regional activities.

On November 27-29, 2017, USAID Oceans, together with the USAID/RDMA Contracting Office Representative and Regional Environment Office Director, attended SEAFDEC's 40<sup>th</sup> Program Committee Meeting in Bangkok, Thailand to present USAID Oceans' program progress, achievements, and priority activities for FY2018. At the meeting, USAID Oceans was able to address questions from several member country representatives regarding the progress of USAID Oceans and tools available to member countries for immediate use. Progress meetings were convened thereafter to exchange progress updates and discuss priority logistical items including SEAFDEC-Sweden's FY2018 priorities and SEAFDEC's FY2018 Workplan for its USAID/Department of the Interior (DOI) grant.

On March 26-30, 2018, USAID Oceans and USAID/RDMA also attended SEAFDEC's 50<sup>th</sup> Council Meeting in Siem Reap, Cambodia, where SEAFDEC presented its 2017 Annual Report and reported progress to Council members. At the meeting, USAID Oceans met with high-level member country representatives, continued to raise visibility of its work with SEAFDEC on regional catch documentation, and supported SEAFDEC in its strategic planning.

USAID Oceans and SEAFDEC worked closely throughout the year across each of the program workstreams, and in conducting the Third Annual TWG Workshop in July 2018. These activities are detailed further throughout the following report.



**CORAL TRIANGLE INITIATIVE**  
ON CORAL REEFS, FISHERIES AND FOOD SECURITY

**The Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security (CTI-CFF) and USAID Oceans worked together closely throughout the year to cultivate a strong working relationship to support mutual mission objectives and plan upcoming opportunities for collaboration.**

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USAID Oceans and partner CTI-CFF also worked closely to align and execute joint activities. USAID Oceans attended CTI-CFF's 13<sup>th</sup> Senior Officials Meeting (SOM) on November 29-30, 2017, in Manila, Philippines. In the discussions, participants highlighted the need for continued coordination across member countries and organizations as many countries' marine biodiversity conservation and sustainable fisheries management efforts are spread across multiple agencies. USAID Oceans' participation in the SOM continued to strengthen its partnership with CTI-CFF, and CTI-CFF partners recognized USAID Oceans and USAID/RDMA for their support through the USAID/DOI grant to further EAFM and CDT work in the coral triangle region.

During the year, USAID Oceans and CTI-CFF worked together to conduct partner meetings and strengthen regional coordination amongst involved players. On April 3-4, a Coordination Meeting was organized to bring together USAID Oceans, the USAID Sustainable Ecosystems Advanced (SEA) program, the U.S. National Oceanic and Atmospheric Administration (NOAA), USAID/RDMA, USAID/Indonesia, SEAFDEC, and CTI-CFF in Jakarta, Indonesia. This coordination meeting allowed partners to discuss and align regional initiatives to streamline efforts, reduce duplication, and support each partner's ongoing activities through identified overlapping objectives. From the meeting, a schedule for monthly coordination calls was established and enabled the partners to share program updates regularly throughout the remainder of the year.

USAID Oceans and CTI-CFF also joined together to conduct workstream-specific technical activities, including a Learning Exchange in the Bitung, Indonesia learning site that convened Coral Triangle member countries to learn from USAID Oceans' in-field traceability technology. Details can be found in Section 2.2, and other collaborative activities are detailed throughout the report.



**USAID Oceans' Technical Working Group (TWG).** Core to program objectives is strengthening the capacity of regional and national governance bodies and institutions. As such, the USAID Oceans TWG was established to provide national and learning-site level support for each technical workstream.

USAID Oceans and SEAFDEC committed a significant amount of time and effort throughout the year to jointly planning the Partnership's Third Annual TWG Planning Workshop, held in Bangkok from July 16-18, 2018. The workshop gathered over 100 participants representing SEAFDEC member countries and other program partners including U.S. Government agency representatives and non-governmental organizations. The program's third TWG meeting was notable in several ways. The meeting format was altered from its normal, presentation-led capacity building structure to enable the program to solicit more in-depth feedback from workshop participants. As such, the program planned several special discussion sessions for the workshop which included a day's-long focus on human welfare and gender equity. Stakeholder interest in this topic illustrated growing regional interest in the human aspects of fisheries. Workshop participants also noted a distinct increase in workshop participation and discussion, a strong signal that the program's networking efforts over the last three years have been successful and have resulted in fruitful, open discussions amongst program members.

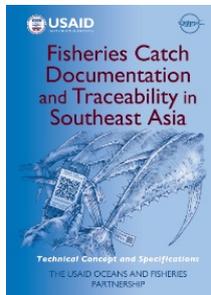
The TWG workshop also enabled the program to capture valuable inputs from its members that were critical to Year Four Work Planning. The workshop obtained inputs from USAID Oceans' TWG regarding the proposed process for the development of regional guidance for implementing eCDT systems that are supported by EAFM, improve human well-being, and encourage private sector engagement. Partners also discussed how to forge and strengthen partnerships to ensure program efforts and initiatives are sustained beyond the USAID Oceans project. The TWG Workshop was successful in gaining partner inputs, showcasing program and partner achievements, and continuing to strengthen the regional network of fisheries experts.



*Participants at USAID Oceans' TWG Workshop provided inputs to discussions on regional priorities throughout three-days of interactive exercises. USAID Oceans/M. Donnelly*

## 2.2 Catch Documentation and Traceability

USAID Oceans continued to build regional capacity for eCDT system development and implementation, including continued work to develop technical and data standards, regionally relevant and beneficial eCDT solutions, and support to the SEAFDEC-led electronic ASEAN Catch Documentation Scheme (eACDS).



**Support for Regional Technical Specifications and Standards.** USAID Oceans released two key knowledge products, providing guidance and thought leadership—the *Fisheries Catch Documentation and Traceability in Southeast Asia: Technical Concept and Specifications* (the “CDT 201,”) and *Data Requirements for Catch Documentation and Traceability in Southeast Asia: Critical Tracking Event and Key Data Element Framework and Glossary* (the “KDE Manual”).”

USAID Oceans released its [CDT 201](#) in December 2017, providing a follow-on publication to the program’s Conceptual Overview, or “[CDT 101](#)” that was released in Year Two. The CDT 201 provides an overview of supporting policies, regulations, and technologies for regional eCDT. USAID Oceans also released its [KDE Manual](#) in December, which provides in-depth information on recommended data requirements for regional eCDT systems. Following the release of the manual, USAID Oceans engaged in year-long socialization of its KDE recommendations with its public and private sector partners, including information and communications technology providers. USAID Oceans offered tailored support to TWG member countries to incorporate country-specific KDEs that meet national regulations and policies.

Given its leadership in this space, USAID Oceans was invited to attend key international and regional events throughout the year and work with partners on their own development of data recommendations. For example, in June USAID Oceans’ Regional CDT Specialist was supported by the Marine Stewardship Council (MSC) to attend their Barcelona-based workshop focused on Key Data Elements (KDEs). During this meeting, USAID Oceans was asked to present its KDE recommendations to inform MSC’s forthcoming electronic data capture guidelines. USAID Oceans’ KDE recommendations also benefitted standards organizations, such as the Global Dialogue for Seafood Traceability (GDST), who has used USAID Oceans’ recommendations as a starting point to develop industry-supported KDE recommendations with its private sector membership base. See Section 2.3 for more details on USAID Oceans’ partnership with GDST.



**Regional Engagement for eCDT Capacity Building and Implementation.** In Year Three, USAID Oceans expanded its engagement with its Expansion Country partners with regional learning exchanges and study tours. The program also engaged throughout the region to provide eCDT technical support and guidance, particularly through the development of CDT Gap Analysis and Partnership Appraisal Reports that can be used to guide eCDT design and implementation. Further regional support is detailed in Section 5: Expansion Site Activities.

On June 25-28, 2018, USAID Oceans conducted Catch Documentation and Traceability Learning Exchanges for ASEAN and Coral Triangle Initiative for Coral Reefs, Fisheries and Food Security (CTI-CFF) member countries and supported the ASEAN Tuna Ecolabeling (ATEL) Consultative Workshop (Section 4). The events were conceptualized separately but organized and conducted in tandem to bring together key representatives from across the region in the interest of advancing regional efforts for catch documentation and traceability. Over the course of the week, attendees visited the Bitung port to learn more about USAID Oceans’ progress.



Learning Exchange attendees visit a USAID Oceans First Mover to see eCDT technology first-hand. USAID Oceans/M. Donnelly

On day one, MMAF hosted the ATEL Consultative Workshop, with support from USAID Oceans. ATEL is an ASEAN-wide initiative to establish and adopt an ASEAN tuna ecolabeling scheme that is affordable, consistent with existing standards, and less burdensome for a wide range of relevant fishery stakeholders than alternative schemes. The workshop was designed to receive input from a range of stakeholders, including government officials and non-governmental representatives. While USAID Oceans does not advocate for or promote any certification schemes, it recognizes that the initiative is a driver for regional adoption of robust traceability systems and can advance regional uptake of eCDT technology. Further, the workshop served as a venue to discuss broader traceability topics, including common challenges and opportunities.

On days two and three, USAID Oceans leveraged the regional presence already convened in Manado to invite ASEAN and CTI member state representatives to its Bitung learning site. Attendees learned how USAID Oceans and MMAF are working together to design and implement an eCDT system that leverages private sector engagement and supports sustainable fisheries management and human welfare objectives. USAID Oceans and CTI member country representatives wrapped out the week's events with presentations on each country's current CDT initiatives, providing an opportunity for reflection and solution-sharing.



**Coordination with SEAFDEC in support of the eACDS.** USAID Oceans worked closely with its SEAFDEC partners to support the eACDS' regional expansion. The eACDS is a valuable tool for catch documentation and traceability, particularly well-suited to countries who may currently have limited traceability protocols and policies in place.

Over the course of the year, USAID Oceans and SEAFDEC continued to work together to advance the eACDS; both in its technical capabilities and to scale its implementations. In support of these objectives, USAID Oceans provided recommendations for enhancements to the eACDS based on its learning site implementations, including around interoperability and data capture. Ongoing technical discussions and coordination were convened regarding the eACDS and its rollout in USAID Oceans' expansion countries.

During the year, USAID Oceans and SEAFDEC worked together to develop support plans for potential eACDS implementations in Expansion Sites including Malaysia and Vietnam, and in December 2017, the partners held a CDT Gaps Analysis and Stakeholder Workshop to map Vietnam's potential eCDT system and how the eACDS structure could be applied and strengthened by USAID Oceans' learning site experiences. The partners continued to work together through additional workshops in January and March 2018, and at the close of the year had successfully completed CDT Gaps Analyses and Stakeholder Validation Workshops in both Malaysia and Vietnam, which are further detailed in Section 5.

USAID Oceans and the SEAFDEC teams worked through several organizational changes in 2018, including the departure of SEAFDEC's eACDS lead. The partners continued to work closely during these staffing changes to deliver uninterrupted support to regional partners and met often to ensure that organizational plans continued to align. In August 2018, USAID Oceans and SEAFDEC met to discuss plans for cooperation in the program's Expansion Sites and to review Year Four Work Plans in relation to the eACDS, including communications support for eACDS marketing and branding. USAID Oceans and SEAFDEC will continue to work together in Year Four to expand the technical abilities and applications of the eACDS.

## 2.3 Public-Private Partnerships

Guided by a Midterm Partnership Portfolio Review conducted at the year's start, the PPP team continued to engage potential partners and strengthen relationships with existing partners to further program objectives, ongoing activities, and program sustainability.



**Midterm Partnership Portfolio Review.** With Year Three marking USAID Oceans' midpoint, the PPP team completed a Partnership Portfolio Review to review the status and contributions of each of its partnerships. The portfolio review assessed the value of each partnership and identified a limited number of new partnerships to support the program and its sustainability.

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Guided by this review, USAID Oceans dedicated its efforts to exploring a select, strategic number of new partnerships to engage the private sector on a regional level, catalyze further technical breakthroughs, and support sustainable regional eCDT advancements. Examples of notable engagements include meetings with IBM to discuss a potential partnership around Blockchain for traceability and data management; Amazon Web Services to engage members of the private sector across the region, including start-up and technology ventures; and with the Marine Stewardship Council to align regional eCDT design and implementation efforts and KDE standards to avoid duplication, ensure interoperability, and share lessons learned.

Also following midterm review recommendations, USAID Oceans began planning a Business Innovation Competition (BIC) to be held in Year Four. The BIC will be a regional event, with local engagement in Indonesia, the Philippines, and Thailand, open to entrepreneurs and early-stage startups from ASEAN countries who wish to develop or expand proven, commercially viable technologies to address conservation and coastal community livelihood challenges. The BIC will be a critical event to help catalyze the birth of new technologies that can support the region's growing eCDT demands, which currently exceed the availability of technology options available in the region. The BIC will also engage investors as technology funders, helping to build the investment community's awareness of marine traceability and conservation technology as an upcoming, sizable market.



**Ongoing Partner Engagement and Development.** In its third year, USAID Oceans participated in several regional and international events and workshops to engage with potential and existing partners, including fellow development partners working in the areas of fisheries sustainability and traceability.

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Throughout the year, USAID Oceans participated in several regional and international events and workshops to engage with potential and existing partners, including fellow development partners working in the areas of fisheries sustainability and traceability. The team participated in high-level events, including the North American Seafood Show, the largest seafood gathering in the US, held in March; the 15<sup>th</sup> INFOFISH World Tuna Trade Conference and Exhibition in Bangkok in May; and quarterly Seafood Alliance for Legality and Traceability (SALT) Data Labs, where USAID Oceans learned more about the Alliance and possible collaboration opportunities and served as technical experts and panel members during Data Lab programs.

USAID Oceans engaged with current partners throughout the year to carry out partnership objectives, including with regional partners SEAFDEC and CTI-CFF to build regional capacity around PPPs. In April 2018, USAID Oceans participated in CTI-CFF's Expert-Consultation Meeting on PPP Design and Arrangements which introduced and built a better understanding of PPPs amongst Coral Triangle countries. Out of the meeting a PPP task force was established to assist in the development and preparation of partnership proposals, with USAID Oceans to offer advice on as needed. This activity was part of the USAID/DOI-

supported Program on Strengthening Organizational and Administrative Capacity for Improved Fisheries Management (SOACAP-IFM).

The program also worked with partner Seafood Watch to organize joint trainings in its Indonesia and the Philippines learning sites on Seafood Watch’s fishery standards, assessment methodology, and their newly launched Human Right Risk Tool (HRRTS) to support EAFM activities and human welfare activities. The trainings linked Seafood Watch standards and additional human rights elements with country EAFM and sustainable fisheries management initiatives, enhanced the capacity of key fishery managers and industry stakeholders to use Seafood Watch standards and assessment tools, and developed plans between industry and government to meet the Seafood Watch “Best Choice” and “Good Alternative” bars.

USAID Oceans also coordinated with the Global Dialogue for Seafood Traceability (GDST) to further its work on traceability standards and protocols. USAID Oceans supported GDST in the development of their industry-backed traceability data recommendations, which used the program’s CDT 201 and KDE Manual recommendations as a starting point. Collaboration continued, including from August 30-31, when USAID Oceans participated in GDST’s Asia-Pacific Workshop to review the Basic Universal List of Key Data Elements, develop an implementation guide, and plan GDST pilot projects that will test interoperable data exchange along strategic global supply chains. USAID Oceans and GDST have developed several focus work areas for the upcoming year, including collaboration on exploring Blockchain for traceability,

Likewise, USAID Oceans also worked with the USAID Counter Trafficking in Persons (CTIP) project to align mutual interests and plan Year Four activities, and new/potential partners iRespond (around a technology pilot partnership), Global Initiatives (around potential collaboration in the 2019 Responsible Business Forum), and technology experts Consensys/Viant, Request Network, and Civic Ledger around the program’s Year Four-planned work in Blockchain for traceability.



**Leveraged over US \$1.1 million from public and private sector partners** in support of program objectives. In its third year, USAID Oceans continued to garner additional funding commitments from its partners, with funding matched for USG-investments.

USAID Oceans made significant progress against its Monitoring & Evaluation target, reaching over US \$1.4 million (to date) of total leveraged funding from public and private sector partners by the year’s close. Additional progress was made in the year to build a pipeline of leveraged funds for Year Four. The year’s major contributions came from Thai Union and Inmarsat, with other leveraged funding as follows:

**Table I. Funds Leveraged through Partnerships in FY2018**

Partner	Procurement or Agreement Type	Leverage (US \$)
Inmarsat	Concept Note	\$479,076
Thai Union	MOU	\$400,000
Seafood Watch	Concept Note	\$83,735
Masyarakat dan Perikanan Indonesia (MDPI)	Grant	\$75,000
Global Food Traceability Center	Subcontract	\$49,738
Marine Change	Subcontract	\$34,724
Technical Advisory Group	Informal Partnerships	\$8,250
<b>Total</b>		<b>\$ 1,130,553</b>

*\*This table shows the largest funding amounts received in FY18, for full details please see Annex IV.*

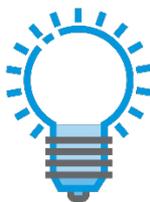
## 2.4 Ecosystems Approach to Fisheries Management

In Year Three, USAID Oceans built regional capacity for data-driven sustainable fisheries management, as well as concretely advance regional fisheries sustainability through the adoption of a Sub-Regional Sustainable Fisheries Management Plan for the Sulu-Sulawesi Seascape.



**Development and Socialization of the Sub-Regional Sulu-Sulawesi Seascape Sustainable (SSS) Fisheries Management Plan (SFMP).** USAID Oceans made significant progress in the adoption process of the Sub-Regional SSS SFMP that was initiated in 2017. The plan is the first known sub-regional EAFM plan in fisheries management literature; it proposes specific management goals, objectives, and management actions to be undertaken by relevant governmental agencies, non-governmental partners, and multi-lateral/regional organizations in Indonesia, Malaysia and the Philippines.

The first draft of the plan was completed in October 2017 and was formally endorsed by the CTI-CFF EAFM Working Group during the 13<sup>th</sup> CTI-CFF Senior Officials Meeting (SOM) in November 2017. At the SOM, the draft plan was also successfully integrated into the EAFM TWG's 2018 Workplan for further review. Throughout the year, USAID Oceans continued to develop the plan with regional contributors and to socialize it with relevant parties. In July 2018, the plan was reviewed at a Regional Convergence Meeting, hosted by CTI-CFF, and a second, final draft of the plan was developed by year's end for final regional consideration. The updated plan was submitted to USAID/RDMA for final comments and approval on September 27, 2018. At the close of the year, USAID Oceans was planning socialization meetings with relevant partners in Malaysia, the Philippines, and Jakarta in October and November of 2018. USAID Oceans looks forward to adoption at the 14<sup>th</sup> SOM in late 2018, and at the time of writing was working closely with SEAFDEC and CTI-CFF on the plan for adoption.



**Regional Capacity Building for EAFM.** USAID Oceans also dedicated significant time to regional capacity building through the development guidelines for *Rapid Appraisal of Fisheries Management Systems (RAFMS): Integration of Ecosystem Approach to Fisheries, Catch Documentation and Traceability, and Gender*, which documents the process that USAID Oceans has used to complete its EAFM work in support of CDT and gender objectives.

In Year Three, USAID Oceans worked to develop an updated RAFMS Guide to strengthen original EAFM guidance that was developed and released in 1996, with updates based on USAID Oceans' rapid appraisal studies and experiences. The guide is intended to support future regional EAFM and eCDT planning and covers topics such as holistic eCDT system design and development, roadmapping, gender integration, and strategies to address human welfare considerations. USAID Oceans completed content development for the guide in 2018 and will finalize and release the guide in Year Four.

## 2.5 Human Welfare and Gender Equity

In Year Three, USAID Oceans observed a significant shift in regional, international, and national partner interests in human welfare and gender equity in the fisheries sector. As the program has matured and interest in the Partnership's human welfare work has grown, it has become increasingly evident that USAID Oceans is

viewed as a leader in this space with significant technical expertise to benefit other developing and ongoing initiatives.



**Regional Networking and Capacity Building.** The program continued to nurture relationships with regional partners, including SEAFDEC and the CTI-CFF to support organizational capacity building and conduct regional activities in pursuit of program objectives, as well as engaged frequently with other development partners working in the space.

Throughout Year Three, USAID Oceans spent significant effort to strengthen their relationship with the Women's Leadership Forum (WLF), an initiative of the CTI-CFF and Coral Triangle Center (CTC). In November 2017, USAID Oceans' and SEAFDEC's Gender Specialists participated in WLF's Intergenerational Learning and Mentorship Program Leadership Training, held in Denpasar, Indonesia at the Coral Triangle Learning Resource Center, and following, to the WLF session at CTI-CFF's Senior Officials Meeting to present the program's gender strategies. WLF recognized USAID Oceans for its capacity building and networking support, including catalyzing the development of a CTI-CFF gender policy. Later in the year, in March, USAID Oceans was asked to begin hosting monthly Women Leaders Forum teleconferences. In this role, USAID Oceans has been able to strengthen regional collaboration for gender equity and bring together partners for regional planning.

With program partner SEAFDEC, USAID Oceans continued to work closely with the organization to align regional activities and networking opportunities, including those activities under SEAFDEC's USAID/DOI grant. Having regular communication to share information and experiences contributed to building capacity of the gender team at SEAFDEC. In October 2017, SEAFDEC joined USAID Oceans in attending USAID/RDMA's Collaborating, Learning, and Adapting Workshop for implementing partners which explored creative and innovative ways to achieve the goals of USAID's Gender Equality and Female Empowerment Policy. At the workshop, USAID Oceans presented a brief poster on the program's gender integration strategies, their implementation, and in-field experiences. The workshop allowed USAID Oceans to further examine the gender inequalities the Activity is addressing and allowed SEAFDEC the opportunity to partake in capacity building sessions, as well as learn from other USAID implementing partners.

USAID Oceans also availed of several opportunities presented by SEAFDEC throughout the year, including SEAFDEC-Sweden's Experts Consultation Workshop on Guidance to Monitoring and Evaluation of Gender Equity and Social Well-being in Fisheries Communities, held in August 2018, at which the program presented USAID Oceans' Gender Equity Theory of Change to the group. Inputs were provided into SEAFDEC's Toolkit for Addressing Gender Issues in Programs and Projects in Small-Scale Fisheries and Aquaculture in Southeast Asia.

From external partners, USAID Oceans' Human Welfare and Gender Specialist received numerous calls from and engaged with external, interested parties to discuss human welfare and gender in the seafood supply chain, including with Seafood Watch, the Carnegie Initiative, a project between the London School of Economics and Politics and the UK Space Agency on Improved Situational Awareness in Fisheries in the Philippines, the IUCN-Advancing Gender in the Environment (AGENT) partnership with USAID, as well as other U.S. government agencies such as the U.S. Department of the Interior. Partners sought results from USAID Oceans' research, learning site pilots, and inputs on their individual initiatives.

USAID Oceans also worked closely throughout the year with USAID/RDMA and USAID/Washington development experts who were interested in learning more about regional challenges for human welfare and gender equity within fisheries. In July 2018, USAID Oceans supported representatives from USAID/RDMA and the USAID Office of Forestry and Biodiversity on a study trip to Manado, Indonesia to visit field sites in

Manado, Bitung, the Sangihe Islands, and Nain Island. Throughout the week, the group met with USAID Oceans' gender partners (including the program's Year Three-selected gender grantee), local government, small-scale fishers, and industry partners through one-on-one meetings and focus group discussions to gather local perspectives and insights into human welfare and gender equity aspects relevant to fisheries management and traceability. Opportunities to interact and discuss human wellbeing topics with actors especially women along the tuna fisheries value chain provided insights to the needs, aspirations and constraints they face as they balance sustainable fisheries management practices with their daily lives. USAID Oceans will continue to facilitate USG learning through program experiences, as possible.



**Raising Awareness of human welfare and gender aspects of fisheries through participation in regional events.** The Partnership participated in a number of high-level, regional events throughout the year to share program experiences and lessons learned with stakeholders; a continued sign of growing international attention to human welfare and gender equity.

USAID Oceans participated in several high-level regional events as a leader in fisheries human welfare and gender equity work, including the Symposium on Gender in Aquaculture and Fisheries-India in Kochi, India, November 2017; the First Executive Committee Meeting of the Gender in Aquaculture and Fisheries Section of the Asian Fisheries Society, November 2017; the 7<sup>th</sup> Asia-Pacific Fisheries Committee Regional Consultation Forum Meeting of the Food and Agriculture Organization, held in the Philippines, May 2018; the 15<sup>th</sup> INFOFISH World Tuna Trade Conference and Exhibition International, May; and the 5<sup>th</sup> International Fishing Industry Safety and Health Conference, June in Canada.

Paramount, was USAID Oceans' planning and involvement in the 7th Global Conference on Gender in Aquaculture and Fisheries, to be held in Year Four, October 2018, in Pathumthani, Thailand. USAID Oceans worked closely with SEAFDEC and its learning site partners throughout the year to develop a strategic plan for how USAID Oceans could support the event and use the occasion to further its programmatic objectives. Plans include the development of a training handbook on gender in fisheries research methods and implementation in collaboration with the Gender in Aquaculture and Fisheries Section of the Asian Fisheries Society, the organizer of the conference. The handbook will contain gender research theories and practice, case studies, and learnings from USAID Oceans' experience in gender integration in rapid appraisal of fisheries management. USAID Oceans will also support its learning site gender partners and grantees to attend the conference, both to share their research through presentations and to network with other gender in fisheries experts.

## 2.6 Communications and Outreach

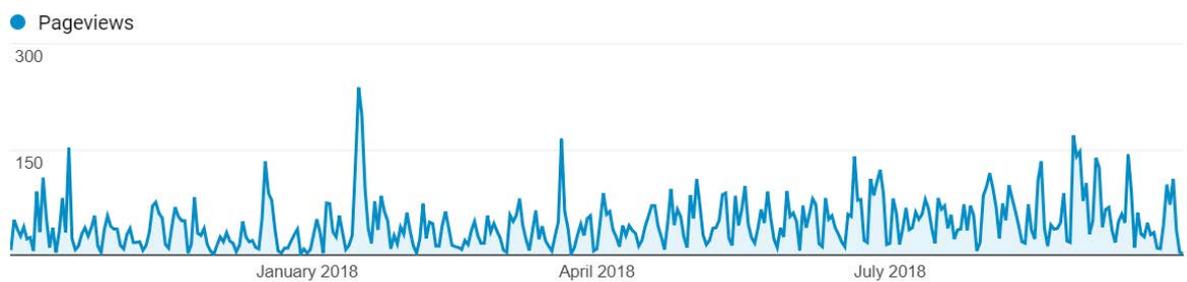


**Developed and disseminated program resources, progress to program partners through online outreach, including USAID Oceans' website and eNewsletters.** In Year Three, USAID Oceans continued engage program stakeholders through print and online communications to keep stakeholders apprised of program progress, achievements and raise awareness of the program—including two special online campaigns timed with international days of recognition.

USAID Oceans continued to manage the USAID Oceans program website as its primary online platform, which was updated with program news updates, resources, and events as available and continued to engage stakeholders. The program site more than doubled the number of visitors from its previous year, attracting

over 5,600 new users to the site (compared to 2,100 in Year Two). The website was accessed most frequently from the Philippines (24% of visitors), the US (19%), and Indonesia (11%), a strong indicator that program communications are effectively engaging its audience segments as intended. Other frequent visitors included those from regional partners, including Thailand, Malaysia, and Vietnam, but also included visitors from outside the region, including from France, Brazil, and the United Kingdom. The program’s website traffic reflects key program events and publications, such as distributions of program eNewsletter updates. On January 17, for example, the site enjoyed its highest number of annual visitors (238) when the year’s first eNewsletter issue was distributed. Of its visitors, the majority navigated to the page by organic search, direct navigation second most frequently, and a significant number were referred to the site from partner websites (BFAR, SEAFDEC, USAID, and Tetra Tech). These metrics align with USAID Oceans’ Communications Strategy and highlight that the program is reaching its intended audiences through the channels it has worked hardest to leverage.

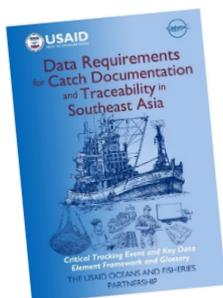
**Figure 2. USAID Oceans’ Year Three Web Traffic**



During the year, the program launched two primary web campaigns—one for International Women’s Day in March and one for World Oceans Day in June. Both campaigns were executed through the program’s website, its Technical Working Group Facebook Group which keeps stakeholders apprised of program progress and events, and through partner platforms.

In March, USAID Oceans and regional partners SEAFDEC, CTI-CFF, WLF-CTC participated in the [International Women’s Day celebration](#) on March 8, to show their commitment to progressing gender parity in fisheries and related fields through the larger, global #PressforProgress campaign. In June, around World Oceans’ Day, USAID Oceans released month-long social media content through its own Facebook Group, USAID/RDMA, and Tetra Tech. A highlight of the campaign was a [USAID Oceans Exposure story](#) on the size and importance of SE Asia’s seafood exports to international markets, particularly the U.S., and how USAID Oceans’ efforts to implement full-chain, digital traceability in place impacts both local and global markets, touching on human welfare and the power of partnerships. The piece garnered more than 4,000 likes on Facebook, a strong indicator that global audiences are interested in the USAID Oceans story and its impacts.

The program also continued to release its quarterly Making Waves eNewsletter, which continued to be received with open rates well above industry average, and was a strong driver for website traffic, as noted previously.



**Development of print and online informational materials to communicate activity progress.** USAID Oceans’ Year Three saw the completion of many USAID Oceans reports and program knowledge pieces. Two key program legacy documents were released in the first quarter—the Key Documentation Elements (KDE) Manual and the CDT 201. Following their finalization, the publications were posted on USAID Oceans’ web portal for public access and were distributed to program partners to support further eCDT development.

USAID Oceans also finalized and released several stakeholder event and research reports, including the proceedings from the Second Annual Regional Technical Working Group Planning Workshop Report, the Regional Fisheries Management Workshop Report, the Regional Gender Workshop Report; and technical reports including the Indonesia Key Data Elements Gaps Analysis, the Verité-produced Labor Analysis reports, the Thai Union eCDT Pilot Analysis, and others which can be referred to in Annex VI. Throughout the year, USAID Oceans released timely print communications materials, including a new suite of program factsheets, updated with current information on each technical area’s challenge, approach, and accomplishments. The program also released resources such as the [“Quick Reference” Key Data Elements Guide](#) that simplify and provide quick access to program recommendations and lessons learned. Local language print materials were also developed and disseminated, as needed through the year, in program learning sites. In addition to written materials, the program also developed a three-minute, animated video overview of its approach to eCDT, the partners involved, and its numerous benefits. The video will be finalized and launched in early Year Four.

Throughout the year, the Communications Manager also worked with the technical team to develop the concept and products for a Capstone Communications Product Suite, which will be key Life of Activity deliverables that document the program’s learnings and guidance. The products may be written, multimedia, or presented in other formats, and will begin to be released in Year Four to share USAID Oceans’ knowledge and findings for future development initiatives, fisheries experts, and regional stakeholders. By the close of the year, five priority products were selected by the group to advance into the development process. More information on each of these products can be found in USAID Oceans’ Year Four Work Plan.



**External communications through program partners and media to share USAID Oceans progress and approach.** In the interest of growing program visibility, further establishing the program’s technical team as leaders in the field, and to share program learnings, USAID Oceans also participated in a handful of “challenges” over the quarter and began receiving increased attention from members of media on program interventions.

During the year, the program developed proposals and entered into two USAID competitions, the USAID LEARN Collaborating, Learning and Adapting (CLA) Case Competition and USAID Digital Development Lab’s DigiAwards. The program unfortunately was not a final contestant in the challenges but gained valuable experience in entering USAID-wide recognition opportunities which will be useful in Year Four as the program has even greater impact to share. USAID Oceans also participated in an external challenge, the Make for the Planet Competition, organized by Conservation X Labs, held in June at the International Marine Conservation Congress in Kuching, Malaysia. The multi-day Make for the Planet competition invited conservation experts to pitch challenges to teams of inventors with various areas of expertise to create solutions for global biological conservation. At the challenge, USAID Oceans pitched a



USAID Oceans’ student team pitches a solution for enhanced seafood traceability at the Make for the Planet Challenge. Photo: USAID Oceans/IM. Roux

marine conservation and traceability challenge to competing teams, one that is core to traceability initiatives around the globe. The challenge offered participating teams opportunities to connect with professionals, experts, and potential partners to develop their ideas beyond the competition and allowed USAID Oceans to share its technical knowledge to mentor youth and young professionals.

Throughout the year, USAID Oceans also appeared in regional and international news. Local publications included articles, such as an article published by USAID Oceans' Human Welfare Specialist on "[The Importance of Gender in Fisheries: the USAID Oceans Experience](#)" in SEAFDEC's Fish for the People Magazine in September 2018. International coverage included coverage of USAID Oceans' August pre-Our Oceans Conference business roundtable discussion in Los Angeles, moderated by USAID Oceans' Partnerships Advisor, Mr. Tim Moore, and featuring USAID Oceans' Regional CDT Specialist, Mr. Farid Maruf, as a panelist. USAID issued a press release on the event, and secured coverage from international outlet [Seafood Source](#). At the close of the year, the program facilitated a visit to its General Santos City learning site for journalists pitching to The New York Times, the Washington Post, National Geographic, and the Guardian, with resulting stories expected to emerge in Year Four.

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**Participation in Key Regional Events.** USAID Oceans continued to build regional awareness of fisheries challenges and USAID Oceans-supported solutions through its participation in key regional events.

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Throughout the year, USAID Oceans participated in high-visibility conferences and events to build capacity and continue to raise awareness in program knowledge and value. These engagements included, but were not limited to, the:

- **Stimson Center's US-ASEAN Conference on Marine Environmental Issues and the Partnerships in Environmental Management for Seas of East Asia's (PEMSEA) Blue Economy Forum**, September 14-15, in Bangkok;
- **PEMSEA's Blue Economy Forum**, November 14-15, also in Bangkok, Thailand;
- the **Seafood Alliance for Legality and Traceability (SALT) program's Data Lab series**, funded by USAID and the Walton, Packard, and Moore Foundations, in Palo Alto, California, December 2017, and in Bangkok, July 2018. The Bangkok DataLab was held back to back with the program's TWG meeting, which successfully resulted in a high level of participation from ASEAN member country representatives;
- the **Seventh Asia-Pacific Fishery Commission Regional Consultative Forum Meeting** on May 7-9, 2018, in Cebu, Philippines; and
- the **Fusion Center Workshop and Table Top Exercise**, hosted by CTI-CFF in Manado, Indonesia, July 31 to August 3. To contribute to the meeting's goal to, "strengthen capabilities to enhance maritime environmental security by identifying information sharing methods and techniques that are available to counter Illegal, Unregulated, and Unreported fishing in the Indo-Pacific region," USAID Oceans gave a presentation on its regional electronic catch documentation and traceability (eCDT) work and its potential maritime security uses and merits.

These events enabled USAID Oceans' leadership and technical experts to share program progress with key target audiences, garner support for program interventions, and expand its role as a thought leader in the field. At the close of the year, as a regional thought leader, USAID Oceans also launched its "Lunch and Learn" series—an informal series of presentations by visiting experts in the fields of fisheries management, technology, conservation, or other relevant fields for USAID/RDMA representatives, other USAID program implementers, and others working in the field. On July 5, USAID Oceans hosted the Packard Foundation; on September 12, Global Initiatives; and on September 19, the National Geographic Society. USAID Oceans will continue this series in Year Four.

## 3. THE PHILIPPINES: NATIONAL AND LOCAL ACTIVITIES AND ACHIEVEMENTS



### Summary Highlights

In the Philippines, USAID Oceans key accomplishments included:

- Continued support to the Philippines Bureau of Fisheries and Aquatic Resources (BFAR) to **launch live-testing of their eCDT system** in General Santos City, including over **2.7 metric tons of seafood** tracked through the system;
- Launch of partnership with Futuristic Aviation and Marine Enterprises (FAME) and installation of their **small-scale vessel traceability technology**, a milestone in bringing Philippine small-scale fishers online and advancing their at-sea safety;
- Continued development and capacity for the learning site's **Sustainable Fisheries Management Plan**, with adoption targeted in Year Four; and
- Reinforced commitment to gender equity through the selection of a **gender intervention grantee**, the National Network on Women in Fisheries (WinFish).

### 3.1 Coordination and Capacity Building

USAID Oceans continued to work closely with the national Philippine government throughout Year Three, including with the Bureau of Fisheries and Aquatic Resources (BFAR) and complementary government agencies to coordinate and socialize program activities.



#### **Maintenance of clear lines of communication to support program**

**implementation.** Meetings and presentations were scheduled quarterly between USAID Oceans, BFAR, and USAID/RDMA (as available to attend) to discuss ongoing and upcoming activities, national and local priorities, and to make decisions on any adjustments that needed to be made to the Year Three implementation plan.

In addition to regular meetings, and in coordination with USAID Oceans Internal Midterm Review, USAID Oceans met with a host of Philippine stakeholders in March 2018, including government officials, industry members, and fisherfolks to gather partner feedback and gauge the effectiveness of program implementation thus far. In addition to individual meetings, USAID Oceans also held a Reflection and Learning Workshop in General Santos City to review and document the program's contribution to eCDTS adoption and strengthening of fisheries management and governance. Participants included BFAR, USAID Oceans' First Movers, who have signed on to be early adopters of the eCDT system, and several other partners (e.g., academe, NGOs) directly involved in the development/implementation of the eCDTS and USAID Oceans' activities.



**Contributions toward national and local technical capacity building.** To support the Activity's capacity building objectives, USAID Oceans supported several knowledge-sharing activities throughout the year that addressed each of the program's technical areas.

Throughout the year, USAID Oceans provided capacity building support to partners in the Philippines, not only to transfer skills and knowledge but also to support the development of policies and regulations that are critical to the implementation and sustainability of program interventions, like the eCDT system. In Q1, USAID Oceans extended technical support and resources to BFAR for an orientation on the requirements and provisions stated in BFAR Administrative Circular 251 (BAC 251) in General Santos and Sarangani province (Region 12) for local tuna fisheries stakeholders. BAC 251 is the primary piece of legislation that will support use of the eCDT system by industry partners. Later in the year, USAID Oceans and BFAR jointly organized and conducted a capacity building training for the beneficiaries of the Tuna Conservation and Management Zone (TCMZ) in Celebes Sea Area. The activity strengthened the participants' capacity on catch reporting, documentation and traceability using standard forms and BFAR's eCDT system, as well as strengthened support for improving fisheries management for tuna handline fisheries in Region 12. Throughout the year, USAID Oceans availed of opportunities to build capacity across its key technical areas.

USAID Oceans also held a special capacity building session around PPPs through a *PPP Orientation and Strategic Planning Session* with BFAR TWG members on November 9, 2017, in Manila, Philippines. The planning session was identified as a priority need during USAID Oceans' Midterm Partnership Review (Section 2.3), necessary to orient BFAR staff on USAID Oceans' activities in the Philippines, with a focus on PPP and CDT activities, to establish protocols among relevant strategic partners, and to clarify roles of BFAR's PPP TWG representatives. In February, the PPP team also led the coordination of a Seafood Watch training on its standards, assessment methodologies, and a new Slavery Risk Tool in General Santos City, Philippines. The training was strongly linked to program interests in capacity building for fisheries management and private sector benefits of eCDT adoption and enabled SFW to gather participant feedback on their current fishery assessments and build a foundation for more regular dialogue. For USAID Oceans and its local partners, the trainings were successful in underscoring the importance of data-driven fisheries management, supported by eCDT.



USAID Oceans' Contracting Office Representative, *Cristina Vélez Srinivasan*, gives remarks during the Opening Ceremony of the 20<sup>th</sup> Annual Tuna Congress. USAID Oceans/L. Garces

At the close of Year Three, in September, USAID Oceans participated and exhibited at the General Santos City-held 20<sup>th</sup> National Tuna Congress to showcase program progress, its regional lessons learned, and to hold a special side session on human welfare and gender aspects of fisheries. The event was participated by over 800 participants from various sectors related to the tuna industry. USAID Oceans exhibited the use of the Philippines' eCDTS and its progress, as well as presented its Philippines and Indonesian experiences, lessons learned, and development challenges.

### 3.2 Catch Documentation and Traceability

With the Philippines' eCDTS software developed in Year Two, with support from USAID Oceans, Year Three focused on testing and optimizing the system to troubleshoot any bugs or observed gaps, as well as engaging heavily with learning site industry members who will pilot the system—the First Movers. USAID Oceans worked heavily with grantee, the Soccksargen Federation of Fishing and Allied Industries, Inc. (SFFAI), and government partner, BFAR, to conduct activities and outreach throughout the year.



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**Continued capacity building support for eCDT system development and implementation.** USAID Oceans saw significant progress in the deployment of the learning site's eCDT system, with the beginning of the year characterized by final development workshops and the end of the year characterized by advanced systems testing through in-field First Mover use. By the year's close, over 2.7 metric tons of seafood had been tracked through the BFAR eCDT system.

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At the start of Year Three, in November and December, USAID conducted the last of the system development workshops and trainings with BFAR partners, who developed the back-end of the system's infrastructure in Year Two. In November, USAID Oceans' grantee, SFFAI, kicked off their grant (awarded at the end of Year Two) with an Inception Meeting and eCDT System Development Workshop in General Santos City to provide an overview of the grant objectives, present the status of the eCDT system, and deliver preliminary eCDT system training to industry representatives who will sign on as early adopters and First Movers in implementing and testing the system. This event represented the first major occasion of learning site First Movers being engaged and was a significant step in marking the beginning of their journey with the program.

Following, in December, USAID Oceans supported final eCDT software "Development Camps," part of a 2017-launched series that enabled BFAR developers to convene for dedicated days of system coding and optimization. The December Development Camp trained developers on making modifications to the web application for the eCDTS Registered Catch Certificate Module according to First Mover feedback and to update other eCDTS modules to prepare for first-mover deployment. The camp then brought BFAR eCDTS programmers to two learning site municipalities, Kiamba and Glan, to start the process of eCDT system development for municipal (small-scale) fisheries. The field visits enabled the development team to validate feedback, continue system testing and debugging of the system modules, make modifications to the system's mobile and web applications, and get better first-hand understanding of the supply chain in the municipal fisheries.

As part of USAID Oceans' support for small-scale traceability technology solutions, the team collaborated with the BFAR TCMZ to deliver a training for municipal handline fishermen in April 2018. Additional capacity building was conducted throughout the year with BFAR and other learning site partners through eCDT system implementation and testing, detailed further below.



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**Support to BFAR eCDTS development, implementation, and testing.** In early Year Three, USAID Oceans and BFAR team continued to finalize the eCDTS software and preparations at the learning site, with live eCDT system testing launched in May 2018.

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Year Three marked the busiest and closest period of coordination between USAID Oceans and BFAR as the program continued to offer development, implementation, and testing support to its government partners for its eCDT system. Throughout the year, eCDT Implementation Team meetings were held regularly, at least every two weeks, with representatives from BFAR Region 12 and USAID Oceans to iron out development and data entry challenges. Several larger meetings were held, as needed, throughout the quarter to discuss important issues, such as the scope of Key Data Elements to be included in the deployed eCDTS, communication strategies, and partnership arrangements.

By the end of Q1, USAID Oceans was pleased to be able to begin reporting results for its Monitoring and Evaluation Indicator #3, the number of stakeholders participating in the Catch Documentation and

Traceability System. With the continued development and optimization of the eCDTS in Q1, USAID Oceans formally secured the participation of thirteen fisheries sector partners to serve as system First Movers. Throughout the rest of the year, USAID Oceans and its grantee partner, SFFAI, continued engaging first-mover partners for technology installations, trainings, system testing, and optimization.

BFAR and USAID Oceans kicked off live eCDT data testing in the last week of May 2018, with select handline fishers, fresh frozen processors, and a purse seine and canning company in General Santos. Through this test, the partners encountered and troubleshooted several data-capture challenges. Because of these challenges, data testing was briefly postponed as partners worked out how to resolve the technical issues. This pattern continued throughout the year, with minor challenges being observed and the partners coming together to implement a solution and resume testing. USAID Oceans-supported “DevCamps” held in 2017 and earlier in the year were credited to the team being able to internally identify and resolve the system glitches.

System testing not only benefitted BFAR and other local partners, but also USAID Oceans’ regional partners. During testing, the week of May 7, USAID Oceans hosted a study trip to Manila and General Santos City for representatives of Yayasan Masyarakat dan Perikanan Indonesia (MDPI), the USAID SEA program, USAID/Indonesia and USAID/RDMA. The trip was intended as a grantee learning exchange, for SFFAI to share the knowledge gained, progress, and challenges of eCDT system development and implementation with Indonesia grantee MDPI. However, interest in the study trip rapidly grew upon announcement, and additional participants joined to see USAID Oceans’ in-field progress and impacts. During the trip, participants met with the BFAR Fisheries Information Management Center and grantee SFFAI, visited First Mover companies, and observed the new small-scale tracking and communication technology.

By the close of Year Three, BFAR had made significant progress in testing the system with industry First Movers, with the system tested systematically and in order of each node of the supply chain. In Year Four, system testing will be completed with the system launched through the complete supply chain.



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**Development and implementation of eCDT technology for small-scale, municipal fishers.** USAID Oceans progressed small-scale CDT capabilities and formalized a partnership with the Futuristic Aviation and Maritime Enterprise (FAME) to pilot eCDT technology on small-scale commercial vessels in its General Santos City learning site, amongst over 25 small-scale fishers.

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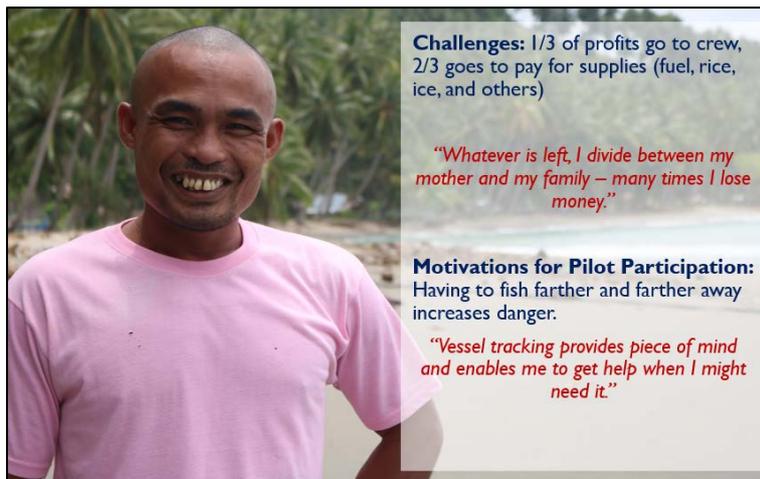
The Year Three launch of the USAID Oceans and FAME partnership was a significant program event, a milestone in bringing small-scale fishers online and ensuring system inclusivity. Following the launch of the partnership, USAID Oceans and FAME worked together to modify FAME’s existing technology to include additional features to support traceability objectives and provide small-scale users with added business value. New features include the e-logbook, fleet management, telemetry data, geo fencing, alert broadcasts and an emergency button. Additional enhancements were made throughout the year, such as NFC-card capabilities, which enable two electronic devices—in this case a portable device (the transponder) and an NFC card to establish communication and exchange data by bringing them within four centimeters of each other. The NFC card readers installed in the FAME transponders will enable the fishers to record point-of-catch data on the card which will accompany the fish to its point of landing for entrance into the eLogbook.

To prepare for system testing, USAID Oceans and FAME selected several suitable small-scale landing sites, including Kiama, Glan, and Maasim. In Q2, the program ramped up meetings with national and local government units (LGUs) to ensure their support of the system and FAME technology, including a January Focus Group Discussion with key representatives from General Santos City’s Local Government Units, BFAR Region 12, SFFAI and USAID Oceans. A key topic was LGUs’ critical role in the institutionalization of eCDT at the municipal level for small-scale fisheries. As a result of the discussion, the LGUs launched a campaign in March for boat and fisherfolk registration, with support from SFFAI, BFAR, and USAID Oceans. During the

campaign, licensing fees were reduced or waived, with cost being a major cause of non-compliance to the existing regulation on registration, permits, and licensing. Following, in June, the program met with BFAR Director, Commodore Gongona, who agreed and supported USAID Oceans’ pilot of the small-scale technology with tuna handliners in the learning site.

Coordination with local government was deemed a necessary step towards implementation of eCDT at the municipal level, and USAID Oceans continued to work with local partners throughout the year to gain their support and aid implementation. In February and March, the program held a series of meetings with the municipalities’ majors, all of whom expressed their support for an LGU-adopted resolution for eCDT institutionalization at the municipal level and requested USAID oceans work with the Association of Tuna Handliners (ATH) to strengthen their capacity for assisting in eCDT system implementation amongst the small-scale tuna handliners.

Following, USAID Oceans worked closely with the ATH to recruit small-scale First Movers. In July the partners conducted coordination meetings with tuna handliners and their associations along the coastal municipalities and city of Sarangani Bay as part of an eCDT outreach campaign that raises awareness amongst the fishers on the benefits of eCDT, introduced them to USAID Oceans, and presented basic information and benefits of FAME technology. In late July, USAID Oceans launched into the installation phase of FAME deployment when it received and inspected 30 small-scale vessel transponders in the learning site. USAID Oceans launched a short, mini-pilot around Sarangani Bay to verify the operability of the transponders and then scheduled installations with the small-scale First Mover partners who will pilot the devices in Year Four.



USAID Oceans met with First Mover partners in September 2018 to monitor their uptake of technology and discuss what each partner expected to gain from their new eCDT technology. USAID Oceans/M. Donnelly

By the end of Year Three, USAID Oceans and FAME had completed the installation of 29 of 30 small-scale vessel transponders and five transmission “gateways” that establish a 50km connectivity range in remote areas within the Sarangani Bay area. In September, First Mover fishers were already testing the location-tracking features of the technology. The small-scale fishers and their spouses were already reporting increased peace of mind about their safety at sea and their excitement for continued piloting in Year Four with additional transponder capabilities. At close of

the quarter, USAID Oceans was pleased to have reached a significant milestone in small-scale traceability and was working closely with FAME to continue testing the data capture and traceability component of the technology. In Year Four, USAID Oceans and FAME will also collaborate to build system integration and interoperability with BFAR so that the system is integrated into the larger eCDT system and other national databases.

### 3.3 Public-Private Partnerships

At the start of Year Three, at a broad, strategic level, USAID Oceans’ team digested the results of the Midterm Partnership Portfolio Review (Section 2.3) which examined USAID Oceans’ current and potential partnerships in the Philippines and developed several recommendations for further action. The recommendation to develop and launch a partnership with FAME was realized within the year. The second accomplishment included ongoing support to program grantee, SFFAIL, who leads the program’s learning site

industry engagement in support of the BFAR eCDT system and was able to sign on a full group of industry First Movers to pilot the system within the year.



**Support for eCDT development, implementation and testing through the development and maintenance of new and ongoing partnerships.** In Year Three, a large part of USAID Oceans' PPP activities focused on the launch of a partnership with FAME for small-scale vessel traceability and ongoing support to program grantee, SFFAI, eCDT system implementation.

Paramount to USAID Oceans' Year Three PPP efforts was the finalization and public announcement of a partnership agreement with FAME to develop, implement, and test eCDT and communications technologies in the Philippines' small-scale fisheries. The partnership signified a significant step forward in the program addressing small-scale traceability challenges and helping to bring the sizable sector "online." FAME is the leading provider of small-scale vessel trackers and monitors, and by end of year had brought approximately 30 transponders online in the learning site's small-scale vessels.

USAID Oceans also expects that the FAME partnership will leverage over \$67,000 of in-kind, private sector funding toward the program's matched funding goal in Year Four. Looking ahead, at the close of the year, USAID Oceans and FAME were in early stages of discussion for a phase two of the partnership to synthesize lessons learned from the learnings site and to explore the possibility of scaling to other sites and countries.

### 3.4 Ecosystem Approach for Fisheries Management

USAID Oceans seeks to build national and local capacity for data-driven sustainable fisheries management through EAFM, as well as concretely advance fisheries sustainability through Sustainable Fisheries Management Plans (SFMPs). In Year Three, the program made significant progress in advancing learning site SFMPs and, in doing so, advancing stakeholder capacity to design, implement, and monitor such plans.



**Continued development of the learning site's Sustainable Fisheries Management Plan.** During Year Three, USAID Oceans progressed learning site fisheries management planning in support of the 'Fisheries Component' of the Protected Area Management Plan (PAMP) of Sarangani Bay Protected Seascape.

USAID Oceans progressed learning site fisheries management planning through an October 2017, planning workshop where TWG members and other Region 12 stakeholders continued to draft the Sustainable Fisheries Management Plan for Sarangani Bay and its adjacent waters in the Sulawesi Sea. The workshop was conducted with and co-funded by BFAR Region 12 under BFAR's "Mainstreaming EAFM" program and attended by representatives from BFAR, its Fisheries and Aquatic Resources Management Council, the Department of Environment and Natural Resources, Coast Guard, NGOs, the private sector, academe, SEAFDEC and USAID Oceans. USAID Oceans' Gender Specialist participated in the workshop to facilitate group discussions on the human well-being and gender aspects of fisheries management and ensure incorporation in the plan.

Throughout the year, USAID Oceans engaged with national and local partners to socialize garner support for the plan, including through participation and support of complementary BFAR fisheries management initiatives, including a November BFAR Stakeholder Workshop on Fisheries Management and Harvest Control Rules in Tagaytay. Participation in the workshop helped to advance USAID Oceans' sustainable

fisheries management planning efforts by providing a venue for coordination with USAID Oceans' national EAFM TWG and continuing to align the EAFM plan of Region 12 to the Fisheries Management Areas.

By the close of February, USAID Oceans has submitted a draft of the plan to BFAR and, in line with the required legitimization procedure, requested BFAR to spearhead the review, finalization, and adoption process that will continue into USAID Oceans' Year Four. Following submission, USAID Oceans conducted a series of meetings with national and provincial government representatives to socialize the plan and garner support. As a result of a March meeting with the Provincial Governor and his staff, USAID Oceans requested that the Provincial Government encourage all municipal LGUs to support the adoption of the USAID Oceans-supported Fisheries Annex as part of the Protected Area and Management Plan of Sarangani Bay Protected Seascape. By the close of Year Three, the LGUs of General Santos City and the Municipality of Kiamba had successfully passed resolutions and/or allocated funding to adopt the Fisheries Annex as part of the larger Protected Area and Management Plan of Sarangani Bay Protected Seascape.

By the end of Year Three, USAID Oceans was working to organize, in collaboration with BFAR 12 and the Mainstreaming EAFM TWG, a review and finalization workshop for Year Four to review and finalize the draft SFMP, which is complementary to the Sarangani Bay Fisheries Annex and supports the Sulu-Sulawesi Seascape Sub-regional EAFM Plan. The program also continued to work with BFAR and other partners to explore linkages between the learning site SFMP and larger national and regional plans—a real-world example of the program's continued advocacy for scaled planning efforts that link "up" and "down" to meet a range of objectives. In June, for example, USAID Oceans' Fisheries Management Specialist attended a BFAR Workshop that discussed the preparation of an implementation and monitoring plan for the Philippine's National Tuna Management Plan to explore the linkages between the program's learning site SFMP and the National Tuna Management Plan, particularly how USAID Ocean's SFMP can support the National Plan. USAID Oceans is also continuing to work with BFAR 12 for the review and finalization of the draft Sarangani Bay-Sulawesi Sea Sustainable Fisheries Management Plan that complements the Fisheries Annex.



#### **Catalyzing and building capacity for data-driven fisheries management.**

Reflecting on its Year Three progress and the additional work needed in the learning site to fully demonstrate the benefits of eCDT for sustainable fisheries management, USAID Oceans announced in Year Three its plans to release a third and final round of grants (the first being in support of eCDT and the second in support of gender interventions).

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In Q4, the USAID Oceans team developed a Request for Applications for a grant on the *Study on Use of Catch Documentation and Traceability (CDT) Data to Improve Fisheries Management in the Philippines*. The grant will seek a local organization to, using eCDT system data, demonstrate the benefits of real-time data for learning site fisheries management. The program will launch the application in early Year Four, with award to follow in 2019.

### **3.5 Human Welfare and Gender Equity**

One of the program's largest accomplishments in Year Three was the development, review, and selection of the program's second set of grantees, led by the Human Welfare workstream to deliver gender interventions. In acknowledgement of the central importance of addressing human welfare and gender equity concerns in the fisheries sector and to harness the power resulting from fairer, gender equitable seafood supply chains, USAID Oceans developed the grant opportunity in Year Three and selected a local grantee to implement the interventions in Year Four. In addition, USAID Oceans continued to work with its existing national and local partners to advance human welfare and gender equity aspects and continued to work with the internal USAID Oceans team to ensure these aspects are integrated in all program activities.



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**Ongoing coordination with national and local partners to building capacity, facilitate networking** to further program human welfare and gender equity objectives. Throughout the year, USAID Oceans continued to work closely with its TWG Group partners at BFAR and with BFAR's Gender and Development (GAD) Focal Point System team leaders, as well as with other interested USG partners and non-governmental organizations.

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USAID Oceans met with partners throughout the year to identify strategic activities and events to advocate for gender integration, such as International Women's Day (see Section 2.6), and to discuss updates on USAID Oceans' human welfare and gender workstream. USAID Oceans also continued to develop local constituencies and partnerships, holding meetings with organizations such as Mindanao State University (MSU), as well as regional and international partners, such as the UK Space Agency's International Partnership Programme to share program lessons and resources from the Philippines learning site.

At the close of Year Three, in September 2018, USAID Oceans' Human Welfare and Gender Equity workstream held its largest capacity building event through a special side session at the learning site's annual National Tuna Congress to build the capacity of those involved in the fisheries sector in regard to human welfare and gender equity aspects of the supply chain. Central to the side session was a gender sensitivity training; the program and its learning site research and grantee partners also shared recommendations from the program's extensive sector research and garnered support from participants to support and participate in the activities of the newly awarded gender grantee. The session was attended by 68 participants (39 female, 29 male) and six USAID Oceans staff. By sector, nearly half of the participants were government employees and officers, followed by university students, academe, private sector representatives, non-government or civil society, and regional organizations (i.e., USAID/RDMA and SEAFDEC). Event evaluations were very positive and indicated participants' desire for more learning events to understand and learn more about gender aspects of fisheries. USAID Oceans looks forward to increased gender equity outreach in Year Four once the program's gender intervention grant is fully awarded and operational.



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**Support for improved human welfare and gender equity in learning site supply chains** through development of gender intervention grant. One of the program's largest accomplishments in Year Three was the development, review, and selection of the program's second set of grantees

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In acknowledgement of the central importance of addressing human welfare and gender equity concerns in the fisheries sector and to harness the power resulting from fairer, gender equitable seafood supply chains, USAID Oceans developed a Scope of Work for the new learning site grant in early Q1. In Q2, March 2018, USAID Oceans released an open Request for Applications for the grant. The application called for gender interventions to be undertaken through a local grantee to enable women and men in the fisheries community to recognize the importance of their own role and local contributions toward advancing sustainable fisheries management. USAID Oceans strongly believes that building capacity, particularly for women who are misrepresented and unrecognized, will empower them to participate more effectively in the implementation of fisheries management efforts. The application submission window was closed in April 2018, and USAID Oceans' Grants Manager led the team to develop an Evaluation Panel and follow a systematic selection process.

The program received several applications from interested organizations in the Philippines who were reviewed by the Evaluation Panel in April and May. The Evaluation Panel invited members of USAID Oceans, the TWG, and partners SEAFDEC and CTI-CFF to participate in the review. By the close of the quarter, on June 13, USAID Oceans announced the National Network on Women in Fisheries (WinFish) as the selected grantee. The program publicly announced its selection at the July TWG Workshop.



USAID Oceans honored its newest grantees at the Third Annual TWG Workshop, celebrating their dedication to gender equity in sectoral supply chains. USAID Oceans/M. Donnelly

Through the close of the year, USAID Oceans' Human Welfare and Gender Specialist worked closely with WinFish to further fine-tune the grantee proposal in preparation for launch and implementation in Year Four. USAID Oceans' National Coordinator also conducted a Simple Pre-Award Survey to determine readiness and capacity of the organization to manage a USAID grant. USAID Oceans looks forward to grant award and operationalization in Year Four.

## 4. INDONESIA: NATIONAL AND LOCAL ACTIVITIES AND ACHIEVEMENTS



### Summary Highlights

In Indonesia, USAID Oceans key accomplishments included:

- **Providing capacity building and technical guidance** to advance the Indonesia Ministry of Marine Affairs and Fisheries' (MMAF) internal downstream traceability system, STELINA;
- **Launch of three eCDT solutions** with various stages of further development, testing, with traceability transactions being logged;
- **Continued support for eCDT development,** implementation and testing through the development and maintenance of new and ongoing partnerships;
- **Continued advancement of the Sustainable Fisheries Management Plan** for Fisheries Management Area (FMA) 716; and
- Reinforced commitment to gender equity through the selection of a **gender intervention grantee**, KELOLA.

### 4.1 Coordination and Capacity Building

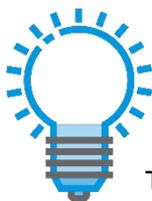
USAID Oceans continued to work closely with national and local Indonesian government partners throughout Year Three, including with MMAF and complementary government agencies to coordinate and socialize program activities.



**USAID Oceans engaged closely with the national Indonesian government, including the Ministry of Marine Affairs and Fisheries (MMAF) and complementary government agencies to coordinate and socialize program activities. USAID Oceans focused heavily in Q1 on the finalization and signing of the Implementing Arrangement (IA) between USAID/RDMA and MMAF's Secretary General.**

In Year Three, USAID Oceans sought and obtained two important administrative agreements from the Government of Indonesia to formalize the program's engagement in its Bitung, Indonesia learning site and begin in-field implementation. This included an Implementing Arrangement with the Government of Indonesia, which was successfully secured in Year Three's first quarter. On December 21, 2017, MMAF's Secretary General signed the IA, a mandatory requirement for registering USAID Oceans as foreign grant with the Indonesian Government through its Ministry of Finance. In Q2, MMAF also formalized engagement with USAID Oceans through a Ministerial Decree, signed by the Head of Legal and Organization Bureau on March 5, 2018. After these arrangements were obtained, coordination and collaboration between USAID Oceans' Indonesia team and the Indonesia TWG was significantly improved as a result of this strong, legal foundation.

Following the finalization of these documents and throughout the entirety of the year, USAID engaged with national TWG members through a series of executive meetings which included high-level decision-makers such as the Directorate General of Capture Fisheries (Directorate of Fisheries Resources Management, Directorate of Fishing Port), Directorate General of Marine and Fisheries Product Competitiveness (Directorate of Business and Investment, Directorate of Marketing), the Research and Human Resources Agency (Fisheries Research Center, Training Center), and the Secretary General Office (Center of Data, Statistics and Information). At the regular meetings, TWG members provided positive feedback on USAID Oceans' work and provided input to technical workstream activities. Government partners also continued to voice, throughout the year, their interest in USAID Oceans' support to MMAF on eCDT system integration and human welfare and human rights issues.



**Contributions toward national and local technical capacity building.** To support the Activity's capacity building objectives, USAID Oceans supported several knowledge-sharing activities throughout the year in each of the program's technical areas.

Throughout the year, USAID Oceans provided capacity building support to Indonesian partners, including support to the Government of Indonesia for the development, implementation, and testing of their internal downstream traceability system, STELINA, or the Indonesia Sistem Telusur dan Logistik Ikan Nasional or National Fish Traceability and Logistic System (Traceability System for Fish and Fishery Product Inventory). The government-led downstream traceability system will



*Seafood Watch's Wendy Norden sits down with Bitung stakeholders at the February 2018 workshop. Photo: USAID Oceans/M. Donnelly*

track the movement of seafood from point of landing and first sale, all the way to export, and will be the backbone of the Directorate General of Fisheries Product Competitiveness' traceability system.

USAID Oceans also supported capacity building across the program's other technical areas. In February 2018, for example, the PPP team led the coordination of a Seafood Watch (SFW) training on SFW standards, assessment methodologies, and SFW's new Slavery Risk Tool in Manado. The training was strongly linked to program interests in capacity building for fisheries management and private sector

benefits of CDTs adoption and enabled SFW to gather participant feedback on their current fishery assessments and build a foundation for more regular dialogue. For USAID Oceans and its local partners, the trainings were successful in underscoring the importance of data-driven fisheries management, supported by eCDT.

In coordination with the Indonesia-based regional learning exchanges (detailed in Section 2.2), the activity also participated in and supported a MMAF-hosted ASEAN Tuna Eco-Labeling (ATEL) Consultative Workshop. ATEL is an ASEAN-wide initiative to establish and adopt an ASEAN tuna ecolabeling scheme that is affordable, consistent with existing standards, and less burdensome for a wide range of relevant fishery stakeholders than alternative schemes. The workshop was designed to receive input from a range of relevant stakeholders, including government officials and non-governmental representatives. While USAID Oceans does not advocate for or promote any certification schemes, it recognizes the initiative's potential to drive regional adoption of robust traceability systems and advance regional uptake of electronic CDT technology. The workshop served as a venue to discuss broader traceability topics and build capacity amongst participants in understanding common traceability challenges and opportunities.

## 4.2 Catch Documentation and Traceability

In Year Three, USAID Oceans' completed the design and development of three supply chain eCDT solutions, with implementation achieved by the close of the year and in various stages of testing, with traceability transactions being logged. USAID Oceans also worked closely with MMAF to support its internal traceability system development.



**Development, implementation, and testing of eCDT solutions, supported by continued capacity building and outreach.** USAID Oceans worked heavily with grantee, MDPI; government partner, MMAF; small- and large-scale First Mover industry partners; and technology partners to develop and implement learning site eCDT technology that connects the seafood supply chain, from “bait to plate.”

In Year Three, USAID Oceans worked closely with its learning site grantee, Yayasan Masyarakat dan Perikanan Indonesia (MDPI), to socialize eCDT benefits, solutions, and opportunities and to build the capacity of learning site partners. In the year's first quarter, MDPI held a project introduction for industry representatives to familiarize the companies with MDPI's new role as USAID Oceans' grantee and begin developing work plans for the coming year.

During the year, MDPI developed a Data Management Committee (DMC), as part of its grant deliverables. DMCs are an integral part of MDPI's work and bring together stakeholders from local tuna fisheries including the provincial and local government, industry and fishers, academia, NGOs, industry associations and scientists to discuss fisheries management issues. The DMC met over the course of the year, and at meetings MDPI presented protocols and processes for maintaining logbooks and other capacity building topics.

MDPI also worked closely with industry members throughout the year, both large- and small-scale, to deliver trainings and conduct outreach to support each partner's involvement with learning site implementation and testing activities. Technical capacity building details are provided throughout the following section.



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**USAID Oceans continued to work with MMAF in developing STELINA, MMAF’s downstream traceability, inventory, and logistics system**—the Indonesia Sistem Telusur dan Logistik Ikan Nasional or National Fish Traceability and Logistic System (Traceability System for Fish and Fishery Product Inventory). The government-led downstream traceability system will track the movement of seafood from point of landing and first sale, all the way to export, and will be the backbone of the Directorate General of Fisheries Product Competitiveness’ traceability system.

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Continuing its ongoing support efforts to MMAF traceability initiatives, USAID Oceans provided technical advisement to MMAF for the system’s design, development and implementation that continued throughout the year as system planning advanced. USAID Oceans held a series of coordination meetings with MMAF officials throughout the year and engaged with other directorates to ensure the STELINA system is integrated with other existing applications in MMAF, including the logbook and e-logbook systems, vessel registration, and catch and health certificates. By integrating STELINA with the existing upstream systems, MMAF will have solid platform for end-to-end traceability. USAID Oceans has drawn from its experience in the Philippines and development of the BFAR-developed eCDTS to inform its support to Indonesia.

In Q2, USAID Oceans worked with other directorates to strengthen data capture at point of catch through the logbook as a robust system requires robust data. Since, under current regulations, every vessel above 5 GT must submit a logbook using a standard format that is sometimes too cumbersome for vessels between 5-10 GT, USAID Oceans participated in several discussions with the USAID Sustainable Ecosystems Advanced (SEA) project and the MMAF Directorate Capture Fisheries to develop a logbook for small-scale fisheries together. MMAF is planning to amend the regulation, requiring only vessels 10 GT and above to use the standard format, and allow vessels below 10 GT to use the small-scale logbook, and USAID Oceans and USAID SEA worked together to form a working group to support this regulation.

By Q3, on May 24, MMAF unveiled STELINA to industry representatives and gathered inputs to optimize the system that will also be piloted Bitung. At the unveiling, held at the Oceanic and Fisheries Port Authority of Bitung, several companies expressed their interest to engage as First Movers. Following the unveiling, MMAF also presented the system to USAID Oceans TWG representatives that gathered for the June 2018 Learning Exchange with ASEAN and CTI-CFF representatives (noted earlier in this section). In MMAF’s overview of STELINA, the system’s ability to connect the Indonesian Government’s numerous fisheries databases, which currently operate independently, was highlighted. USAID Oceans continued its support through the close of the year as MMAF worked to implement and test the system among First Movers.

By the close of the year, in Q4, STELINA was actively being rolled out in the Bitung learning site. In the last week of August 2018, training and acceptance testing was conducted for STELINA. USAID Oceans’ team supported this training, leading many training sessions that were delivered to approximately 40 industry and government representatives. Despite some expected data entry issues that are part of rolling out any new electronic system, the test successfully collected data and gathered more information and inputs for continuous improvement of the system design. At the training, MMAF and USAID Oceans provided four tablets to four First Mover suppliers that will pilot the system and continue to enter data over the remainder of the trial period.



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**Development and implementation of three eCDT technology solutions.** In order to have a robust, end-to-end traceability system, USAID Oceans has always acknowledged that robust technology is needed at each stage of the supply chain to enable efficient, transparent data to be entered throughout the product’s journey. In Year Three, USAID Oceans completed development of **three eCDT technologies** and completed various stages of testing with First Mover partners.

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In Year Three, the program worked closely with its full range of partners—grantee MDPI, national and local government, technology providers, and industry small- and large-scale First Movers to develop, implement, and complete various stages of testing on three eCDT technologies that enable data capture at the point of catch, point of landing, and processing. Data capture, and other value-added functions, were made possible (respectively) through Pointrek, Trafiz, and TraceTales.

While development of each technology was undergoing various stages of design and build, in December 2017 (Q1), MDPI began to engage potential First Mover partners and their small-scale fisherman suppliers in Manado to identify vessels suitable for eCDT pilot testing. USAID Oceans' technology partners attended these site visits to survey the fishing vessels that will carry the eCDT devices. By the end of the quarter, USAID Oceans had secured partnership agreements from 13 First Mover companies that will test each eCDT solution. The development progress of each is detailed below.

To enable **data-capture at the point of catch**, in Q1, USAID Oceans conducted a series of technical meetings and mini-workshops with technology partner Inmarsat and their implementation partner, Sisfo. USAID Oceans and Inmarsat launched their partnership in Year Two to support at-sea data capture and transfer. Sisfo's *Pointrek* vessel monitoring system (VMS) technology enables vessels monitoring, at-sea data capture, and ship-to-shore data transmission through the satellite-enabled ship connectivity. The organizations discussed USAID Oceans' Key Data Element (KDE) requirements and the modifications required to the *Pointrek* technology to accommodate these data elements and comply with Indonesia's logbook requirements. USAID Oceans also worked directly with MMAF and industry partners throughout the year to continue to build support and capacity for standardized KDEs that can be used for local implementation. In Q2, March 24, MMAF cleared the *Pointrek* system as able to meet logbook requirements and requested that the system also be modified to exchange data with MMAF's logbook database, SILOPI. Completion of these modifications and successfully securing MMAF's support to move forward with the technology marked a large success for the program in its work to establish at-sea data capture.

Moving into the installation phase, MMAF requested that USAID Oceans ensure that the vessels that would pilot the devices meet all compliance requirements, including all permit, registration and re-measuring requirements. To meet this request, USAID Oceans conducted a series of meetings with related divisions, including Bitung Port Monitoring, Control and Surveillance; Fisheries Resources; and series of meetings with the licensing department. By the end of March, all meetings were completed and all ten vessels were cleared to receive the *Pointrek* devices.

In Q3, from April 23-27, USAID Oceans and technology partner, Sisfo, installed the *Pointrek* devices aboard vessels from First Movers, BMB and Nutrindo Fresfood. The installed *Pointrek* equipment included four devices: a power box and backup battery; a Wi-Fi access point to access the catch reporting software; the antenna, to communicate to the Inmarsat satellite; and a seven-inch Android Tablet that enables input of catch reporting data and ship-to-shore communication. Following installation, onsite training was delivered to the vessel captains and crew. While the technology introduces cutting-edge advancements in at-sea data capture, USAID Oceans acknowledges that seamless use of the new tools will take time as vessel captains and crew have very limited experience using smart phone technology. To support this steep learning curve, Sisfo provided a hotline support number for the new users to address any questions or challenges. Both BMB and Nutrindo expressed their excitement in piloting the new technology, noting that the devices will enable them to monitor, in real time, the amount of fish being caught at-sea—an immediate added business-value feature.



A fisherman demonstrates use of on-board eCDT technology used to capture data at the point of catch. USAID Oceans/M. Donnelly

By the close of Year Three, the *Pointrek* devices were being regularly used by BMB and Nutrindo, with the program planning to install additional devices with First Movers in early Year Four to expand pilot testing.

To enable **data-capture at the point of landing**, the program set out in Year Three to develop a new technology solution that would be inclusive of small-scale fishers. As data capture at sea hold many barriers for small-scale fishers, USAID Oceans would develop a mobile application to allow data to be captured at the seafood's point of landing by small-scale middlemen who buy the fish from individual small-scale fishers and sell the product to larger industry partners, like BMB and Nutrindo.

USAID Oceans developed and issued a Request for Proposal for the supplier app development to provide a data collection tool for small-scale fisheries, ensuring they are able to participate in and comply with traceability requirements. Following, in early Q3, USAID Oceans selected and finalized a contract with software developer, Altermyth, to develop the *Trafiz* mobile application. USAID Oceans and Altermyth held kick-off meetings in April, established a development timeline, and conducted a field validation and trip, attended by more than 18 people including partners from MMAF and MDPI to meet First Mover suppliers, Nutrindo and PT. Blue Ocean Grace International (BOGI). At the meetings, MMAF voiced strong support of USAID Oceans' work to enhance system interoperability and to integrate value-added business features within the traceability tool.

In August, development of *Trafiz* was completed and in the first week of the month, USAID Oceans conducted User Acceptance Tests of its newly developed supplier app with First Mover suppliers in Bersehati Market, Manado and in the Sangihe Islands, respectively. A set of mobile phones and tablets installed with *Trafiz* were handed over to the suppliers for initial testing. USAID Oceans worked closely with grantee MDPI to monitor the trial process over the weeks that followed. From the testing, USAID Oceans and Altermyth were able to gather user input and made initial adjustments to the app, with a second (2.0) version of the app delivered to suppliers by the end of the month. By the close of Year Three, USAID Oceans' two First Mover suppliers had used *Trafiz* to record over 1,240 transactions and 78,561 kilograms of tuna from more than 80 small-scale fishers.

To enable **data-capture through processing**, USAID Oceans worked closely with grantee, MDPI, and First Mover processor Blue Ocean Grace International (BOGI) to develop and implement processor eCDT technology, *TraceTales*. BOGI is one of two companies who will pilot the *TraceTales* system, which is comprised of digital scales, laptops, printers, servers, a Wi-Fi receiver, and is packaged in convenient, weather-proof trolleys for processing floor use. The system enables staff to enter data through each processing station, from receiving, cutting, storing, retouching, and packaging.

Following a system development period in Q1, where MDPI developed the system software and worked closely with BOGI to customize the *TraceTales* system to their operations, installation occurred in February 2018. Over the following months of the year, BOGI piloted the system—initially running its paper-based system in parallel with the new, completely electronic system. By the close of Year Three, the company had converted its operations over fully to the *TraceTales* system, except for at the final stages of production where they maintained one, final paper-based record-keeping step. The company reported that the new-found efficiencies had allowed them to reduce their record-keeping team from a staff of seven to five, moving the two employees to more advanced human resource positions.

Throughout the year, MDPI closely monitored BOGI's implementation of *TraceTales* and completed a pilot analysis that can be used to inform testing with additional First Mover Partners. While at the end of Year

Three, *TraceTales* was not able to be fully connected to the (pre-chain) suppliers or to (post-chain) exporters or government systems, interoperability was built into the system’s design and will be connected in Year Four to pre- and post-chain systems for full-chain traceability. In Year Four, *TraceTales* will also be installed with a second First Mover.

With the three eCDT solutions fully developed in Year Three, with testing initiated, USAID Oceans will focus in Year Four in connecting each of the technologies for full-chain traceability—from “bait to plate.” USAID Oceans’ grant with MDPI concluded during Year Three, however, the partners will work together to Year Four to deliver continued support to learning site partners.

### 4.3 Public-Private Partnerships

At the start of Year Three, at a broad, strategic level, USAID Oceans’ team digested the results of the Midterm Partnership Portfolio Review (Section 2.3) which examined USAID Oceans’ current and potential partnerships in Indonesia and developed several recommendations for further action. Indonesia-specific recommendations focused on further leveraging existing partners, including ongoing support to MDPI and development of a partner alliance, the Indonesia Coastal Tuna Sustainability Alliance (ICSTA). Progress toward each of these recommendations, as well as other workstream accomplishments are detailed below.



**Support for eCDT development, implementation and testing through the development and maintenance of new and ongoing partnerships.** In Year Three, a large part of USAID Oceans’ PPP activities focused on providing ongoing support to program grantee, MDPI, and learning site industry and technology partners.

In Year Three, USAID Oceans worked closely with existing partners to support program implementation, including program grantee MDPI. Support activities included general coordination efforts to align grantee activities with USAID Oceans and MMAF priorities, as well as capacity building for M&E management through a one-on-one orientation with MDPI staff and USAID Oceans’ Monitoring and Evaluation Specialist. By the close of the year, USAID Oceans’ grant to MDPI concluded. In Q3, USAID Oceans met with MDPI as a part of the grant close-out process to review remaining grant milestones, and the team discussed ways to continue the partnership after the grants’ conclusion. In August, the MDPI grant came to a close with grant activities successfully completed as required. In Q4, the partners worked together to develop a scope of work for MDPI to continue supporting the program in Year Four. Technical details and accomplishments of MDPI’s work can be found in Section 4.2.

To further support eCDT implementation, USAID Oceans’ PPP team also continued to work with Inmarsat and other technology and communication service provider partners to complete development of eCDT technology. USAID Oceans and its partners worked to design, develop, procure, and install eCDT technology, as detailed in Section 4.2. USAID Oceans also continued to explore additional partners to support ongoing program activities and objectives. For example, in November 2017, USAID Oceans met with the Walton Family Foundation to leverage and maximize the results of the MDPI grant and provided inputs to a grant that Walton is awarding to USAID Oceans’ partner International Pole and Line Foundation (IPNLF) to drive improvements in Indonesia’s pole-and-line and handline coastal tuna through market-based incentives.

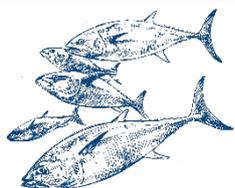
A larger partnership exploration was conducted to facilitate and engage in regional dialogues on sustainability and traceability, as recommended by the program’s Midterm Partnership Appraisal. USAID Oceans explored the value of providing support for the development of the Indonesia Coastal Tuna Sustainability Alliance (ICSTA)—an alliance to be formed by MDPI, IPNLF, and Asosiasi Perikanan Pole & Line dan Handline Indonesia (AP2HI). USAID Oceans sees the ICSTA as a key platform to scale the CDT system being piloted in Bitung. The Alliance stands to be able to enhance commercial viability of the system by incorporating

other technologies and initiatives implemented by like-minded companies and partners. The Alliance can also support more effective industry-government engagement on key fisheries reforms.

The idea for the ICTSA was developed in Year Two but delayed due to members' lack of capacity. In Year Three, USAID Oceans renewed efforts to move the Alliance forward and developed a Statement of Work in Q2 for several Alliance objectives and deliverables that would contribute to the program's work. By the close of Year Three, alliance members had agreed to move forward with the Alliance's launch and identified immediate next steps, including the hiring of a consultant to lead the Alliance, develop the governance structure, and define a concrete Scope of Work for potential future funding. The parties agreed to coordinate through regular meetings and by Q4 USAID Oceans was awaiting further action from the Alliance members to operationalize in early Year Four.

## 4.4 Ecosystems Approach to Fisheries Management

USAID Oceans seeks to build national and local capacity for data-driven sustainable fisheries management through EAFM, as well as concretely advance fisheries sustainability through Sustainable Fisheries Management Plans (SFMPs). In Year Three, the program made significant progress in advancing learning site SFMPs and, in doing so, advancing stakeholder capacity to design, implement, and monitor such plans.



**Continued development of the learning site's Sustainable Fisheries Management Plan.** In Year Three, USAID Oceans continued to advance the Sustainable Fisheries Management Plan for Fisheries Management Area (FMA) 716 by finalizing in-field research, developing two technical reports to provide planning recommendations, and continuing to build capacity in sustainable fisheries management.

In Q1, September 2017, the team held a workshop entitled *Management Measures, Development Actions and Quantitative References to Develop a Harvest Strategy for Fisheries in the FMA 716*, in Bogor, Indonesia to refine the draft operational objectives, proposed indicators, draft management measures and development actions developed in Year Two. USAID Oceans also completed in-field research for FMA 716's Rapid Appraisal for Fisheries Management and developed related final technical reports.

In Q2, USAID Oceans engaged an Indonesia Fisheries Specialist to provide technical support to finalize and translate the two technical reports that were completed in the previous quarter and would provide planning recommendations. These included the *Fisheries Management Analysis: Research and Recommendations for a Sustainable Fisheries Management Plan in FMA 716* and the *Assessment of the Small Pelagic Fish Stock and Fishery in Indonesia's FMA 716 and Proposed Harvest Strategy*. The translation of these reports was completed in Q3, and in Q4 USAID Oceans received feedback from USAID/RDMA on the draft reports. At the close of the year, USAID Oceans was working to address these comments within the technical reports and developed a strategy for moving the FMA 716 EAFM plan forward with MMAF in Year Four, to be completed by June 2019.

Throughout the year, USAID Oceans engaged national and local partners to build capacity in sustainable fisheries management planning and to garner support for implementation of EAFM plan for Fisheries Management in Area 716. In May (Q3), for example, May 8-9, USAID Oceans conducted a workshop on *Fisheries Management: Adopting Ecosystem Approach and Harvest Strategy for Local Universities and Local Government* in Bitung, Indonesia for lecturers and graduate students of Fisheries Institute at Universitas Sam Ratulangi (UNSRAT), representative officials of North Sulawesi Province Marine Affairs and Fisheries, representative officials of MMAF, and lecturers of Marine and Fisheries Polytechnic Bitung.

## 4.5 Human Welfare and Gender Equity

One of the program's largest accomplishments in Year Three was the development, review, and selection of the program's second set of grantees, led by the Human Welfare workstream to deliver gender interventions. In acknowledgement of the central importance of addressing human welfare and gender equity concerns in the fisheries sector and to harness the power resulting from fairer, gender equitable seafood supply chains, USAID Oceans developed the grant opportunity in Year Three and selected a local grantee to implement the interventions in Year Four. In addition, USAID Oceans continued to work with its existing national and local partners to advance human welfare and gender equity aspects and continued to work with the internal USAID Oceans team to ensure these aspects are integrated in all program activities. During Year Three, for example, USAID Oceans' CDT team worked to identify female tuna suppliers that can participate in learning site technology pilot activities.



**Ongoing coordination with national and local partners to building capacity, facilitate networking** to further program human welfare and gender equity objectives. Throughout the year, USAID Oceans continued to work closely with its TWG partners at MMAF, existing country partners, and related development initiatives to progress ongoing activities and identify new, high-value collaborations.

Throughout the year, USAID Oceans continued to work closely with its TWG partners at MMAF through in-person meetings and by convening at other ongoing or regional events to identify strategic activities and events to advocate for gender integration. During the year, the MMAF team presented a proposal for a National Gender Workshop to bring together government and non-government organizations working on gender in fisheries, which is a good example of the growing interest and demand for gender equity capacity building support that USAID Oceans has witnessed. The TWG was requested to provide a concept note to USAID Oceans on how the program might best be able to support this activity, which USAID Oceans is expecting in Year Four due to ongoing TWG member reassignments.

USAID Oceans also continued to develop local constituencies and partnerships, holding meetings with organizations such as the International Pole and Line Foundation (IPNLF) throughout the quarter to share USAID Oceans' work and learn about the organization's 'Social Sustainability Manifesto,' which promotes and encourages active "gender champions" in handline supply chains to secure the economic, social, and cultural rights of women and implement specific measures to highlight women's contribution to the handline tuna industry; raises awareness of gender issues among public and private stakeholders; and promotes professional equality between men and women in the seafood industry. USAID Oceans shared technical guidance and experiences with organizations such as IPNLF and discussed possible collaboration opportunities for future activities. USAID Oceans also provided technical guidance in preliminary discussions with USAID/Washington on a potential micro-finance pilot in the Bitung learning site to provide additional incentives to local partners who are piloting eCDT interventions.



**Support for improved human welfare and gender equity in learning site supply chains** through development of gender intervention grant. One of the program's largest accomplishments in Year Three was the development, review, and selection of the program's second set of grantees. During the year, a grant scope was developed and by the close of Year Three a local organization was selected for Year Four implementation.

USAID Oceans developed a Scope of Work for the new learning site grant in early Q1 and in March 2018, released an open Request

for Applications for the grant. The application called for gender interventions to be undertaken through a local grantee to enable women and men in the fisheries community to recognize the importance of their own role and local contributions toward advancing sustainable fisheries management. USAID Oceans strongly believes that building capacity, particularly for women who are misrepresented and unrecognized, will empower them to participate more effectively in the implementation of fisheries management efforts. The application submission window was closed in April 2018, and USAID Oceans' Grants Manager led the team to develop an Evaluation Panel and follow a systematic selection process.

The program received several applications from interested organizations in Indonesia who were reviewed by the Evaluation Panel in April and May. The Evaluation Panel invited members of USAID Oceans, the TWG, and partners SEAFDEC and CTI-CFF to participate in the review. By the close of the quarter, on June 13, USAID Oceans announced the KELOLA as the selected grantee. The program publicly announced its selection at the July TWG Workshop, which KELOLA was invited to but unfortunately not able to attend.

Through the close of the year, USAID Oceans' Human Welfare and Gender Specialist worked closely with KELOLA to further fine-tune the grantee proposal in preparation for launch and implementation in Year Four, and in September 2018 USAID Oceans' Grants Manager conducted an in-person meeting with the grantee to review the grant award process and requirements. USAID Oceans' National Coordinator also conducted a Simple Pre-Award Survey to determine readiness and capacity of the organization to manage a USAID grant. USAID Oceans looks forward to grant award and operationalization in Year Four.

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## 5. EXPANSION SITE ACTIVITIES AND ACHIEVEMENTS

USAID Oceans' Expansion Sites include all ASEAN and CTI-CFF member countries, except for the Philippines and Indonesia which are considered program Learning Sites. Expansion Sites include Thailand, Malaysia, Cambodia, Brunei Darussalam, Lao, Myanmar, Singapore, Vietnam, and CTI-CFF Countries (Papua New Guinea, Solomon Islands, Timor Leste).

In Year Three, USAID Oceans' technical support was focused largely in Malaysia, Thailand, and Vietnam, all of whom the program had started engaging with in Year Two for extended technical guidance. In each of these countries, USAID Oceans worked in coordination with SEAFDEC to continue to engage in planning discussions around eCDT, EAFM, Human Welfare, and PPPs as detailed in the following section.

In Q1, USAID Oceans engaged deeply with **Thailand** for a quarter filled with active research and stakeholder engagement. USAID Oceans began conducting a Rapid Partnership Appraisal (RPA) to identify potential high-value partners that can support eCDT development and implementation. As such, the PPP team conducted several key stakeholder interviews to engage associations and companies and gauge their interest in eCDT participation. The Partnership Appraisal will be released in Year Four as part of a combined Expansion Site RPA report and the Thailand CDT Gap Analysis Report, which was conducted in Year Two but is undergoing revisions to update recommendations based on current conditions. By the close of Year Three, at the program's Third TWG Workshop, Thailand had voiced its interest in receiving additional information from the program on the eCDT technology being piloted in program learning sites to supplement their data capture capabilities.

Also in Thailand, USAID Oceans supported Thai Union in its 2017-launched eCDT pilot that tested at-sea data capture through satellite VMS technology and enabled ship-to-shore communications for crew members. USAID Oceans contracted Marine Change to formally assess the results of Thai Union's pilot and analyze the data collected during the pilot, their compliance with US and EU market requirements (including social/labor) and assess their collection and validation methods. The assessment identified the strengths, weaknesses and gaps of the pilot, provided appropriate recommendations for improvement, and showed that the pilot met

Thai Union's objectives to trial e-logbooks and real time worker communications tools at-sea. The technologies were found to be easy to use, of benefit to the operations of vessels and companies, and contributed to crew well-being. The report was released to the public in April 2018 and shared with industry members and fleet owners to share eCDT adoption benefits and encourage the participation of new partners. At the close of Year Three, USAID Oceans was engaging with Thai Union to establish next steps for the technology, including a potential pilot with Mars Petcare.



*In Vietnam, USAID Oceans conducted in-port research to assess on-the-ground CDT protocols and capabilities. USAID Oceans/F. Maruf*

In **Vietnam**, USAID Oceans also conducted a CDT Gap Analysis and RPA to support and guide Vietnam's interest in eCDT implementation. Throughout the course of the year, USAID Oceans' local consultants conducted the analyses through desktop research, interviews, and in-field research in Hanoi and Nha Trang. The CDT Gap Analysis assessed Vietnam's readiness for eCDT system implementation, evaluated its current CDT processes and capabilities, and established current gaps. USAID Oceans also studied and analyzed the private sector's CDT business processes and integration with the government's upstream and downstream traceability systems. USAID Oceans

presented the preliminary results of the studies in December 2017, at a Vietnam Stakeholder Workshop held in Nha Trang to discuss initial study findings, confirm industry and partnership engagement priorities, and identify partnership capacity building needs for the Vietnam Department of Fisheries (D-FISH). The meeting was attended by over 40 industry representatives and technology providers. By the close of the year, USAID Oceans had delivered the report to the Government of Vietnam and was working in ongoing collaboration with SEAFDEC to discuss next steps for a potential eACDS pilot in Vietnam. During the year, USAID Oceans and SEAFDEC worked together closely to develop a cohesive technical support plan.

USAID Oceans completed planning in Q1 to conduct similar studies in **Malaysia**. From February 19 to March 2, USAID Oceans traveled to Malaysia to engage with counterparts through on-site consultations and field research to assess how USAID Oceans can support the Malaysia Department of Fisheries to strengthen its capacity to implement an eCDTS. The team conducted focus group discussions with key government partners, reviewed current CDT protocols in-port, and engaged with fishing industry partners to develop a CDT Gap Analysis and Implementation Plan. These activities were conducted through an initial three-day workshop in Putra Jaya, and then continued with a visit to Kelantan, where USAID Oceans' research consultant stayed on to complete the full CDT Gap Analysis. During the Kelantan trip, the team visited ports and talked to port officers as well as meeting with group of small-scale fishers in Kotabahru. In parallel to the CDT Gap Analysis, USAID Oceans' consultant also conducted a RPA to identify and develop strategic industry and technology partnerships and PPPs that will support eCDT implementation, sustainable fisheries management, and human welfare. The study was conducted via focus group discussions with key government partners and engagement with fishing industry partners. By the close of the year, USAID Oceans had delivered the report to the Government of Malaysia and was working closely with its partners to determine a Year Four support plan.

Activities in other Expansion countries, included engagement with **Laos** through the Human Welfare workstream. On March 12-14, USAID Oceans' Gender Specialist, together with SEAFDEC's TWG for Gender, served as resource persons at the National Training Workshop on Gender Mainstreaming in Livestock and Fisheries Management and Development in Lao PDR, held in Vientiane, and with participation from various divisions of the Laos Department of Livestock and Fisheries (DLF), Ministry of Agriculture and Forestry. The DLF Director General and Deputy Director General expressed their appreciation to USAID

and SEAFDEC for providing resource persons for this much needed training, as they comply with their Vision 2030 Gender Equality Strategy of Agriculture, Forestry and Rural Sector 2016-2025.

To benefit its **other Expansion Sites**, USAID Oceans worked across its workstreams to deliver benefits to expansion countries. During Year Three, the EAFM workstream spent significant effort in developing Rapid Appraisal for Fisheries Management guidelines that will be released in Year Four to guide expansion country research as they begin developing their own eCDT initiatives (Section 2.4); the PPP workstream met with regional development partners to identify regionally beneficial partnership opportunities, such as the USAID Counter Trafficking in Persons (CTIP) project; and the Human Welfare and Gender TWG members from all member countries, excluding Brunei and Singapore, worked to provide inputs to a regional document on gender mainstreaming and integration in the fisheries workplace (a deliverable under USAID/DOI's grant to SEAFDEC). USAID Oceans will increasingly engage with Expansion Sites in Year Four, across workstreams, as outlined in the program's Year Four Work Plan.

## 6. MANAGEMENT AND OPERATIONS

Management and operations ensured all administrative, financial and operational structures were fully resourced and provided timely, seamless, high quality support to achieve program objectives. This included working with the Tetra Tech ARD Home Office and Thailand Branch Office, as well as Tetra Tech's other regional offices the USAID SEA (Indonesia) program to leverage resources and support. Over the course of the year, the activity ensured that its contractual deliverables including work plans, quarterly and annual activity reports, financial and accrual reports, and other products were of the highest quality and submitted on time. The activity continued to proactively to anticipate problems and provide timely solutions and worked in close collaboration with its USAID/RDMA Contracting Office Representative (COR) and Alternate COR (ACOR), as well as other relevant USAID staff as appropriate. The USAID Oceans team, particularly the Chief of Party, met regularly with the COR and other relevant members of the USAID/RDMA team to discuss program objectives, strategy and progress.

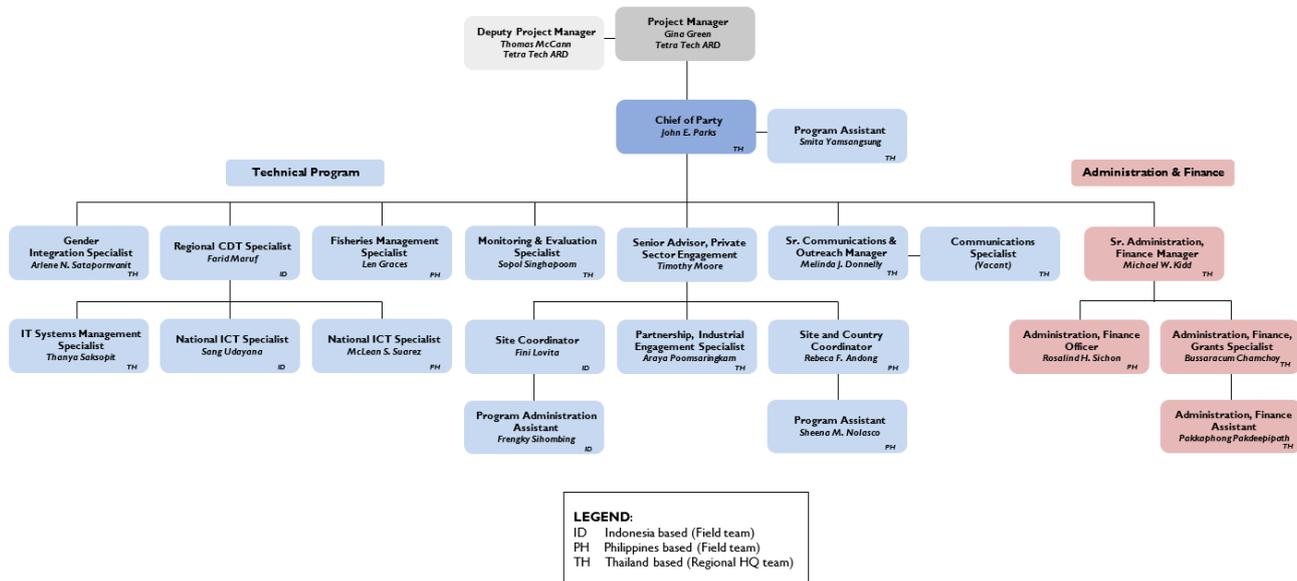
In addition to coordination with USAID/RDMA and funding office, the USAID Office of Forestry and Biodiversity; the USAID Oceans team engaged heavily with U.S. Government Agencies to identify mutual objectives, opportunities for collaboration, and create synergy amongst complementary regional efforts. This included substantial engagement with the U.S. National Oceanic and Atmospheric Administration (NOAA), the U.S. Department of the Interior (DOI), and the U.S. Department of State.

**Recruitment and Staffing.** The USAID Oceans team continued operate with a streamlined structure of core staff, bolstered by flexible and targeted Short Term Technical Assistance to achieve program objectives. With the program in Year Three and at its approximate midpoint, several staffing changes did occur during the year, which were coordinated closely with USAID/RDMA through a "Key Personnel Transition Plan" that provided an overview of the personnel changes and a transition plan for new staff roles and responsibilities.

During the year, USAID Oceans' Chief of Party and Deputy Chief of Party departed the program, and USAID Oceans welcomed new Chief of Party, Mr. John Parks, to the program. For twenty-five years, Mr. Parks has worked with partners to design and implement marine resource management solutions that strengthen the environmental sustainability and human security in coastal communities around the world, particularly in Southeast Asia and the Pacific Islands. In addition to these changes at a program management level, the Activity identified several staffing needs out of its Midterm Review and Year Four Work Planning process, which included additional support for program workstreams that are significantly ramping up in Year Four: Site-based eCDT implementation and Communications and Outreach. By the close of the year, USAID Oceans has recruited and onboarded two site-based assistants, one in each learning site, who will also spend approximately one day per week supporting project communications. The program also welcomed a Communications and Outreach Specialist, based in Bangkok, as well as an on-call Indonesia-based Graphic

Design Consultant that will support the production of site-based and local-language communications products. The Organization Chart, below, illustrates the USAID Oceans’ current team structure (Figure 3).

**Figure 3. USAID Oceans Organization Chart**



In addition to fulltime staff, USAID recruited and contracted Short Term Technical Assistance (STTA) staff to support various targeted needs and objectives, including but not limited to Work Planning Workshop facilitation, Technical Advisory Group coordination, Communications and Outreach support, Fisheries Planning support, Training and Workshop planning and other targeted needs.

**Work Planning.** Beginning in April, USAID Oceans initiated Year Four Work Planning in preparation for a week-long internal Year Four Work Planning Workshop in May. Well-timed with the Q2-completion of the project’s internal Midterm Review, the program operationalized review recommendations immediately by shifting planning from a technically-driven approach, guided by technical leads, to a site and regional-focused approach, led by the program’s National and Site Coordinators. As such, National and Site Coordinators consulted with technical leads extensively in April to develop a Year Four Activity Plan.

At the May workshop, USAID Oceans’ National and Site Coordinators presented regional, national and site-based strategies and activity plans to USAID/RDMA to allow for Mission input and direction on Year Four activity planning. Out of the workshop, USAID Oceans was able to continue work plan development to build out detailed activities and budget plans, which continued through September 2018. The Year Four Work Plan was developed through a highly consultative process and was presented to SEAFDEC and regional TWG representatives at the program’s July 2018 TWG Workshop. Work Plan development continued through the close of Year Three, with the plan submitted to USAID/RDMA in early October 2018.

**Reporting.** USAID Oceans continued to meet contractual reporting requirements, including the submission of USAID Oceans’ Quarterly Progress Reports and other deliverables, as detailed in Annex VI.

**Grants Under Contract.** USAID Oceans’ grants team worked closely with program grantees, MDPI and SFFAI, to ensure timely submission of milestone deliverables and issue payments accordingly. In August 2018, USAID Oceans closed out its one-year grant to MDPI, with SFFAI’s grant continuing (as planned) into Year Four. USAID Oceans also issued two new grant Requests for Applications for learning site gender interventions, which were evaluated and selected by the close of the year. The program also developed a

Request for Applications for its third and final round of grants, which will be awarded to two learning site grantees (one in each learning site) to support the demonstration of eCDT data for enhanced, data-driven fisheries management.

## 7. MONITORING & EVALUATION

In Year Four, USAID Oceans' Monitoring and Evaluation efforts continued to focus on data collection, quality assurance, and timely capture of targets. In addition to working closely with the Activity's technical team for regular monitoring assistance, USAID Oceans' M&E Specialist also led and participated in several key Life of Activity M&E initiatives and began work with the program's grantees.

In Q1, USAID/RDMA announced that it would conduct a "Pause and Reflect Workshop" as an interim, preparatory step for the mid-term evaluation. The Pause and Reflect Workshop was designed to prepare the team for the Midterm Evaluation and focus on the Activity's Theory of Change and Results Chain, allowing the team to reflect on the program's approach, progress, and adjustments needed in its remaining implementation period. On February 5-7, 2018, the USAID Oceans team participated in the Pause and Reflect workshop, led by USAID. The workshop guided team members through a systematic process to review the activity's Theory of Change and Results Chains, with close examination of the program's successes, challenges, and lessons learned during the first half of implementation to update the Results Chains as needed. In addition, two Results Chains were created to map the program's learning site strategies, helping to guide program's activities in its final years. Finally, the workshop asked team members to re-evaluate the program's learning questions, which were created at its Inception Workshop, and draft additional questions that should be considered. As a result of the workshop, the Theory of Change was reevaluated, updated as needed, and a set of learning questions were finalized to be used in USAID Oceans' internal mid-term review and USAID's external, formal mid-term evaluation.

Following the Pause and Reflect Workshop, and using the information gained from that process, USAID Oceans continued intensive planning for the program's internal mid-term review. In March, the evaluation team traveled to USAID Oceans' two learning sites to hold key informant interviews, focus group discussions, and stakeholder meetings. Upon the team's return from the field, they presented the preliminary draft findings and recommendations to USAID/RDMA Regional Environment Office's Deputy Director, Contract Office Representative, and USAID Oceans staff on March 23, 2018. The final report was completed in early Q3, and on May 23, USAID Oceans presented the results of their internal Midterm Program Review to USAID/RDMA staff, including the Deputy Mission Director. On June 1, the program presented review results to its partners at SEAFDEC to secure agreement with report findings, recommendations, share information to support SEAFDEC's upcoming Work Plan, and again presented the findings to TWG members at the Third Annual TWG Workshop in July. At the close of Q4, USAID Oceans was successfully applying learnings from the review in its development of the Year Four Work Plan. USAID Oceans' formal Mid-term evaluation is anticipated to be conducted in Year Four by a third-party evaluator, and is expected to focus on design, management and implementation aspects of the program.

During the year, the USAID Oceans M&E Specialist worked closely with each of the program's learning sites to review the learning site supply chains in which technology has been installed. The team mapped each of the supply chains, its partners involved, and determined the necessary steps needed to be taken to achieve full-chain traceability. In September, USAID Oceans' M&E Specialist and Senior Communications and Outreach Manager visited each of the full supply chains to document the program's progress and to collect data that can be used as a benchmark to measure eCDT system impact at the end of the project.

An overview of the program's Year Three accomplishments is show in Table 3, and further detailed in Annex IV.

**Table 2. Targets Achieved, FY2018**

Results	Indicators	FY2018		Cumulative Total (FY16-18)	LOA Target	
		Target	Achieved			
<b>Marine Ecosystems Maintained</b>	1. Number of hectares of biologically significant areas under improved natural resource management as a result of USG assistance (EG.10.2-2)	6,391,299	0	0	62.3M	
<b>Reduced IUU and Unsustainable Fishing</b>						
R1 .Amount of illegal fish entering regulated markets is reduced	2. Number of CDTS-secured seafood units (metric ton) purchased (Custom)	8K	2,784	2,784	24K	
R2. Industry self regulates to keep illegal products out of commerce	3. No. of stakeholders participating in and submitting data voluntarily to the CDTS (Custom)	14	46	46	38	
<b>Adequate use of CDTS/ACDS</b>						
<b>IR.1 CDTS/ACDS implemented in selected learning sites in the Asia-Pacific region by 2020.</b>						
1.1 CDTS components and functionality demonstrated	4. Number of Critical Tracking Event (CTE) transactions submitted into the CDTS by targeted stakeholders (Custom)	5K	40	40	15K	
1.2 CDTS design meets agency and key stakeholder needs	5. Percentage of targeted stakeholders who self-report "adoption" of the CDTS as basic business requirement (Custom)	30%	0	0	60%	
<b>Adequate National &amp; Local Fisheries Governance</b>						
<b>IR 2 .Improved fisheries management Asia Pacific selected countries by 2020</b>						
2.1 Decision/ integration tools for key agencies and stakeholders in place and functioning	6. Number of innovations supported through USG assistance (disaggregated by type) (RDMA IRS3 PM1)	2	1	2	6	
2.2 Fisheries management plans & processes improved	7. Number of laws, policies, or regulations that address biodiversity conservation and/or other environmental themes officially proposed, adopted, or implemented as a result of USG assistance (EG.10.2-5)	5	0	1	6	
2.3 DTS/EAFM/ PPP processes and procedures incorporate gender considerations	8. Number of legal instruments drafted, proposed or adopted with USG assistance to promote gender equality or non-discrimination against women and girls at the regional, national, or sub-national level (GNDR-1)	2	0	0	4	
<b>Regional Capacity and Cooperation</b>						
<b>IR 3 .Strengthened regional capacity to support CDTS, PPP, and EAFM</b>						
3.1 Guidelines for implementing integrated CDTS/ACDS developed and adopted at regional level	9. Number of regional or national governmental entities endorsing the Integrated CDTS/ACDS and Guidelines (Custom)	2	2	2	5	
3.2 Key stakeholders have capacities to use CDTS/FIS for fisheries traceability and management	10. Number of people trained in sustainable natural resources management and/or biodiversity conservation as a result of USG assistance (EG.10.2-4)	EAFM	210	252	616	653
		CDT	280	387	575	742
3.3 CDTS public-private partnerships enable CDTS demonstration and expansion	11. Value in cash or in-kind (in USD) of public and private sector investments in sustainable fisheries and coastal and marine ecosystem conservation (Custom)	2M	1.20M	1.41M	4M	
3.4 Regional, national, and local stakeholders engaged and committed to CDTS, PPP, and EAFM	12. Number of new USG-supported public-private partnerships (PPPs) formed (Custom)	4	1	10	14	

## 8. FY 2018 CHALLENGES AND LESSONS LEARNED

Since its launch USAID Oceans has utilized an adaptive management approach, learning from demonstrated best practices and aligning its operational strategy with on-the-ground realities. In Year Three, as detailed in Section 7, USAID Oceans undertook an Internal Midterm Review process, as well as engaged in several reflective exercises with USAID leadership. These activities, including the program’s “Pause and Reflect” Workshop, also detailed in Section 7, allowed the program to carefully and systematically reflect on program experiences and lessons learned. In Year Three, the program applied these lessons learned, challenges, and observed opportunities to continually optimize implementation, and especially to develop the Year Four Work Plan and updates to the remaining life of program strategy.

In addition to these reflections informing program implementation and activities, Year Three also marked several programmatic staffing changes. Out of the Midterm Review, learning site success and regional sharing was highlighted, and as such USAID Oceans supplemented its in-field teams with additional staff to ensure that the remainder of Year Three and the program’s Year Four would be as efficient, effective, and impactful as possible. USAID Oceans has adapted its staffing to be more nimble and efficient, with staffing efforts focused at the most critical program implementation points.

Throughout the year, USAID Oceans experienced and adapted to challenges faced by in-field implementation. In shifting out of Year One to Three’s heavy research and design program phases and into full implementation and testing, it has faced delays and unforeseen challenges with its partners that are common to any technical development process. These challenges are not limited to a certain type of partner, but rather have been witnessed in partnerships with government, industry, and academe, and as such USAID Oceans has learned that like any other process, technology development and implementation, especially, comes with occasional system setbacks. Inherent to the technology development process is observing and troubleshooting system glitches, which can sometimes wrench timelines and delivery schedules. USAID Oceans has learned that robust timelines are imperative, that account for full systems testing and development delays. At the end of Year Three, USAID Oceans incorporate plans to fast-track necessary activities in Year Four and was proud of its ability to overcome technical development challenges. In the Philippines for example, although BFAR’s eCDT testing has continued longer than expected, the program is pleased that the system is being developed with the utmost integrity and dedication, which will result in a higher quality and more useful end product. USAID Oceans and BFAR worked together efficiently throughout the year to resolve complex systems issues, a success in adaptive and collaborative partnerships.

Finally, USAID Oceans closed Year Three with the awareness of the challenges that come with a limited, five-year program cycle, particularly when conducting significant research and design, testing, and optimization. While a five-year timeline is fitting to develop and test a proof of concept, USAID Oceans continued to challenge itself to reach beyond proof of concept to effective scaling, sustainability, and wide-spread adoption. Additional time would benefit each of these areas, allowing the program to more robustly socialize, institutionalize, and incubate new partners and companies that can support the region’s challenges and its continuously growing eCDT demand.

## 9. PLANNED TASKS FOR THE NEXT REPORTING PERIOD

USAID Oceans Year Four Work Plan details the activity’s regional, national, and local interventions for the coming year. The program’s Year Four Work Plan, submitted to USAID/RDMA on October 5, 2018, should be referenced for detailed strategic and activities overviews. In brief, the strategic focus for the Year Four Work Plan includes the following areas:

**Regional Capacity and Cooperation.** To address IUU fishing in the Asia-Pacific region, USAID Oceans will work with regional, national, and local partners to develop a strong and lasting regional understanding and consensus of the critical importance and interconnected nature of all technical components of USAID Oceans: eCDT, EAFM, PPP, human welfare and gender equity, and communications and outreach. At the regional level, USAID Oceans will continue its partnership and capacity building activities with SEAFDEC, CTI-CFF, and national TWGs in order to support the development and implementation of eCDT systems and SFMPs that incorporate human welfare considerations.

**Ecosystem Approach to Fisheries Management.** USAID Oceans will focus on supporting regional, national, and local fisheries management planning that is supported by traceability data generated by eCDT systems. At the regional level, USAID Oceans will promote CTI-CFF and SEAFDEC endorsement and adoption of the Sulu Sulawesi Seas Sub-regional EAFM Plan developed during Years Two and Three, including socialization with relevant stakeholders from Indonesia, Malaysia, and the Philippines. At the local level, USAID Oceans will work with national and local stakeholders to support the implementation of SFMPs at the two learning sites of General Santos City, Philippines and Bitung, Indonesia to promote fisheries sustainability and support marine biodiversity conservation. In addition, during Year Four USAID Oceans will advertise, select, and award two grantees to work at the learning sites on collecting available eCDT data, conducting real-time analysis, and using analytical results to inform local and national fisheries management decision making. This is an important activity to be conducted during Year Four, relating directly to core assumptions underlying the USAID Oceans Theory of Change that access to real-time, fisheries-related data (made available through the implemented eCDT systems) will enhance fisheries management, thereby promoting conservation and sustainability.

**Electronic Catch Documentation and Traceability.** During Year Four, USAID Oceans will focus on continuing to refine and strengthen the eCDT systems being used to demonstrate end-to-end fisheries traceability at both learning sites in Bitung and General Santos. Learning site engagement will be maintained during Year Four, with support of site-based partners such as Masyarakat dan Perikanan Indonesia (MDPI) and the Socskargen Federation of Fishing and Allied Services (SFFAI) in the Philippines. During the second half of Year Four (beginning in the third quarter), USAID Oceans will begin implementation of 12-month exit strategies at both learning sites in order to prepare national, provincial, and local governmental and non-governmental partners for project close out and encourage continued application of eCDT systems beyond the life-of-project. These exit strategies will include promotion of partner maintenance of existing (implemented) eCDT systems as well as exploring expansion (replicated) opportunities for aligned eCDT systems for interoperable scaling beyond learning sites and long-term maintenance. Capacity building activities will focus on strengthening national and local government capabilities to support eCDT system maintenance.

During Year Four, USAID Oceans will also maintain its increased level of engagement with expansion countries emerging out of Year Three, in order to support eCDT system development, testing, and implementation beyond the two learning sites. USAID Oceans will continue to support expansion countries through limited, strategically-targeted technical assistance efforts, such as CDT gap assessments, private sector engagement strategies, and limited provision of advisory services and training workshops. Finally, USAID Oceans will work with ASEAN member countries on the development of *Regional CDT Guidance* aligned with SEAFDEC's ACDS Guidelines with supporting national-level *Implementation Roadmaps*, as agreed and requested by ASEAN member countries during the Year Three USAID Oceans TWG Meeting. This technical guidance will provide information on regional eCDT systems architecture; technical standards; baseline studies and methodologies for selected sites; and national roadmaps for planning and implementation to support regional eCDT replication and expansion.

**Partnerships and Industry Engagement.** Throughout Year Four, USAID Oceans will continue to engage industry partners closely in their continued implementation and refinement of eCDT systems, so that these systems can be monitored, adaptively managed, and maintained beyond Year Four and the life-of-project. USAID Oceans will continue implementation of its existing partnerships at the regional, national, and site

levels to maintain and grow interest and adoption of eCDT solutions, demonstrate the functionality of eCDT systems, and promote partner continuation and expansion of eCDT solutions beyond Year Four and the life-of-project. During Year Four, regional-level partnerships will be explored to promote industry engagement beyond the two learning sites, including partnerships with service providers exploring emerging internet technologies such as Blockchain to enhance eCDT system data interoperability, storage, security, and validation. Also, in Year Four USAID Oceans will work with partners to organize and host a Business Innovation Competition in order to identify and invite emerging businesses to propose innovative solutions to fisheries traceability products and services that, with the help of interested private investors, can be incubated and grown, thereby encouraging a more diversified 'ecosystem' of private sector solutions available beyond the life-of-project to sustain regional and national fisheries traceability efforts and support continued reduction of IUU fishing and promotion of sustainable fisheries and marine conservation.

**Human Welfare and Gender.** USAID Oceans will continue to advance gender mainstreaming and support addressing human welfare issues in the fisheries sector during Year Four. A primary focus will be supporting the implementation of the two USAID Oceans Gender Grantees, selected during Year Three. Gender Grantee interventions at both learning sites will promote gender equity and strengthen local fisheries management. USAID Oceans will also continue its efforts to strengthen regional women leaders' networks, including through its support of the Women Leaders' Forum of the CTI-CFF/Coral Triangle Center and capacity building of ASEAN member countries through training in gender mainstreaming and sensitivity approaches in fisheries. In addition, USAID Oceans will continue to integrate and advocate for human welfare considerations in eCDT and fisheries management plans, including collection of relevant Key Data Elements in the learning sites and in expansion countries.

**Communications and Outreach.** Year Four will include the implementation of the new USAID Oceans Communications and Outreach Strategy, developed during Year Three. Communications and outreach activities during Year Four will focus on developing and disseminating a set of "capstone" products focused on summarizing the project's high-level impacts, results, and lessons for national, regional, and international target audiences. The capstone products will include documentation of the experience, lessons, and methods of the eCDT systems implemented at both learning sites, as well as tools used to address human welfare and gender equity concerns and issues within seafood supply chains. USAID Oceans will continue use of its established outreach mechanisms, including the SEAFDEC-hosted Oceans and Fisheries Partnership web portal, short informational videos, social media platforms, the "Making Waves" eNewsletter, and electronic and print communication products that disseminate project lessons, stakeholder experiences and stories, and recommended best practices. In order to assess target audience reach and impact, USAID Oceans will continue to monitor the scope and 'uptake' of communications materials and platforms, including through Google Analytics, eNewsletter and Facebook metrics, and feedback from TWG and stakeholder audiences. The Activity will also continue to provide USAID/RDMA with project reporting and materials on a regular and as-needed basis to address internal communications needs.

# ANNEX I. THEORY OF CHANGE AND GUIDING PRINCIPLES

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## **USAID Oceans Theory of Change for Addressing IUU and Unsustainable Fishing**

*If the catch documentation and traceability system is robust and meets stakeholder's needs, then it will be used by private sector in partnership with government agencies throughout the region. Traceability will provide economic incentives to the fishing industry due to the increased demand for and value of traceable fishery products and will further encourage the private sector to continue to use the system voluntarily. Catch documentation will enable fisheries managers to improve management plans and regulatory regimes to reduce overcapacity in the fishing industry, leading to more sustainable and therefore more economically viable fisheries. Access and use of catch documentation, traceability, and fisheries information and data by regional stakeholders will improve fisheries management to support biodiversity conservation by providing greater transparency and thereby exposing illegal fishing practices as well as human rights abuses and ultimately reducing the amount of illegal fish entering the regulated market.*

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Throughout the course of the Activity, USAID Oceans has reviewed its TOC to assess the validity of initial assumptions and casual linkages and to refine Activity planning as necessary to address gaps and maximize results. During Year Three, the program reviewed its TOC and Results Chains, and although its Guiding Principles have not required updates, the program did make small adjustments to its TOC to reflect lessons learned during the first three years of implementation. The program also developed site-specific results chains to guide its learning site implementation.

### **Guiding Principles**

USAID Oceans works to address the weak conservation of marine biodiversity by building stakeholder capacity in and improving information for fisheries management. Year One activities have been carried out in support of USAID Oceans' guiding principles, designed to combat IUU activities and enhance marine biodiversity. They include: building a CDTS as part of an FIS; strengthening capacity of stakeholders to support the operationalization of EAFM in the Asia-Pacific region; utilization of grants to strategically achieve technical objectives and build local capacity; private sector engagement towards system sustainability; and the prioritization of vulnerable populations through targeted gender interventions. USAID Oceans will employ a flexible and adaptive management approach by engaging our partners and the OCC in the regular review of program progress and results in light of assumptions made in the Theory of Change and results chain. The USAID Oceans team will use this review process to refine direction and interventions that support the highest likelihood of successful outcomes. Annex I provides a complete description of the Guiding Principles. USAID Oceans will focus on addressing weak conservation of marine biodiversity by building stakeholder capacity in and improving information for fisheries management.

#### **Build a CDTS as Part of a FIS**

Information to advise management, ensure a quality product, and document the social and environmental impacts of fisheries is weak across the Asia Pacific Region. During Year One and Two, the USAID Oceans team will build and test a set of information standards and a science-based electronic system for fisheries management and catch, documentation, and traceability (CDT). The CDTS shall include systems for licensing and permitting, vessel monitoring, catch verification, and a chain traceability system for monitoring the unique identifier of each catch unit. During Years Two and Three, USAID Oceans will also develop and test an FIS that will be used to inform adaptive management and governance of fisheries as a critical first component of an EAFM framework, to be maintained both by governments and the private sector.

#### **Strengthen Capacity of Stakeholders to Operationalize the Regional EAFM**

The adoption of an EAFM that defines principles for growth, control, and maintenance of sustainable fisheries serves as an enabling framework for improving the health, productivity, and resilience of the whole ecosystem. USAID Oceans will provide trainings to strengthen the capacity of local stakeholders to operationalize the regional EAFM framework developed with the US Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security (CTI-CFF) Support Program and support initiatives to combat IUU and unsustainable fishing in the region. As part of this program, USAID Oceans will support stakeholders to develop performance benchmarks which will be used to measure changes in EAFM capacity over time.

#### **Use Grants Strategically to Achieve Technical Objectives and Build Local Capacity**

USAID Oceans will use its grants under contract (GUC) program to achieve the innovation and biodiversity-focused impacts of the project. All grant agreements will be explicitly linked to USAID Oceans Result Areas, and in most cases, will directly fulfill USAID Oceans' indicators.

#### **Engage the Private Sector for Sustainability**

The private sector shall be a key focus of USAID Oceans. Led by the Senior Partnerships Advisor, USAID Oceans shall design and implement the CDTS and FIS and management frameworks such that they are viable tools for the private sector and aligned with their long-term interests. Priorities for engagement with the private sector are in building the business case and financing mechanism for the CDTS and FIS. USAID Oceans will measure private sector engagement through two indicators: *Value or cash (in USD) of public and private sector investments in sustainable fisheries and coastal and marine ecosystem conservation (Custom)* and *Number of new USG-supported public-private partnerships (PPPs) formed (PPP 5)*.

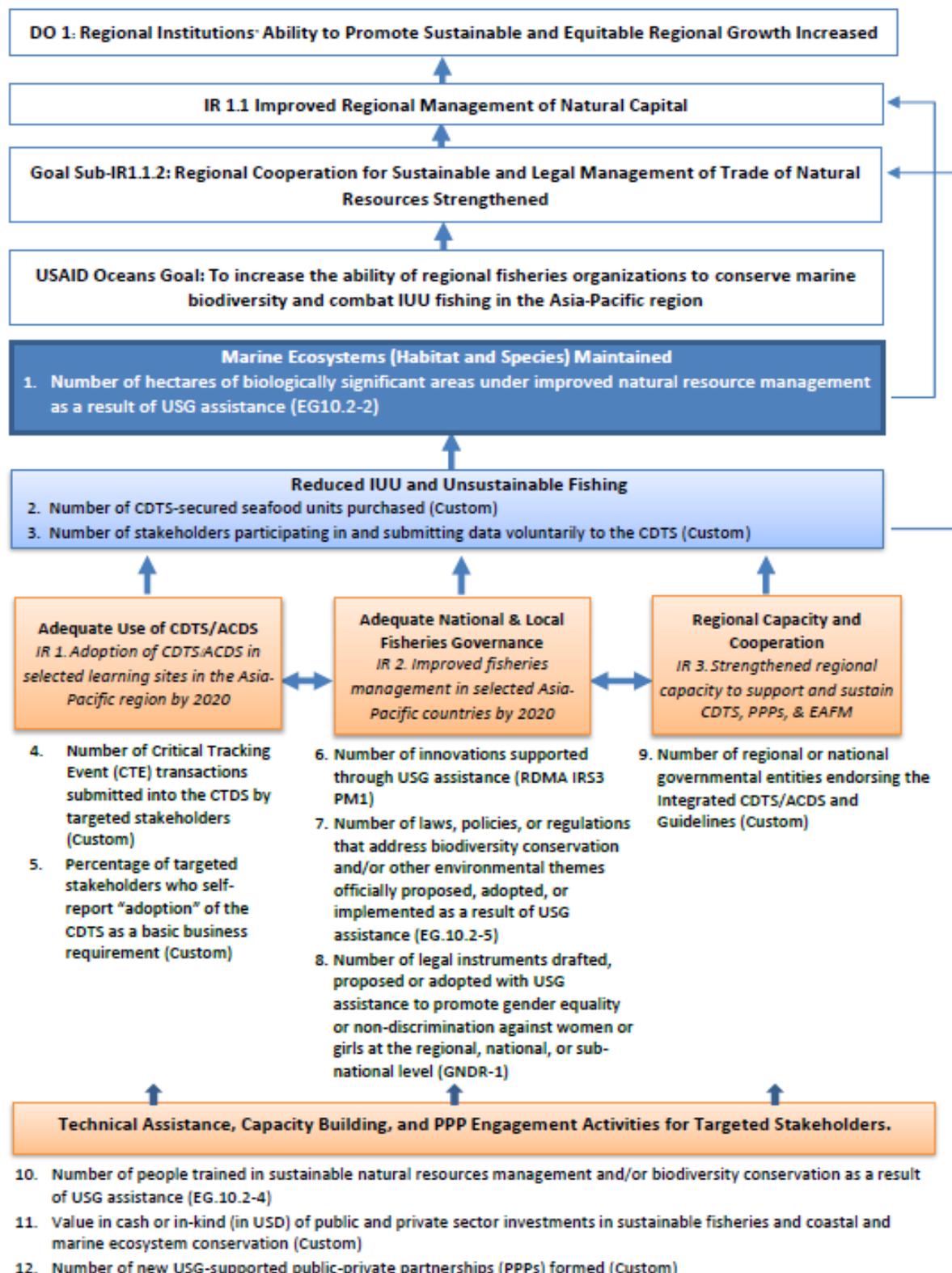
#### **Prioritize Vulnerable Populations through Targeted Gender Interventions**

Women are heavily engaged in fisheries, primarily in processing and sale of catch. They are often at a disadvantage compared to men in terms of access to credit, educational level, and opportunities for higher-paid jobs and information on the market. As a key principle and cross-cutting requirement, USAID Oceans will design and implement interventions to inform women through the CDTS and FIS systems, increase their capacity to engage in decision making at key points along fisheries value chains, and engage and empower them to use the FIS.

#### **Adaptive Management**

USAID Oceans will employ a flexible and adaptive management approach by engaging our partners and the Oceans Consultative Committee (OCC) in the regular review of program progress and results in light of assumptions made in the Theory of Change and results chain. The USAID Oceans team will use this review process to refine direction and interventions that support the highest likelihood of successful outcomes.

# ANNEX II. RESULTS FRAMEWORK



## ANNEX III. PROGRESS TO FY 2018 WORK PLAN

The tables below detail the Activity's progress towards 2018 Work Plan objectives. Items marked:

✓ have been initiated/completed

✗ remain on schedule to be completed

✗ have been delayed, shifted, or have been initiated but are not yet complete

✗ indicates that a new estimated completion date has been established

### Regional Activities

ID	Activity	Q1	Q2	Q3	Q4	Notes on Progress and Completion
<b>RG1: Support Regional Capacity Building and Coordination</b>						
RG1.1	Conduct Regional Trainings via Short Term Technical Assistance (STTA) support for trainings	✗	✗	✗	✗	No regional trainings were conducted by USAID Oceans in Year Three, see RG1.2 for regional activities completed that incorporated capacity building.
RG1.2	Participation of SEAFDEC/TWG members in regional activities (Support for SEAFDEC/TWG travel)	✗	✗	✓	✓	Ongoing – SEAFDEC TWG members participated in the program's June 2018 Learning Exchanges (RG1.4), the July 2018 TWG Workshop, and (select members) in the July 2018 USAID SALT Workshop.
RG1.3	Conduct Technical Working Group Training/Workshop			✓	✓	Complete – The 3 <sup>rd</sup> Annual TWG Workshop was held July 16-18, 2018.
RG1.4	Organize study tours to learning sites (General Santos and Bitung)		✗	✓	✓	Ongoing – In May, USAID Oceans held a study tour in General Santos City, PH with a limited number of participants from MMAF, MDPI, USAID/RDMA, and USAID/Indonesia. In June 2018, held Bitung Learning Exchange for SEAFDEC and CTI member countries.  A TWG General Santos City study tour was postponed in Year Three due to ongoing eCDT system testing.
RG1.5	Organize study tours to Songkhla for Thailand CDTs implementation		✗	✗		Cancelled – Permit is required as this facility is run by the Thai Navy.
RG1.6	Develop Regional CDT Guidelines and Roadmap (standards, architecture, and roadmap) to support regional expansion	✓	✓	✓	✓	Ongoing – USAID Oceans' team held significant planning discussions at the 3 <sup>rd</sup> TWG Workshop, July 2018, with development to begin in Year Four as regional "guidance."
<b>RG2: Build Regional Capacity for eCDT</b>						
RG2.1	Develop CDTs data exchange base version		✓	✓	✓	Ongoing – USAID Oceans is in discussion with SEAFDEC to develop the data exchange server for the eACDS. Due to changes in eACDS staff,

						systems architecture must be revisited to align SEAFDEC priorities with USAID Oceans' technical guidance.
<b>RG2.2</b>	Provide technology support to implementation of SEAFDEC's eACDS	✓	✓	✓	✓	Ongoing – USAID Oceans completed and delivered CDT Gap Analysis Reports for Malaysia and Vietnam, with both countries considering recommendations and in discussion with SEAFDEC on implementation plans. Technology support is planned for Year Four.
<b>RG2.3</b>	Support SEAFDEC eACDS rollout	✓	✓	✓	✓	Ongoing – USAID Oceans completed and delivered CDT Gap Analysis Reports for Malaysia and Vietnam, with both countries considering recommendations and in discussion with SEAFDEC on implementation plans. Ongoing support is planned for Year Four.
<b>RG2.4</b>	Participate in and co-host Global Dialogue for Seafood Traceability regional technical workshop(s) to provide advice on standardized KDEs and CDTS architectures	✓	✓	✓	✓	Ongoing – Participated in GDST's August 2018 workshop and maintained participation in their interoperability working group. Discussing potential to obtain GDST member commitment to USAID Oceans blockchain pilot in Year Four.
<b>RG 3: Implement Regional PPP and Industry Engagement Strategy</b>						
<b>RG3.1</b>	Develop CDTS Architecture and support completion of the CDT 201, User Stories through subcontract with Future of Fish	<b>Completed Y2</b>				Complete.
<b>RG3.2</b>	Support completion of the CDT 201, KDE Manual, and other guiding program documents, and promote awareness of Oceans CDT demonstrations with NGOs and buyers with the Technical Advisory Group (TAG)	✓	✓	✓		Complete – Following the close of the program's intensive design period, USAID Oceans is no longer currently engaging the TAG. Possibility remains to link the TAG to the existing Asia Seafood Industry Collaborative as part of program close out.
<b>RG3.3</b>	Support partnership with Inmarsat (satellite service provider) to test and pilot mobile satellite solution for data capture at sea.	✓	✓	✓	✓	Ongoing – In Q3, USAID Oceans installed Inmarsat's at-sea solutions in Bitung. Discussions continue for other regional applications (potentially in Thailand and Vietnam).
<b>RG3.4</b>	Co-host Regional Technology Conference to support CDTS/FIS/PPP, secure partners for CDTS expansion.	✗	✓	✓	✓	Ongoing – USAID Oceans has provided regular technical inputs to the WWF New Zealand's Seafood and Fisheries Emerging Technologies Conference (SAFET) conference agenda, planned for February 13-16, 2019.
<b>RG3.5</b>	Engage buyers, NGOs and foundations in the US and EU markets through SFW to support the expansion and sustainability of CDTS and sustainable fisheries management.	✓	✓	✓	✓	Ongoing – USAID Oceans continues to work with SFW to engage the US and EU markets, with activities planned for Year Four, including the potential to leverage SFW's communications platform to distribute USAID Oceans' materials.
<b>RG3.6</b>	Support partnership with IPNLF to secure buy-in from key markets and align with national/local markets.	✓	✓	✗		Shifted – Instead of direct support/engagement with IPNLF, activities for market engagement are now included in a Scope of Work for the ICTSA (ID3.3). Launch of the ICTSA is in process, with USAID Oceans engaging heavily with Marine Change to launch the platform in Year Four.

<b>RG4: Support Development of Regional Fisheries Management Plans</b>						
<b>RG 4.1</b>	Support CTI-CFF RPOA EAFM Goal related to development of Sulu-Sulawesi Seas EAFM Plan, conduct Regional EAFM Workshop.	✓	✓	✓	✓	Ongoing – The first draft of the Sub-Regional Sulu-Sulawesi Seas Sustainable Fisheries Management Plan was presented at CTI-CFF’s Senior Officials Meeting, November 27-30, 2017, with initial endorsement secured. In September, an updated draft of the EAFM plan was produced, with ongoing socialization for adoption in Year Four being coordinated with CTI-CFF Regional Secretariat and SEAFDEC.
<b>RG 4.2</b>	Conduct RAFMS 2.0 Workshop and develop Rapid Appraisal training module.	✓	✓	✓	✓	Complete – Workshop conducted in Q1, in Metro Manila, Philippines. Technical review and development of the RAFMS modules completed in Q3. Guide will be submitted for approval and released in Year Four.
<b>RG5: Integrate Fair Labor and Gender Equity Considerations at the Regional Level</b>						
<b>RG5.1</b>	Participate in the 7th Global Symposium on Gender in Aquaculture and Fisheries (GAF7)	✓	✓	✓	✓	Ongoing – GAF7 will be held October 2018, with USAID Oceans supporting the participation of its gender analysis subcontractors to present their results and disseminate recommendations, and its gender grantees to present their initiatives for gender equity at the learning sites. Preparations began in Q4, and USAID Oceans will continue to provide technical input to the Local Organizing Committee of the GAF7 and on the production of a Gender in Research training guide to be launched during GAF7.
<b>RG5.2</b>	Integrate agenda into CTI-CFF’s Women Leaders’ Forum (WLF) in Sustainable Fisheries Management.	✓	✓	✓	✓	Ongoing – In Q3 and Q4, USAID Oceans hosted monthly WLF teleconferences with regional partners. One of the main topics of the calls was stocktaking for existing gender policies on marine biodiversity and fisheries in the CT6 countries, to be the reference for the drafting of the CTI-CFF gender policy (in preparation for SOM14 in December 2018).
<b>RG5.3</b>	Participation in Women’s Leadership Forum’s Intergenerational Workshops and field visits in Bali, Indonesia and CT6 sites.	✓	✓	✓		Complete – USAID Oceans’ HW/Gender Specialist and SEAFDEC focal point coordinated with WLF throughout the year, however, participation in the October 2018 Intergenerational Workshop was cancelled as a non-priority priority funding area.
<b>RG5.4</b>	Ongoing coordination with SEAFDEC for gender capacity building and policy development, including development of the SEAFDEC Gender Policy.	✓	✓	✓	✓	Ongoing – In Year Three, USAID Oceans’ support shifted to an advisory role, as SEAFDEC-Sweden has hired an in-house Gender Expert. USAID Oceans’ Gender Specialist continued to attend meetings and provide guidance on SEAFDEC’s initiatives with their other partners such as Sweden project, GEF and FAO. In Year Three (Q4), USAID participated in the Regional Experts Consultation Workshop on Gender Sensitive Monitoring and Evaluation System in Fisheries organized by SEAFDEC-Sweden Project.

<b>RG6: Implement Regional Communication Strategy</b>						
<b>RG6.1</b>	Develop Core Legacy Documents across workstreams	✓	✓	✓	✓	Ongoing – USAID Oceans’ Communications Manager worked with technical leads to identify capstone communications products for each workstream and build out a development strategy and budget. Development will commence in Year Four.
<b>RG6.2</b>	Provide support to SEAFDEC IEC Department, including website support	✓	✓	✓	✓	Ongoing – USAID Oceans and SEAFDEC continued to work together to maintain program website on SEAFDEC servers and to procure communications equipment to build department capacity.
<b>RG6.3</b>	Maintain activity web portal, hosted by SEAFDEC	✓	✓	✓	✓	Ongoing – Website updated with news updates, resources, and events.
<b>RG6.4</b>	Disseminate quarterly eNewsletter to activity stakeholders	✓	✓	✓	✓	Ongoing – USAID Oceans regularly developed and disseminated program eNewsletters and ad-hoc news updates, as needed.
<b>RG6.5</b>	Develop program materials, to include fact sheets, event materials, case studies, and success stories on activity progress	✓	✓	✓	✓	Ongoing – USAID Oceans continued to develop print and web program materials, including informational materials for the program’s June Learning Exchanges, CDT infographics, and translations of program materials for local stakeholders.
<b>RG6.6</b>	Produce videos on key Activity objectives/activities		✓	✓	✓	Ongoing – USAID Oceans contracted a Bangkok-based video production company, Rubberknife, to produce a 3-minute program overview video. The script was finalized in late Year Three, with completion scheduled for Year Four. During the Communications Baseline Documentation Trip in Q4, USAID Oceans captured video footage to be used in Year Four impact and story-telling videos.
<b>RG6.7</b>	Provide regular updates to USAID in the form of REO Updates, social media posts, talking points, and other outreach materials as needed	✓	✓	✓	✓	Ongoing – USAID Oceans responded to all USAID informational requests and proactively provided talking points, social media posts, and eNewsletter content submissions.

## Learning Site: Philippines (National and Local Activities)

ID	Activity	Q1	Q2	Q3	Q4	Notes on Progress and Completion
<b>PH1: Integrated Support for National and Local Efforts</b>						
PH1.1	Conduct Integrated Stakeholder Validation Workshop	Completed Y2				Complete.
PH1.2	Conduct annual integrated workshops on lessons learned and best practices with Philippines TWG	X	✓			Complete – Conducted a Reflection and Learning Workshop in March in conjunction with the Mid-term review.
PH1.3	Conduct Training of Trainers for integrated training modules (following development of CDT Guidelines/Roadmap)			X		Due to revised planning for the CDT Guidelines and Roadmap, any training activities associated with the Guidelines will be re-determined in the Year Four work planning process and conducted in Year Four.
PH1.4	Conduct on-demand/ad-hoc training workshops	✓	✓	✓	✓	Ongoing – In Q3, USAID Oceans held a Tuna Conservation and Management Zone workshop with BFAR to socialize the eCDT system. In Q4, USAID Oceans conducted a gender training as a side event during the 20 <sup>th</sup> National Tuna Congress in General Santos City attended by gender focal persons of the local government units, the private sector, academe, and civil society organizations.
PH1.5	Develop national and site-level communications materials to support work stream activities	✓	✓	✓	✓	Ongoing – National and site-level informational materials were developed in Year Three, including a suite of local language program factsheets and basic eCDT information sheets for small-scale fishers. A Baseline Documentation Trip was conducted at the close of Year Four to document learning site progress and to support development of upcoming communications products to share lessons learned, successes, and technical guidance.
<b>PH2: Strengthen Capacity for eCDT/Develop and Implement eCDT System</b>						
PH2.1	Conduct rapid value chain assessment and identify industry priorities and gaps for the implementation of CDTS	Completed Y2				Complete.
PH2.2	Conduct CDTS Gap Analysis to identify industry priorities and gaps for the implementation of CDTS	Completed Y2				Complete.
PH2.3	Support BFAR to develop BFAR eCDTS system	✓	✓	✓	✓	Ongoing – see updates below.
PH2.3a	<i>Socialize BFAR CDTS system with industry (processor and supplier) and BFAR CDTS system officers/surveyors</i>		✓	✓	✓	Ongoing – socialization ongoing through SFFAIL grant.
PH2.3b	<i>Conduct trainings on BFAR CDTS system with company (processor) staff and BFAR CDTS officers</i>		✓	✓	✓	Ongoing – preliminary trainings ongoing through SFFAIL grant.
PH2.3c	<i>Pilot BFAR CDTS system at General Santos City</i>	✓	✓	✓	✓	Ongoing – Live testing ongoing with First Movers in two supply chains.
PH2.3d	<i>Conduct monitoring and evaluation on the trial of BFAR CDTS system for further improvement and replication plan</i>			✓	✓	Ongoing – Prior to full rollout, local monitoring and evaluation for further improvement is being conducted. Issues that arise during the trial are being

						addressed through close coordination and work with BFAR Programmers, SFFAI, and relevant First Mover partners.
PH2.3e	Conduct national CDT/FIS/PPP workshops with government, industry and technology companies and financial institutions		X		X	Delayed – to be held in Year Four.
PH2.3f	Localize national CDT data exchange/Develop API				X	Delayed – to be held in Year Four.
PH2.3g	Secure Cloud Hosting services for national CDT data exchange				X	Delayed – to be held in Year Four.
PH2.3h	System Admin, Maintenance, Technical Support for data exchange				X	Delayed – to be held in Year Four.
PH2.4	Localize mobile CDTS MVP for vessel and supply chain traceability and point of capture through e-logbook & supplier app retrofit.			X	X	Delayed – E-Logbook application is still in design phase with BFAR. Supplier App retrofit will be completed in Year Four, once Trafiz has been tested in Indonesia.
PH2.5	Hire Philippines-based ICT LTTA to support technical work with BFAR and SFAI	✓	✓			Complete.
PH2.6	Airtime subsidy for at-sea and land-based cellular communications	X	X	X	X	Delayed – USAID Oceans installed FAME technology in Q4, with intensive testing to occur in Q1-Q2 Y4. The subsidy will be provided to small-scale First Movers and BFAR inspector.
PH2.7	Subscription for VMM/VMS communications (CDTS testing)	X	X	X	✓	Complete – FAME units installed in September 2018.
PH2.8	Socialization of FAME system for small-scale fishers		X	X	✓	Ongoing – USAID Oceans formalized its partnership with provider, FAME in March 2018, with procurement and installation initiated in Q4. A technology orientation for small-scale fishers has been held, with more in-depth onsite training to be completed in Year Four.
PH2.9	Development support to modify internal traceability system, TraceTales, for Philippine use			X	X	In review – This activity strategy may shift in Year Four, pending resource availability for extension of MDPI contract.
PH2.10	Provide technology support for CDT Operation Center.	X	X	X	✓	Initiated – Limited equipment (tablets) have been procured for the learning site eCDT pilot in Years Three and Four, equipment for BFAR FIMC, BFAR 12 Operations Centers, and LGUs will be procured.
<b>PH3: Support and Develop Partnerships to Strengthen National and Local Impact</b>						
PH3.1	Conduct a partnership planning workshop with industry associations and participating companies to develop partnership action plan	Completed Y2				Complete.
PH3.2	Conduct partnership briefing for BFAR Region 12 staff	Completed Y2				Complete.
PH3.3	Formalize 2 public-private partnerships with technology companies (FAME and Globe) to support the CDTS data capture at-sea and landing sites	✓	✓	✓	✓	Complete – USAID Oceans formalized its partnership with FAME in Q2 to implement at-sea solutions for small-scale vessels in the Philippines. Implementation began in Q3 with installation ongoing and to continue into Year Four. A partnership with Globe is no longer being explored.

<b>PH3.4</b>	Develop and maintain partnership with Socskargen Federation (SFFAI) to support the demonstration and expansion of CDTS in target fisheries and supply chains	✓	✓	✓	✓	Ongoing – See details below.
<i>PH3.4a</i>	<i>Conduct orientation on EAFM/ASIC-Fisheries Improvement Tool for SFFAI's Handline Association, in collaboration with Seafood Watch</i>	✗	✗	✗	✗	Delayed – Training is being organized Year Four.
<i>PH3.4b</i>	<i>Co-host focus group discussions with SFFAI between industry and BFAR Region 12 in General Santos City</i>		✓	✓	✗	Ongoing – Conducted two meetings in January and April 2018. Subsequent FDGs have been delayed due to systems development delays. Next FDG is planned in Year Four.
<i>PH3.4c</i>	<i>Engage eight First Mover companies through SFFAI partnership/grant to co-invest in the implementation of CDTS in General Santos City</i>	✓	✓	✓	✓	Complete – SFFAI signed on 13 companies in Q1, exceeding the total grant target of 8 First Mover companies. Engagement is ongoing.
<i>PH3.4d</i>	<i>Train First Mover companies on CDTS with SFFAI to ensure the successful roll-out of the demonstration</i>	✓	✓	✓	✓	Ongoing – SFFAI delivered the most recent training in April 2018 on Practical Navigation.
<i>PH3.4e</i>	<i>Integrate CDTS DEX/API at the site with BFAR R-12 and key supply chain actors in cooperation with SFFAI</i>				✗	Delayed – see Section PH2.
<b>PH3.5</b>	Develop a partnership to support the expansion of CDTS and fisheries data collection through sustainable business or investment models				✗	Shifted – Partnerships will be explored in Year Four as part of USAID Oceans' eCDT/EAFM grants.
<b>PH3.6</b>	Develop a partnership with small-scale association (other than SFFAI) to legitimize supply from small-scale suppliers.	✓	✓	✓	✓	Ongoing – USAID Oceans' Country Coordinator is working on engaging the Association of Tuna Handliners (ATH), as a part of the partnership in PH3.3.
<b>PH4: Develop Fisheries Management Plans</b>						
<b>PH4.1</b>	Conduct rapid appraisal using RAFMS	<b>Completed Y2</b>			Complete.	
<b>PH4.2</b>	Develop Sustainable Fisheries Management Plan (SFMP) for Sarangani Bay PAMB in consultation with BFAR	<b>Completed Y2</b>			Complete.	
<b>PH4.3</b>	Monitor Sarangani Bay SFMP implementation			✓	✓	Ongoing – Planning has been initiated with PAMB to monitor implementation of SFMP. USAID Oceans currently exploring collaboration with USAID Protect Wildlife program in Year four.
<b>PH4.4</b>	Develop SFMP draft for Region 12 in consultation with BFAR national and Region 12	✓	✓	✓	✓	Ongoing – Draft SFMP submitted to BFAR, with ongoing coordination with national and Region 12 BFAR counterparts for finalization/adoption. Review workshop and finalization planned for Year Four.
<b>PH4.5</b>	Conduct "Mainstreaming EAFM Workshop" and EAFM LEAD training for local gov. executives to support the finalization of the SFMP for Region 12	✓				Complete – Conducted in Q1, October 2017.
<b>PH5: Integrate Fair Labor and Gender Equity Considerations at the Regional Level</b>						
<b>PH5.1</b>	Conduct in-depth gender analysis	<b>Completed Y2</b>			Complete.	
<b>PH5.2</b>	Conduct in-depth labor studies	<b>Completed Y2</b>			Complete.	

<b>PH5.3</b>	Conduct national gender and labor consultation workshops around on-going events, including participation in BFAR's Annual Search for Outstanding Women in Fisheries.	✓	✓	✓	✓	Ongoing – USAID Oceans held multiple consultations and meetings with Philippine government partners throughout the year, including a gender side event during the 20th National Tuna Congress.
<b>PH5.4</b>	Implement gender & labor interventions through:	✓	✓	✓	✓	Ongoing – In Q3, USAID Oceans evaluated grantee proposals and selected The Network on Women in Fisheries (WinFish) as the learning site grantee. In Q4, the Country/Site Coordinator conducted a pre-award survey and the Gender Specialist initiated technical discussions to further refine the grant proposal. At the close of Year Three, WINFISH had completed all necessary documentations and the Grants Management team was in the contracting process.
<i>PH5.4a</i>	<i>Grant to local woman's group/NGO/CSO for CDTS/EAFM training</i>		✗	✗	✗	Delayed – pending award of grant.
<i>PH5.4b</i>	<i>Grant to local woman's group/NGO/CSO for Economic Empowerment activities</i>		✗	✗	✗	Delayed – pending award of grant.

## Learning Site: Indonesia (National and Local Activities)

ID	Activity	Q1	Q2	Q3	Q4	Notes on Progress and Completion
<b>ID1: Integrated Support for National and Local Efforts</b>						
<b>ID1.1</b>	Conduct Integrated Stakeholder Validation Workshop	Completed Y2				Complete.
<b>ID1.2</b>	Conduct annual integrated workshops on lessons learned and best practices with Indonesia TWG		✗	✗		In review – USAID Oceans does not plan to convene a full, integrated workshop in Year Three and will strategically address in Year Four Work Plan.
<b>ID1.3</b>	Conduct Training of Trainers for integrated training modules (following development of Guidelines/Roadmap)				✗	Due to revised planning for the CDT Guidelines and Roadmap, any training activities associated with the Guidelines will be re-determined in the Year Four work planning process and conducted in Year Four.
<b>ID1.4</b>	Facilitate Alliance meetings with the TWG (possibly linked to Fisheries Business Forum events, 2x per year)	✗	✗	✗	✗	Alliance meetings have not yet been conducted.
<b>ID1.5</b>	Quarterly reporting meeting to TWG at Indonesia. Report of Oceans activities and progress to Indonesia TWG members at MMAF	✓	✓	✓	✓	Complete/Ongoing.
<b>ID1.6</b>	Incidental coordination meeting with MMAF and relevant stakeholders related to workstream (CDTS, EAFM, HWGL and PPP)	✓	✓	✓	✓	Complete/Ongoing.
<b>ID1.7</b>	Bimonthly coordination meeting with local government at Manado and Bitung. Coordinate site-level events to maintain	✓	✓	✓	✓	Ongoing

	communication and collaboration with local government and other stakeholders					
<b>ID1.8</b>	Develop national and site-level communications materials to support work stream activities	✓	✓	✓	✓	Ongoing – National and site-level informational materials were developed in Year Three, including a suite of local language program factsheets and basic eCDT information sheets for small-scale fishers. A Baseline Documentation Trip was conducted at the close of Year Four to document learning site progress and to support development of upcoming communications products to share lessons learned, successes, and technical guidance.
<b>ID2: Strengthen Capacity for eCDT/Develop and Implement eCDT System</b>						
<b>ID2.1</b>	Conduct rapid value chain assessment and identify industry priorities and gaps for the implementation of CDTS	<b>Completed Y2</b>				Complete.
<b>ID2.2</b>	Localize national CDT data exchange			✗	✗	Delayed – Pending MMAF implementation of STELINA and eLogbook
<i>ID2.2a</i>	<i>Cloud Hosting national CDT data exchange</i>			✗	✗	Delayed – Pending MMAF implementation of STELINA and eLogbook
<i>ID2.2b</i>	<i>System Admin, Maintenance, Tech and Cust Support for data exchange</i>			✗	✗	Delayed – Pending MMAF implementation of STELINA and eLogbook
<i>ID2.2c</i>	<i>Conduct national CDT/FIS/PPP workshops with government, industry and technology companies and financial institutions</i>		✗		✓	Ongoing – MMAF's STELINA was unveiled to companies in Bitung in Q3. Training activities were conducted in Q4 and will follow into Year Four.
<b>ID2.3</b>	Provide technology support for CDT Operation Center		✗	✗	✗	Delayed – This activity is dependent on the implementation of STELINA.
<b>ID2.4</b>	Support the development, testing and implementation of MMAF downstream traceability (STELINA)	✗	✓	✓	✓	Ongoing – see details below.
<i>ID2.4a</i>	<i>Socialization of STELINA to industry (processor and supplier) and to officers/surveyors</i>		✗	✓		Completed, August 2018.
<i>ID2.4b</i>	<i>Training on STELINA to company (processor) staff and to surveyors</i>		✗	✗	✓	Ongoing – Initial training conducted in August 2018, with additional capacity building to occur in Year Four.
<i>ID2.4c</i>	<i>Testing/trial STELINA at Bitung</i>	✗	✗	✗	✓	Ongoing, commenced in August 2018.
<b>ID2.5</b>	Develop mobile CDT MVP for supply chain traceability and point of capture for small scale (supplier app)		✓	✓	✓	Complete – Development completed August 2018, testing and optimization initiated in August-September.
<b>ID2.6</b>	Hire Indonesia based ICT LTTA to support technical work with MMAF, MDPI, Inmarsat	✓				Complete.
<b>ID2.7</b>	Airtime subsidy for at-sea and land-based cellular communications	✗	✗	✗	✗	Delayed – Pending full launch of STELINA.

<b>ID2.8</b>	Satellite airtime for Inmarsat at-sea satellite communications (CDTS testing)	X	X	✓	✓	Ongoing – Modifications to software to incorporate USAID Oceans’ KDEs and additional functionalities requested by government and industry partners are completed and approved by MMAF. 5 units of technology installed in Q3 with 5 more to be installed in Year Four.
<b>ID2.9</b>	Waterproofed mobile device	X	X	X	X	Delayed in conjunction with delays in MMAF development schedule.
<b>ID2.10</b>	Satellite devices connected to mobile devices (Inmarsat 2-way VMS) for Point of Catch data collection	X	X	✓		Complete – Modifications to software to incorporate USAID Oceans’ KDEs and additional functionalities requested by government and industry partners has been completed and approved by MMAF. . 5 units of technology installed in Q3 with 5 more to be installed in Year Four.
<b>ID2.11</b>	Socialization of Point of Catch data collection to large and medium scale fishing companies		X	✓		Complete – Socialization and training completed with Nutrindo and BMB.
<b>ID2.12</b>	Training of Point of Catch data collection to the fishing companies	X	X	✓		Complete – Training completed with Nutrindo and BMB.
<b>ID2.13</b>	Support the testing and implementation of Point of Catch data collection including integration with MMAF system			✓	✓	Ongoing – USAID Oceans has engaged in discussions with MMAF on KDEs and CDTS architecture. USAID Oceans and MMAF plan to develop capability to pass Pointrek data electronically to MMAF SILOPI logbook system, with integration to occur in Year Four.
<b>ID2.14</b>	Link CDT to FIS data. Use CDT data in stock assessment for fisheries management.	X			X	Delayed – to occur in Year Four once all technology solutions are able to be linked.
<b>ID3: Support and Develop Partnerships to Strengthen National and Local Impact</b>						
<b>ID3.1</b>	Implement grant with MDPI to pilot CDTS and fisheries management in small-scale tuna fisheries in Bitung, Indonesia	✓	✓	✓	✓	Complete – USAID Oceans’ grant to MDPI concluded on August 13, 2018.
<i>ID3.1a</i>	<i>Implement 2 local data management committees with key local stakeholders to support CDTS implementation</i>	✓		✓		Complete – MDPI conducted the final DMC meeting in June 2018.
<i>ID3.1b</i>	<i>Develop CDT action plans for 2 industry partners</i>	✓				Complete – Action plans developed in Q1 by USAID Oceans, BOGI, and Nutrindo.
<i>ID3.1c</i>	<i>Develop the Supplier Application with input from the small-scale trader users</i>	✓	✓	✓	✓	Complete – Supplier app RFP developed in Q1; development completed in Q4 (ID 2.5). (MDPI has delivered their contributions to this activity).
<i>ID3.1d</i>	<i>Improve Trafiz (supplier app) based on ongoing data collection and implementation in the field</i>		X	✓	✓	Complete – technical advice provided to Trafiz in Year Three.
<i>ID3.1e</i>	<i>Establish the I-Fish sites for Bitung and the sourced landing sites for the companies involved in the demonstration</i>	✓	✓	✓	✓	Complete – Established two sites for port sampling (Sangihe and Manado). Data collection is ongoing at these sites, using the iFish application.

ID3.1f	Complete small-scale vessel registration and coordinate with KKP systems for companies involved in the demonstration	✓	✓	✓		Complete – Assessments and registrations completed in Sangihe and Manado.
ID3.1g	Refine the TraceTales internal traceability software	✓	✓			Complete – Deployed Q2, Blue Ocean Grace International (BOGI).
ID3.1h	Complete scoping of one company for TraceTales; install and test in one supply chain	✓	✓			Complete – Deployed Q2, BOGI.
ID3.1i	Present lessons learned from CDTS implementation in small-scale fisheries and supply chains to Socskargen/BFAR, and support a site visit by SFFAI staff to Bitung	✗	✗	✓		Complete – MDPI presented lessons learned during a CDT Learning Exchange in June 2018.
<b>ID3.2</b>	Support partnership concept with IPNLF/AP2HI	✓	✓	✓	✓	Delayed/Ongoing – Partnership concept in FY17. Scope of Work is being revised and combined with Activity ID3.3 for implementation in Year Four. See details below.
ID3.2a	Strengthen IPNLF's capacity in Indonesia for technical support to AP2HI and ICTSA for improvements in fisheries management and traceability	✗	✗	✗	✗	Pending finalization of Scope of Work.
ID3.2b	Strengthen AP2HI's capacity to support its members to implement traceability	✗	✗	✗	✗	
ID3.2c	Support AP2HI to build a common industry voice on traceability/CDT	✗	✗	✗	✗	
ID3.2d	Coordinate policy by working with government to streamline the existing catch documentation and certification process.	✗	✗	✗	✗	
ID3.2e	Test improvements in catch documentation procedures and chain of custody in selected pilot sites	✗	✗	✗	✗	
<b>ID3.3</b>	Develop partnership with the Indonesia Coastal Tuna Sustainability Industry Alliance (ICTSA) to support CDTS demonstration and expansion, sustainable fisheries management and human welfare in Indonesia pole-and-line and handline tuna fisheries (via MDPI, IPNLF/AP2HI).	✓	✓	✓	✓	Ongoing – USAID Oceans is exploring a partnership to support the establishment of the ICTSA, to be continued in Year Four.
<b>ID3.4</b>	Develop partnership to support the expansion of CDTS and fisheries data collection through sustainable business or investment models (i.e., with ADM Capital)		✗	✗		On hold – USAID Oceans is focusing on successful demonstration of the eCDT in learning site and planning to explore investment models after the eCDT is operational.
<b>ID4: Develop Fisheries Management Plans</b>						
<b>ID4.1</b>	Conduct rapid appraisal of FMA WPP 716 using RAFMS	<b>Completed Y2</b>				Complete.
<b>ID4.2</b>	Draft Sustainable Fisheries Management Plan. Conduct integrated stakeholder consultation workshop for input.	<b>Completed Y2</b>				Complete.
<b>ID4.3</b>	Support adoption and finalization of SFMP	✓	✓	✓	✓	Ongoing – Conducted planning workshop in Q1, translated supporting SFMP documents in Q3. Document revision, socialization

						and finalization, in coordination with MMAF and TWG, is planned for Year Four.
<b>ID5: Integrate Fair Labor and Gender Equity Considerations at the Regional Level</b>						
<b>ID5.1</b>	Conduct in-depth gender analysis	<b>Completed Y2</b>				Complete.
<b>ID5.2</b>	Conduct in-depth labor studies	<b>Completed Y2</b>				Complete.
<b>ID5.3</b>	Conduct national gender and labor consultation workshops	✓	✓	✓	✓	Ongoing – USAID Oceans held planning discussions for national workshops, and in Q3 the TWG sought USAID Oceans’ support in a National Gender Workshop (receipt of concept note pending).
<b>ID5.4</b>	Implement gender & labor interventions through:	✓	✓	✓	✓	Ongoing – In Q3, USAID Oceans selected KELOLA as the learning site grantee. In Q4, the Country/Site Coordinator conducted a pre-award survey, the Gender Specialist further refined the grant proposal, and the Grants Manager met with KELOLA in Manado. The grant will be awarded in Year Four.
<i>ID5.4a</i>	<i>Grant to local woman's group/NGO/CSO for CDTS/EAFM training</i>		✗	✗	✗	Delayed, pending award of grant.
<i>ID5.4b</i>	<i>Grant to local woman's group/NGO/CSO for Economic Empowerment activities</i>		✗	✗	✗	Delayed, pending award of grant.

## Expansion Site Activities

ID	Activity	Q1	Q2	Q3	Q4	Notes on Progress and Completion
<b>EXI: Expansion Sites (Thailand, Malaysia)</b>						
<b>EXI.1</b>	<b>CROSS-CUTTING</b> - Conduct Songkhla, Thailand Stakeholder Consultation Workshop. Finalize Site Profile	<b>Completed Y2</b>				Complete.
<b>EXI.2</b>	<b>CROSS-CUTTING</b> - Conduct Kelantan, Malaysia Stakeholder Consultation Workshop. Finalize Site Profile.	✗	✗	✗		Delayed – Pending scheduling of workshop, anticipated in Year Four, Q1.
<b>EXI.3</b>	<b>CROSS-CUTTING</b> - Support TWG reps from other sites to national/site level training and workshops	✗	✗	✓		USAID Oceans supported SEAFDEC member countries to the June 2018 Learning Exchanges in Indonesia.
<b>EXI.4</b>	<b>CROSS-CUTTING</b> - Facilitate CDT learning exchanges between learning sites and expansion sites (Bitung, General Santos, Songkhla, Kelantan)		✗	✓		USAID Oceans supported SEAFDEC member countries to the June 2018 Learning Exchanges in Indonesia.
<b>EXI.5</b>	<b>CDT</b> - Conduct Thailand study and workshop to develop CDT roadmap and provide technical assistance	✓	✓	✓		Ongoing – USAID Oceans is completing CDT Roadmap, with validation workshop to follow –to be completed in Year Four.
<b>EXI.6</b>	<b>CDT</b> - Conduct Malaysia study and workshop to develop CDT roadmap and provide technical assistance	✗	✓	✓	✓	Ongoing – Research report was finalized and delivered to Malaysia in Q3, with workshop to be held in Year Four, October 2018.

<b>EXI.7</b>	<b>CDT</b> - Develop and test core CDTS application with Thai Union for in-field data capture (supply chain traceability)	✓	✓			Complete – Thai Union decided to use readily available CDTS Inmarsat-based data capture tool, developed by Xsense—thus USAID Oceans was not required to directly develop/test the CDTS Application. USAID Oceans provided technical advice and completed the pilot assessment of Thai Union CDTS in Q2.	
<b>EXI.8</b>	<b>CDT</b> - Provide software, training, and documentation on data exchange server; provide mobile demo unit with pre-installed CDT app; "CDT in a box"				✗	Pending and shifted to Year Four.	
<b>EXI.9</b>	<b>PPP</b> - Engage industry associations and initiatives, such as Mars Petcare, to support CDTS expansion to Thailand (linked to sustainable fisheries management and fair labor)	✗	✓	✓	✓	Ongoing – USAID Oceans is engaging Mars Petcare through a collaboration with USAID Thailand CTIP, building upon learnings from the Thai Union pilot. USAID Oceans and CTIP met in Year Three, Q4 to plan Year Four activities.	
<b>EXI.10</b>	<b>PPP</b> - Conduct Thailand Partnership Appraisal	✓	✓	✓		Complete – USAID Oceans has conducted a partnership appraisal for Thailand, with results to be included as a part of the Expansion Sites Rapid Partnership Appraisal Report (to be released in Year Four).	
<b>EXI.11</b>	<b>PPP</b> - Conduct Malaysia Partnership Appraisal	✗	✓	✓		Complete – The Malaysia Partnership Appraisal and CDT Gaps Analysis were conducted in February 2018, with results to be included as a part of the Expansion Sites Rapid Partnership Appraisal Report (to be released in Year Four).	
<b>EXI.12</b>	<b>EAFM</b> - Technical Support for EAFM planning	✓	✓	✓	✓	Ongoing – Thailand: Stakeholder workshop conducted in Year Two. Potential for additional support in Year Four. Malaysia: Stakeholder workshop tentatively planned for Q3, with identification of EAFM priorities.	
<b>EXI.13</b>	<b>HW</b> - Facilitate networking among women leaders through TWG human welfare	✓	✓	✓	✓	Ongoing – Ongoing communication to TWG through CTI-CFF's WLF group and email communications to share new resources, sector news, and opportunities.	
<b>EX2: Expansion Sites (Vietnam, Myanmar, Cambodia, Laos, Brunei. CTI: Timor Leste, Papua New Guinea, Solomon Islands)</b>							
<b>EX2.1</b>	<b>CROSS-CUTTING</b> - Develop site profile template for expansion countries				✓	Data for Site Profiles was solicited in the Third Annual TWG Workshop. Additional follow-up may occur in Year 4, as relevant for regional guidance.	
<b>EX2.2</b>	<b>CROSS-CUTTING</b> - Support TWG reps from other sites to national/site level training and workshops	✓	✓	✓	✓	Ongoing	
<b>EX2.3</b>	<b>CDT</b> - Provide software, training, and documentation on data exchange server; provide mobile demo unit with pre-installed CDT app; "CDT in a box"				✗	✗	Pending and shifted to Year Four.

<b>EX2.4</b>	<b>CDT</b> - Conduct Vietnam study and workshop to develop CDT roadmap and provide technical assistance	✓	✓	✓	✓	Ongoing – USAID Oceans delivered the first draft of the Vietnam Gaps Analysis in Q4, with final report to be delivered in early Year Four.
<b>EX2.5</b>	<b>CDT</b> - Mentorship of Expansion Sites			✓	✓	Ongoing – USAID Oceans and SEAFDEC actively engaged with Malaysia and Vietnam in in Year Three, and technical support provided to other Expansion Sites through the CDT Learning Exchange and other one-on-one support. Further collaboration will follow in Year Four.
<b>EX2.6</b>	<b>PPP</b> - Conduct Vietnam Partnership Appraisal	✓	✓	✓		Complete – Preliminary results from the Vietnam Partnership Appraisal were presented during the Vietnam workshop in Q1. Results of the partnership appraisal will be published in the Expansion Sites Rapid Partnership Appraisal Report (to be released in Year Four).
<b>EX2.7</b>	<b>EAFM</b> - Technical Support for EAFM planning	✓	✓	✓	✓	Ongoing – Development of RAFM Modules/Guides completed (Section 2.4) for use by Expansion countries. To be finalized for release in Year Four.
<b>EX2.8</b>	<b>HW</b> - Facilitate networking among women leaders through TWG human welfare	✓	✓	✓	✓	Ongoing – USAID Oceans continues to engage in ongoing communication to the TWG through CTI-CFF's WLF group and email communications to share new resources, sector news, and opportunities.

## Partner Activities and Coordination

ID	Activity	Q1	Q2	Q3	Q4	Notes on Progress and Completion
<b>CTI-CFF Grant Activities</b>						
<b>CTII.1</b>	Activity 1.1: CTI-CFF/USAID Inception Workshop: Building-Up A Regional Catch Documentation and Traceability (CDT) System and Advancing Fisheries Management for Strengthening Food Security in Coral Triangle Region	Completed Y2				Complete.
<b>CTII.3</b>	Activity 1.3: Workshop on CDT system design and development based on EAFM	✗		✓		Complete – CDT Learning Exchange conducted in June 2018.
<b>CTII.4</b>	Activity 1.4: Planning meeting for the establishment Regional Scientific Advisory Group (SAG) meeting on EAFM in Manado	✗			✗	New schedule based on CTI-CFF/DOI workplan; technical support required from USAID Oceans.
<b>CTII.5</b>	Activity 1.5: Series of CTI-CFF countries consultative visits by CTI-CFF and Oceans for CDT/EAFM implementation	✓	✓	✓	✗	Postponed by Regional Secretariat.

<b>CTII.6</b>	Activity 2.1: CTI-CFF PPP (Public Private Partnerships) dialogue/forum on responsible fisheries management (conducted in one of the CT3 Pacific Countries)	X	X	✓		Complete – PPP Preparatory Workshop conducted in April 2018.
<b>NOAA Coordination</b>						
<b>NOAA 1.1</b>	Activity 1.4: Key High-Level Engagement in Region (including key regional meetings)	✓	✓	✓	✓	Ongoing – USAID Oceans and NOAA continue to coordinate to identify opportunities for engagement. NOAA attended the CTI-CFF/USAID Oceans Learning Exchange (CTII.3).
<b>NOAA 1.2</b>	Activity 2.2: Oceans Learning Site Validation of CDT	X	X	X		Delayed – Schedule for NOAA validation trip pending full learning site implementation and partner coordination. New date is TBD.

## Administrative and Operational Activities

ID	Activity	Q1	Q2	Q3	Q4	Notes on Progress and Completion
<b>AO1 – Work Planning</b>						
<b>AO1.1</b>	Finalize and Submit Year Two Workplan	Completed Y2				Complete.
<b>AO1.2</b>	Develop and Finalize Year Three Workplan	✓				Complete – Submitted October 18, 2017.
<b>AO1.3</b>	Develop and Finalize Year Four Workplan		✓	✓	✓	Ongoing – USAID Oceans held an internal planning workshop May 15-18, with extensive planning and budgeting work completed throughout the year. In Q4, USAID Oceans secured USAID/RDMA and SEAFDEC support and presented the plan to the Regional TWG. The plan will be submitted October 5, 2018.
<b>AO2 – Reporting</b>						
<b>AO2.1</b>	Quarterly Reports prepared and submitted	✓	✓	✓	✓	Complete – All quarterly progress reports have been submitted as required.
<b>AO2.2</b>	Annual Report prepared and submitted	✓			✓	Ongoing – The Annual Progress Report will be submitted October 31, 2018, as planned and scheduled.
<b>AO3 – Monitoring &amp; Evaluation</b>						
<b>AO3.1</b>	Compile and review monitoring data	✓	✓	✓	✓	Ongoing.
<b>AO3.2</b>	Conduct external Data Quality Assessment	Completed Y2				Completed August, FY17.
<b>AO3.3</b>	Conduct M&E Orientation & Workshop with MPDI in ID	✓				Completed in Q1.
<b>AO3.4</b>	Conduct M&E Orientation & Workshop with SFFAI in PH	✓				Completed in Q1.

<b>AO3.5</b>	Conduct survey on "Adoption" of CDTS			X	X	This activity has been shifted to Year Four, pending full implementation of the learning site CDT systems.
<b>AO3.6</b>	Conduct in-depth/key informant interviews on "adoption" of CDT				X	This activity has been shifted to Year Four, pending full implementation of the learning site CDT systems.
<b>AO3.7</b>	Conduct internal DQA with grantees (MPDI in ID and SFFAI in PH)		✓	✓	✓	Ongoing – USAID Oceans is completing DQAs with grantees on an ongoing basis, as new results are reported.
<b>AO3.8</b>	Conduct Internal Mid-term Review	X	✓	✓	✓	Complete – USAID Oceans completed in-field research in March 2018, and submitted the final report and recommendations was submitted to USAID/RDMA in Q3 and socialized to SEAFDEC for final inputs. The Report was finalized and made publicly available in Q4.

# ANNEX IV. MONITORING & EVALUATION MATRIX

Indicator	Outcome Statement	Data Source	Reference		Cumulative Total from FY14-FY17		Dissemination	Annual Target	Quarterly Status - FY18				Annual Actual	% Achieved	Comment
			Output	Learning	Year	Value			Q1	Q2	Q3	Q4			
			Output	Learning	Year	Value			Q1	Q2	Q3	Q4			
<p><b>Learning (Adapt the management) Questions</b></p> <ul style="list-style-type: none"> <li>To what extent does a COTS that meets producer, retailer, consumer, and other key stakeholder needs lead to use by the private sector?</li> <li>Does the COTS/FS provide adequate information for fisheries managers and other relevant stakeholders to implement sustainable fisheries management plans?</li> <li>To what extent does the use of COTS by importing market states help illegal products out of the market?</li> <li>To what extent do regional and national coordinating bodies (SEA FDEC, CTI-CFF, Technical Working Group, Technical Advisory Group) in ocean discussions leading to the endorsement of an integrated COTS/ACDS Guidelines as a regional framework?</li> </ul>															
Indicator 1: Number of fisheries of biologically significant areas under improved natural resource management as a result of USA assistance disaggregated by sub-country (EG.10.2.2)	Harbor Ecotourism Maintained	EAFH Plan, Spatial data, Supporting documents indicating the implementation of plan	X			2017	0						0	100%	Philippines - Fisheries Areas adopted in July 2017, and pending implementation. USAID Oceans is collaborating with USAID Protect Wildlife (PW) and Department of Environment and Natural Resources - Biodiversity Management Bureau (DENR-BMB) to have the plan implemented (215,950 hectares of marine protected areas).  Draft of SFHR for Surigao Bay and Subuluan Sea in Region 12 (SFHR-EA 12) submitted to DENR and key stakeholders for review, anticipates to be able to finalize by January 2018.
Indicator 2: Amount of COTS received and used units per shared disaggregated by source/using country/ importing agent/country (Custom)	Amount of illegal fish entering regular market reduced	Reports from stakeholders submitting data to COTS	X			2017	0						0	100%	Philippines - With current limitation of EAFH e-COT system in inability to collect data at capture, the reporting number of traceable fish is not fully traced from point of catch until reporting, but amount of partly traced from point of landing until reporting.  Indonesia - All traceability technologies are in the process of testing and training. Consequently no CTI transaction (Indicator #4) to support reporting data of this indicator (See also justification of indicator #4)
Indicator 3: No. of stakeholders (boat operators, processors, processors, buying companies) participating in and submitting data voluntarily to the COTS disaggregated by country and type of stakeholder e.g. boat operator, processor, exporter etc. (Custom)	Industry self-regulate to keep illegal products out of commerce	List of stakeholders submitting to the COTS. Records from COTS data of individual stakeholders	X			2017	0						0	100%	Indonesia - Small-scale fisheries - reporting 9 of 20 total (pending letters of agreement from fishers in respective island).  Philippines - Small-scale fisheries - reporting 11 of 24 total (pending letters of agreement from fishers in respective island).
Indicator 4: Number of Critical Tracking Event (CTE) transactions submitted into the COTS disaggregated by country and type of stakeholder (boat operator, processor, exporter, importer, etc.) (Custom)	COTS components and functionality demonstrated	COTS report	X			2017	0						0	100%	Total Philippines 3300 0 0 0 40 40 1% Indonesia 2300 0 0 0 40 40 1.6 Indonesia 2300 0 0 0 0 0 0 Landing/Landing 0 0 0 0 4 4 Transportation 0 0 0 0 2 2 Processing 0 0 0 0 30 30 Boat Tracking 0 0 0 0 2 2 Processing/Loading 0 0 0 0 1 1 Pre-Cooking 0 0 0 0 24 24 Scumming/Slicing 0 0 0 0 1 1 Storage/Warehouse 0 0 0 0 1 1 Exporting 0 0 0 0 1 1 Van loading 0 0 0 0 1 1 Pre-shipment 0 0 0 0 1 1 Shipment 0 0 0 0 1 1 Cash Certificate 0 0 0 0 1 1
Indicator 5: Percentage of targeted stakeholders who self-report "adoption" of the COTS as local business requirement disaggregated by country, type of stakeholder (e.g. Government, NGO, Industry or Technology Private Sector (fisher, processor, exporter, importer); INGO, etc.), and sea (Custom)	COTS design meets agency and key stakeholder needs	COTS report	X			2017	0						0	100%	Total 30 N/A N/A N/A N/A 0 Philippines 30 N/A N/A N/A N/A 0 Indonesia 30 N/A N/A N/A N/A 0 Boat Operator/Fisher 30 N/A N/A N/A N/A 0 Government 30 N/A N/A N/A N/A 0 Fisher 30 N/A N/A N/A N/A 0 Processor 30 N/A N/A N/A N/A 0 Exporter 30 N/A N/A N/A N/A 0 Importer 30 N/A N/A N/A N/A 0
Indicator 6: Number of innovations supported through USA assistance disaggregated by stage of innovation (CT, etc.), and type of innovation (model or process vs. technology private sector (fisher, processor, exporter, importer); INGO, etc.), and sea (Custom)	Decision/Integration tools for key agencies and stakeholders in place and functioning	Reports detailing development and implementation of COTS	X			2017	1						1	100%	Philippines - 2 1. BFA e-COT system - In FY18Q4, only 1 traceability system is piloting by tracking fish from point of landing to support, while the other four including FAME transporter, Trade, point-to-point, and Trace Tables are in the process of testing and training on how to operate the system. 2. FAH transporter technology - traceability at point of capture in the process of testing and receiving FAME technology with DENR e-COT system in order to support fisheries traceability in Philippines.  Indonesia - 3 1. Trace Tables - traceability in processing/exporting company 2. Point-to-point - traceability and communication at point of catch 3. Trade - traceability at point of landing in the process of receiving FAME, Trade, and Trace Tables
Indicator 7: Number of laws, policies, or regulations that address biodiversity conservation and/or other environmental themes a) locally proposed, adopted, or implemented as a result of USA assistance b) proposed or adopted by country/regional body (e.g., SEA FDEC, CTI-CFF), type (e.g. policy, law, regulation etc.) and stage of development (proposed, endorsed, adopted, implemented) (EG.10.2.3)	Biodiversity management plan & processes improved	Copies of laws, policies, regulations, strategies and plans.	X			2017	1						1	100%	Philippines - SFHR-EA 12 (271A, 175,249 hectares) in review by DENR and key stakeholders (finalization anticipated mid FY 18)  Indonesia - SFHR-EA 714 (25 million hectares). A meeting with HHA/DOG scheduled to take place in November 2018 to prepare review workshop with HHA/DOG in early 2019. (Finalization anticipated mid FY 18)  Regional - Sub-Regional EAFH Plan for Sub-Sulawesi Storage draft
Indicator 8: Number of legal instruments drafted, proposed or adopted with USA assistance designed to promote gender equality or non-discrimination against women or girls at the regional, national or sub-national level disaggregated by stage (drafted, proposed, adopted) and level (regional, national, sub-national)(GNDRI)	COTS/EAHPPP processes and procedures incorporate gender considerations	Copies of legal instruments.	X			2017	0						0	100%	This activity is postponed until grants are awarded in FY18.
Indicator 9: Number of regional or national government entities endorsing the integrated COTS/ACDS and Guidelines disaggregated by country/regional, agency and level of government (e.g., national, sub-national)	Guidelines for implementing integrated COTS/ACDS	COTS data	X	X		2017	0						0	100%	Final work of additional development detailed in the final TWG workshop. Securing contract to support draft development established.
Indicator 10: Number of people trained in sustainable natural resource management and/or biodiversity conservation as a result of USA assistance disaggregated by country, sex, affiliation, training topic (Output EG.10.2.4)	Key stakeholders have capacity to use COT for fisheries management.	Copies of sign-in sheets, group photos, training/evaluation reports, participant list, training report etc.	X	X		2017	283	283	283	283	283	283	283	100%	Total 490 280 148 0 211 439 138% EAFH 210 165 74 0 72 232 120% COTS 280 175 74 0 138 387 138% Male N/A 151 54 0 120 327 Female N/A 129 94 0 89 313 Philippines 190 107 70 0 104 284 152% Indonesia 190 17 44 0 28 111 58% Vietnam 20 20 0 0 11 41 137% Thailand 0 94 0 0 17 113 N/A Others 80 20 4 0 21 84 104%
Indicator 11: Value in cash or in-kind (in USD) of public and private sector investments in sustainable fisheries and coastal and marine ecosystem conservation disaggregated by value of cash or value of in-kind contributions, type of partner (e.g., technology partner, industry partner, government, NGO, etc.) and, country/regional (Custom)	COTS public-private partnerships enable COTS dissemination and expansion	Copies of documents reflecting cost share amount including signed cost share of leveraged resources, verification of contributions from donors, contribution form	X			2017	2,000,000	149,770	451,929	59,251	1,197,940	40%	2,000,000	100%	Total 2,000,000 - 149,770 451,929 59,251 1,197,940 40% Cash - - 75,000 - 75,000 In-kind 2,000,000 - 74,770 451,929 59,251 1,122,940 Public - - - - - Private - 149,770 451,929 59,251 1,197,940
Indicator 12: Number of new USA-supported public-private partnerships (PPPs) formed disaggregated by type and level	Regional, national, local stakeholders engaged and committed to COTS, PPP, and EAFH	Copies of signed partnership MOUs, letter of agreement or contracts that include identified resource contributions	X			2017	0						0	100%	Total 0 0 1 0 0 1 25% Industry 0 0 0 0 0 0 Technology 0 0 1 0 0 0 Regional level 0 0 0 0 0 0 Philippines 1 0 1 0 0 0 Indonesia 0 0 0 0 0 0 Thailand 0 0 0 0 0 0

## ANNEX V. USAID OCEANS CONFIRMED PARTNERSHIPS

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
<p>Global traceability partnership to design an interoperable CDT system aligned to global traceability standards</p> <ul style="list-style-type: none"> <li>• <b>Global Food Traceability Center (GFTC)</b></li> </ul> <p><i>Supporting: Gordon and Betty Moore Foundation and 17 sponsors.</i></p>	<ul style="list-style-type: none"> <li>– Leverage global programs, partners, best practices and knowledge of the regulatory and private standards environment regarding seafood traceability to design a CDT system in the Asia-Pacific region.</li> <li>– Advise on global data and traceability standards, including standards organizations.</li> <li>– Collaborate on the implementation of two CDT demonstrations by providing recommendations on the communications standards approach.</li> <li>– Monitoring and evaluating the capturing, storing, sharing and assessing CTEs and KDEs along the two demonstrations supply chains.</li> <li>– Conduct a market readiness assessment for US and EU buyers and importers to accept and manage digital traceability data, and how they are working with suppliers in Asia to implement digital traceability systems and/or data collection.</li> </ul>	<ul style="list-style-type: none"> <li>– CDT system designed that meets the requirements of multiple commercial industry players and value chains.</li> <li>– CDT system developed that uses traceability standards and data exchange approach aligned with global markets</li> <li>– Evaluation and improvement of the CDT design and deployment leading to improved system.</li> <li>– Understand challenges and opportunities with US and EU importers in accepting digital traceability data, and identify how Oceans can support and partner with these companies to encourage CDT adoption with suppliers in Southeast Asia</li> </ul>	<p>Partnership completed</p>	<p>Documented leverage of \$49,768</p>

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
<p>North American buyer and NGO alliance to support traceability and sustainable fisheries in Asia Pacific</p> <ul style="list-style-type: none"> <li>• <b>Seafood Watch Food Service Roundtable and other Seafood Watch buyer and NGO partners in North America market</b></li> </ul>	<ul style="list-style-type: none"> <li>– Leverage its strong connections to major seafood buyers, including the largest food service companies in North America, suppliers, restaurants, culinary celebrities and spokespeople, and retailers.</li> <li>– Seafood Watch will use its robust communications platform to promote awareness on the implementation of CDT.</li> <li>– Link the Seafood Watch standards with the CDT system and sustainable fisheries management programs in the demonstration sites.</li> <li>– Identify opportunities and partners to support CDT expansion to priority areas and species with high value for biodiversity based on interest Seafood Watch’s buyers and partners.</li> </ul>	<ul style="list-style-type: none"> <li>– Seafood industry partnerships and key stakeholder awareness built in the North American seafood market to support the CDT system</li> <li>– Market-driven approaches improving transparency in complex, international seafood supply chains.</li> <li>– Platform for engagement to create improvements in the environmental performance of fisheries in the Asia Pacific Region based on the SFW standards for “Best Choice” and “Good Alternative</li> </ul>	<ul style="list-style-type: none"> <li>– August 2016 - now</li> <li>– Developed workplan for 2018-2019</li> <li>– Indonesia, Philippines Workshops conducted in February 2018</li> <li>– Providing technical support to Seafood Technology Workshop in October 2018</li> <li>– Planning to leverage SFW comms channels in FY19</li> </ul>	<ul style="list-style-type: none"> <li>– Documented leverage of \$83,735</li> <li>– Projecting total of \$200,000 through life of activity</li> </ul>
<p>Technical advisory group partnership to develop the catch documentation and traceability system</p> <p><b>Partners: Future of Fish, GFTC, Marine Stewardship Council, Fishwise, Monterey Bay Aquarium Seafood Watch, WWF, International Sustainable Seafood Foundation, Catapult, MDPI and Thai Union</b></p>	<ul style="list-style-type: none"> <li>– Technical Advisory Group (TAG) focused on supporting the Catch Documentation and Traceability (CDT) component of the project.</li> <li>– Represent a diversity of key CDT-related technical skill sets and knowledge bases that are not sufficiently represented within the USAID Oceans team.</li> <li>– Provide technical expertise in the design, testing, and implementation of the electronic CDT system.</li> <li>– Support CDT demonstration site testing and implementation process; expansion site strategy; and support USAID Oceans learning, adaptation, and scaling of the CDT strategy.</li> </ul>	<ul style="list-style-type: none"> <li>– CDT strategy and roadmap development accelerated.</li> <li>– Credibility of the CDT system with key stakeholders, including thought leaders and industry partners.</li> <li>– Leverage significant funding and technical resources from multiple partners to support the demonstration, expansion and adaption of the CDT system in the Asia Pacific region.</li> </ul>	<ul style="list-style-type: none"> <li>– Formed officially in September 2016</li> <li>– Partnership completed</li> <li>– TAG has provided inputs to USAID Oceans’ CDT 101, 201, and KDE Manual</li> </ul>	<ul style="list-style-type: none"> <li>– Documented leverage of \$8,250</li> <li>– Estimated total leverage of around \$50,000 – \$75,000</li> </ul>

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
<p>Catch Documentation and Traceability System Design Partnership</p> <ul style="list-style-type: none"> <li><b>Future of Fish</b></li> </ul> <p><b>Supporting: Walton Foundation and Gordon and Betty Moore Foundation and technology/traceability companies.</b></p>	<ul style="list-style-type: none"> <li>Future of Fish will conduct research to gather information for the design of effective and scalable CDT systems and how different value propositions will increase uptake.</li> <li>Draft and complete identified sections of the CDT201 document, and design document for the data exchange server prototype.</li> <li>Communicate with the technology vendors for feedback on the current architecture and how it can be adopted, including roadblocks to adoption.</li> <li>Contribute to CDT201 implementation approach and integration within the supply chain to support more effective, scalable models for traceability deployment around the world informed by case study research.</li> </ul>	<ul style="list-style-type: none"> <li>Understand the pathway to and increase industry adoption CDTs understanding value propositions, providing evidence for Return on Investment</li> <li>Provide critical insight and data needed to secure buy-in from the seafood supply chain, to support the development of the CDT deployment models</li> <li>Set the stage and accelerate the development and deployment of scalable, full-chain CDT systems</li> </ul>	<ul style="list-style-type: none"> <li>Partnership completed</li> </ul>	<ul style="list-style-type: none"> <li>Documented leverage of \$100,287</li> </ul>
<p>Indonesia Coastal Tuna Traceability Alliance (ICTTA), Phase I</p> <ul style="list-style-type: none"> <li><b>Marine Change (PT Konsultasi Investasi Kelautan) and Masyarakat dan Perikanan Indonesia (MDPI)</b></li> </ul> <p><b>Supporting: Asosiasi Perikanan Pole &amp; Line dan Handline Indonesia (AP2HI), International Pole and Line Foundation (IPNLF) and Future of Fish</b></p>	<p>USAID Oceans and ICTSA agreed to develop a clear a multi-year strategy and partnership plan. From May – July 2016, ICTSA members, USAID Oceans, Marine Change and Future of Fish developed an initial, phased strategy to ensure the long-term success of the Alliance and the partnership with USAID Oceans. Phase I includes:</p> <ul style="list-style-type: none"> <li>Rapid Value Chain Assessment of the Tuna Fisheries Sector in Indonesia: map the critical actors in the value chain and identifying the key end markets for tuna from Indonesia, both regional and international, focusing on Bitung.</li> <li>Identify Critical Tracking Events (CTE) and Key Data Elements (KDE) throughout value chain that will meet priority export markets.</li> <li>Conduct End User Value Proposition for Adopting CDT Technology in Indonesia</li> <li>Conduct initial interviews with in-direct users of CDT technology and understand the value proposition (i.e. telecommunication companies, financial services).</li> </ul>	<ul style="list-style-type: none"> <li>Identify the CDT requirements of different stakeholders within the tuna industry in Indonesia, focusing on value chains linked to the USAID Oceans preferred site at Bitung.</li> <li>Identify the various leverage points for CDT and fisheries management data collection and start to explore the business case for different actors through traceability and differentiation for further research.</li> <li>Identify the priority end-markets for Indonesia tuna.</li> <li>Develop the concept around ICTSA and outline strategy and planned activities for the coming 2-3 years.</li> </ul>	<ul style="list-style-type: none"> <li>Partnership completed</li> <li>Discussing next SOW with all partners, with plans to leverage resources from IPNLF, AP2HI and MDPI to assist with CDT deployment in Bitung</li> </ul>	<ul style="list-style-type: none"> <li>Documented leverage of \$91,200</li> </ul>

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
<p>Technical Partnership Concept - Testing Electronic Catch Documentation and Traceability</p> <ul style="list-style-type: none"> <li>• <b>Thai Union</b></li> </ul> <p><b>Others: Mars Petcare, Department of Fisheries Thailand</b></p>	<p>Possible technical areas for collaboration include:</p> <ul style="list-style-type: none"> <li>- Industry dialogue on catch documentation and traceability</li> <li>- Government engagement: Facilitate public-private collaboration to support the implementation of USAID Oceans activities</li> <li>- Design of the CDT system: Through USAID Oceans CDT TAG, design an interoperable electronic and financially sustainable CDT system. Explore and test linking additional features and tools to promote responsible and equitable labor practices</li> <li>- Demonstrate the CDT system in Thailand: Identify and support the testing of e-CDT system in one fishery in Thailand, and link the electronic data with internal and external traceability systems through the supply chain for verification by government and customers</li> <li>- Expansion and replication of the CDT system: Identify and support the expansion of CDT system to other high priority fisheries and seafood supply chains</li> <li>- Implement fishery improvement projects in demonstration and expansion sites, with the goal of supporting the development and implementation of ecosystem-based approaches to fisheries management</li> </ul>	<ul style="list-style-type: none"> <li>- Establish a transparent and financially sustainable regional catch documentation and traceability system to combat IUU fishing and seafood fraud</li> <li>- Promote sustainable fisheries management to conserve marine biodiversity</li> <li>- Form and strengthen partnerships among governments, regional institutions and industry to improve transparency in seafood supply chains</li> <li>- Integrate and address key social and community issues such as gender, labor and safety at sea in target fisheries</li> </ul>	<ul style="list-style-type: none"> <li>- MOU signed in March 2017 and effective until May 13, 2020</li> <li>- Pilot in Southern Thailand implemented for five months in Year Two</li> <li>- Assessment of pilot completed in Year Three, Q2</li> </ul>	<ul style="list-style-type: none"> <li>- Documented leverage of \$400,000 from Thai Union</li> <li>- Documented leverage of \$34,724 from Marine Change for the pilot assessment</li> </ul>

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
<p>Catch Documentation and Traceability Regional innovation and Partnership Platform</p> <ul style="list-style-type: none"> <li>• <b>World Ocean Council (WOC)</b></li> </ul>	<ul style="list-style-type: none"> <li>– Task 1: Coordinate with USAID Oceans to plan and deliver a panel session at the Sustainable Ocean Summit in 2016</li> <li>– Task 2: Work with USAID Oceans to refine and strengthen the goals and objectives of the Technical Advisory Group scope, with an emphasis on WOC's role</li> <li>– Task 3: Using the findings from Tasks 1 and 2, develop and vet a list of target companies and organizations to contact for supporting and contributing to the Technical Advisory Group</li> <li>– Task 4: Develop brief communication package (USAID Oceans, WOC and CDT Technical Advisory Group background) to support outreach and recruiting of key companies and organizations.</li> <li>– Task 5: Conduct the outreach and recruiting of the key companies and organizations;</li> <li>– Task 6: Interview the companies and organizations to gather inputs and recommendations to input to the TAG and associated work products, including the CDT201 document.</li> </ul> <p>Task 7: Combine and synthesize results from Task 6 into a summary report of key findings and recommendations for the Technical Advisory Group and USAID Oceans development, actions and outputs for 2017 and beyond.</p>	<ul style="list-style-type: none"> <li>– Involve key companies from fisheries, seafood, technology, data management, telecommunications and other sectors essential to the development, improvement, operation and expansion of the CDT system.</li> <li>– Identify approaches and strategic partnerships for industry and governments to expand the availability of lower cost technologies and remote/at sea connectivity to support the expansion of data collection for CDT, fisheries management and enforcement.</li> <li>– Identify the business and investment models that could sustain the CDT and fisheries data collection beyond the life of USAID Oceans, and the barriers and opportunities for developing and implementing these models.</li> </ul>	<ul style="list-style-type: none"> <li>– Partnership completed</li> <li>–</li> </ul>	<ul style="list-style-type: none"> <li>– Documented leverage of \$16,045</li> </ul>

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
<p>Explore a Financing Vehicle to Scale Catch Documentation and Traceability in Indonesia Fisheries</p> <p><b>ADM Capital Foundation</b></p>	<ul style="list-style-type: none"> <li>- Develop a sustainable financing model that will create a value proposition and incentive for adoption of traceability across the different nodes within the value chain.</li> <li>- Support a select group of innovative service providers in developing their business models and financial forecast requirements, offering access to finance, where relevant, to meet scalability.</li> <li>- Investigate working with national banks and credit unions in Indonesia to create a financing vehicle that will allow adoption of traceability within the smallholder sector.</li> <li>- Offer growth management and financial intelligence to innovative Indonesian traceability service providers that can support the CDT system development and implementation.</li> </ul>	<ul style="list-style-type: none"> <li>- Collaborate to identify a financing model to scale and expand CDT and data management in tuna and other fisheries in Indonesia, from the fishing vessel through the supply chain.</li> <li>- Engage selected CDT service providers to develop and deploy at scale technology that meets USAID Oceans, MMAF and other partners' objectives and requirements.</li> <li>- Engage end markets on reducing market barriers due to the implementation of CDT for small-scale fisheries within Indonesia.</li> <li>- Work on improving the value proposition across the nodes of the seafood supply chains for greater adoption of traceability and CDT technology.</li> </ul>	<ul style="list-style-type: none"> <li>- Partnership concept signed January 18, 2017</li> <li>- Partnership completed</li> <li>- Midterm Partnership Review results suggest USAID Oceans wait until eCDT piloting is fully in place to continue with this partnership</li> </ul>	

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
<p>Build Seafood Industry Partnerships and Awareness in Key Export Markets</p> <ul style="list-style-type: none"> <li><b>International Pole &amp; Line Foundation (IPNLF)</b></li> </ul>	<ul style="list-style-type: none"> <li>Engage IPNLF members for input to the CDT Advisory Group involvement in the CDT demonstration, and increase active market participation to engage in traceability/CDT dialogue.</li> <li>Work with AP2HI to raise awareness on USAID Oceans and the role of CDT, and strengthen communication and outreach to the tuna industry</li> <li>Provide co-funding, strategic planning advice and technical support to AP2HI to strengthen its capacity to support its members to implement traceability, and to play a key role in building a common industry voice on traceability/CDT, both at the national and at site level in Bitung.</li> <li>Coordinate policy work and support AP2HI engagement with the Indonesian government to streamline existing catch documentation and certification process.</li> <li>Identify and mobilize First Mover AP2HI members to participate in the demonstration, and provide co-funding and technical support on CDT technology and software for specific AP2HI members</li> <li>Promote the ICTSA to IPNLF members and other partners as a forum for strengthened cooperation in the tuna industry in Indonesia.</li> </ul>	<ul style="list-style-type: none"> <li>Build buy-in from the market, get input on future and current market requirements, and help align field and market aspirations on CDT</li> <li>Promote and outreach through IPNLF members and networks the importance of the partnership</li> <li>Strengthen IPNLF's capacity in Indonesia to provide technical support to AP2HI and ICTSA in support of CDT system implementation</li> <li>Strengthening AP2HI's human and institutional capacity</li> <li>Policy coordination by working with the Indonesia government</li> <li>Testing improvements in catch documentation procedures at landing sites (such as Bitung) where AP2HI members operate to address IUU fishing</li> <li>Build seafood industry partnerships and PPP through collaborations with IPNLF members</li> </ul>	<ul style="list-style-type: none"> <li>March 2017 - 2019</li> <li>USAID Oceans is currently developing scopes of work for establishing the Indonesia Coastal Tuna Sustainability Alliance platform to scale CDT work in Indonesia.</li> </ul>	<ul style="list-style-type: none"> <li>Expected leverage of \$600,000 via ICTSA work</li> </ul>

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
<p>Demonstration and expansion of electronic Catch Documentation and Traceability on fishing vessels at-sea</p> <p><b>Inmarsat Global Limited</b></p>	<p>Indonesia</p> <ul style="list-style-type: none"> <li>- Selection and Recruitment of Fishing Vessel Participants</li> <li>- Hardware and devices provision for tuna fishing vessels in Bitung and MMAF Office at Bitung Port.</li> <li>- Improving e-logbook application, commercial control room application</li> <li>- Integration and Interoperability with MMAF systems</li> <li>- Develop a sustainability business model and roadmap to scale CDT</li> </ul> <p>Thailand</p> <ul style="list-style-type: none"> <li>- Collaborate on testing CDT and worker voice through FleetOne on fishing vessels in Thailand with Thai Union</li> <li>- Integration and Interoperability with DOF Thailand Traceability and Port-in-Port Out Systems</li> <li>- Support industry initiatives to address Labor Compliance</li> <li>- Develop a sustainability business model and a roadmap to scale the CDT and worker voice</li> </ul> <p>Regional</p> <ul style="list-style-type: none"> <li>- Improving crew communication and labor reporting applications available on Inmarsat</li> <li>- Regional expansion and replication of an integrated CDT solution to other countries in Southeast Asia</li> </ul>	<ul style="list-style-type: none"> <li>- Demonstrate integrated communications technology solution tested and deployed in Indonesia and Thailand</li> <li>- Enhance existing software and applications, including electronic logbook, fleet management, crew communications</li> <li>- Integration with the relevant government catch reporting and certification systems, and link with company and supply chain traceability systems for verification by buyers/customers in key export markets.</li> <li>- Develop a sustainable business model that will support a greater adoption of CDT</li> <li>- Improve safety and quality of life for crew/workers on fishing vessels with access to safety services and enable worker voice at-sea and the collection of information on working conditions from the fishing vessels at sea and at port.</li> </ul>	<ul style="list-style-type: none"> <li>- August 2017 - 2019</li> <li>- Indonesia – installed hardware in Bitung in Q3, Year Three</li> <li>- Thailand – exploring expansion of pilot with Thai Union; discussing potential to collaborate with Mars Petcare and USAID CTIP to implement CDT and worker voice</li> </ul>	<ul style="list-style-type: none"> <li>- Documented leverage of \$479,076.22</li> </ul>

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
<p>Testing, improvement and expansion of vessel tracking and monitoring solutions on small-scale vessels at sea in the Philippines</p> <p><b>**NEW**</b></p> <p><b>Futuristic Aviation and Maritime Enterprise (FAME)</b></p>	<ul style="list-style-type: none"> <li>- Selection and recruitment of fishing vessel participants</li> <li>- Provision of hardware and devices for tuna fishing vessels in General Santos</li> <li>- Develop and enhance e-logbook application</li> <li>- Customization of FAME dashboard</li> <li>- Integration and interoperability with BFAR CDT and other systems</li> <li>- Improving crew communication and labor reporting applications available</li> <li>- Sharing Lessons Learned</li> <li>-</li> </ul>	<ul style="list-style-type: none"> <li>- Deploy, test, and demonstrate integrated technology solution in the Philippines that meets CDT and sustainable fisheries management requirements of the industry, government and key export markets.</li> <li>- Enhance existing software and applications, including electronic logbook, fleet management, crew communications</li> <li>- Implement CDT solution on the fishing vessel.</li> <li>- Improve safety and quality of life for crew/workers on fishing vessels.</li> <li>- Develop scaling strategy for FAME solution in the Philippines and beyond.</li> </ul>	<ul style="list-style-type: none"> <li>- March 2018-2020</li> <li>- Technology procurement/deployment to begin in Q4, Year Three</li> </ul>	<ul style="list-style-type: none"> <li>- Documented leverage of \$67,407 from FAME</li> <li>- Estimated total leverage of \$75,000 through life of activity</li> </ul>

## ANNEX VI. FY 2018 DELIVERABLES

Deliverable	Date
Indonesia Key Data Elements Gaps Analysis	October 17, 2017
(2) Learning Site Labor Analysis Reports (Philippines and Indonesia)	October 18, 2017
FY17 Annual Progress Report	October 18, 2017
Year Three (FY18) Activity Work Plan	October 19, 2017
2 <sup>nd</sup> Annual Technical Working Group Workshop Report	October 24, 2017
Regional Fisheries Management Planning (EAFM) Workshop Report	October 24, 2017
Regional Gender Workshop Report	October 24, 2017
Fiscal Year 2017-2018 Trip Reports (RFA 82, 84, 89)	October 25, 2017
Sub-Regional Sulu-Sulawesi Fisheries Management Plan (working draft)	October 26, 2017
Fiscal Year 2017-2018 Trip Reports (RFA 90-91, 01-04, 11)	December 18, 2017
Quarterly Progress Report (Q1)	January 31, 2018
Indonesia Stakeholder Validation Workshop Report	January 31, 2018
Fiscal Year 2017-2018 Trip Reports (RFA 76, 87-88, 05, 07-10, 12, 14-15)	February 21, 2018
Annual Communications Plan	March 7, 2018
Mid-term Partnership Review Report	March 20, 2018
Fiscal Year 2018 Trip Reports (RFA 18, 20-22)	March 21, 2018
Thai Union eCDT and Crew Communications Pilot Assessment	March 22, 2018
Gender Analysis (Philippines)	April 4, 2018
Labor Analyses (Indonesia and Philippines)	April 26, 2018
Small Pelagic Assessment and Harvest Strategy; Fisheries Management Analysis for Fisheries Management Area 716 (Indonesia)	April 27, 2018
Quarterly Progress Report (Q2)	April 30, 2018
Midterm Review Report	May 11, 2018
Malaysia CDT Gap Analysis and Partnership Appraisal Report (first draft)	June 11, 2018
Gender Analysis (Indonesia)	June 18, 2018
Mid-Term Review Report	July 11, 2018
Vietnam CDT Gap Analysis and Partnership Appraisal Report (unedited report)	July 23, 2018
Quarterly Progress Report (Q4)	July 31, 2018
Year Four Communications Strategy and Implementation Plan	September 18, 2018
Vietnam CDT Gap Analysis and Partnership Appraisal Report (first draft)	September 4, 2018
Sub-Regional Sulu-Sulawesi Fisheries Management Plan	September 27, 2018