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The USAID Oceans and Fisheries Partnership (USAID Oceans)

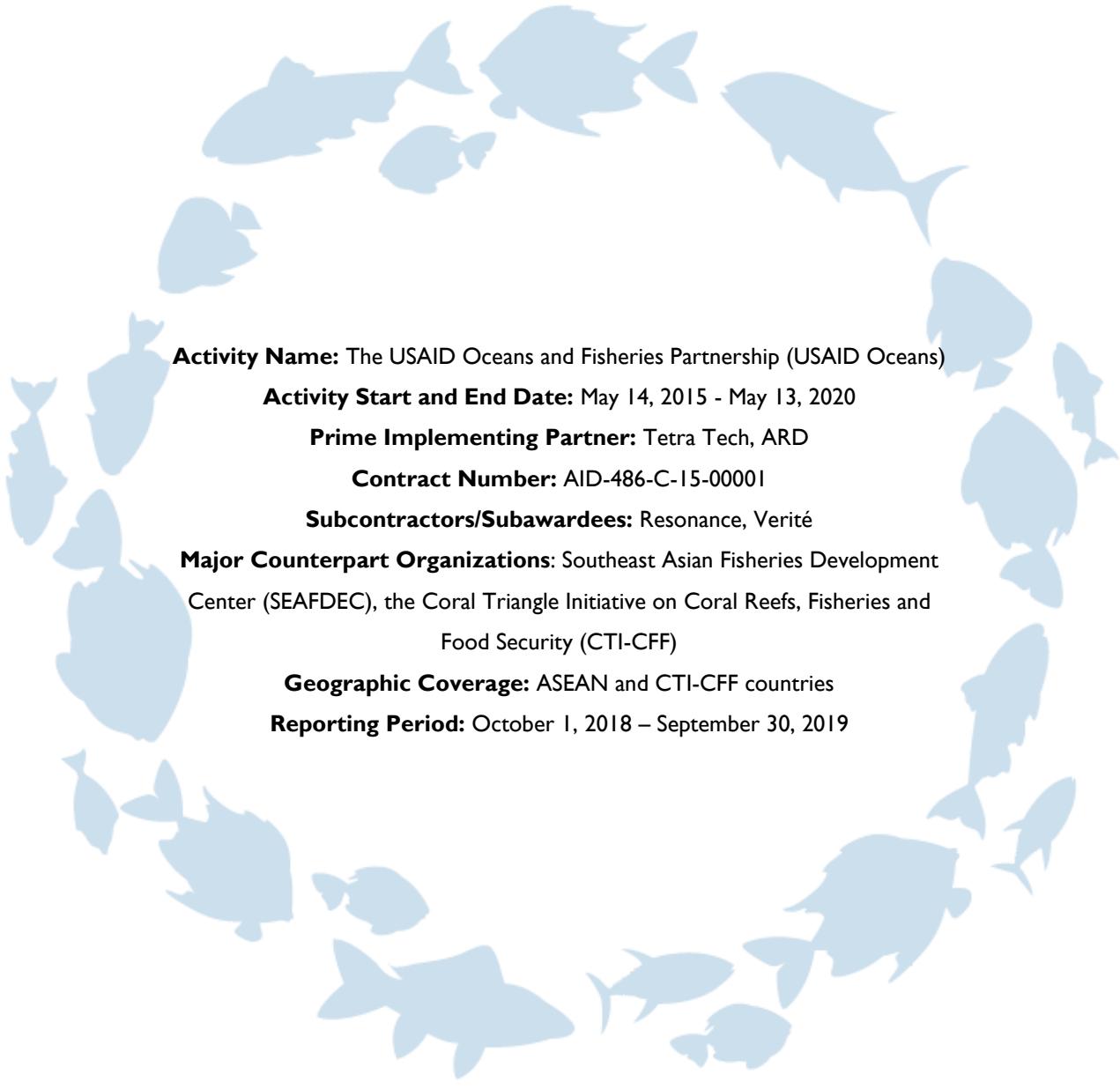
ANNUAL PROGRESS REPORT

October 1, 2018 to September 30, 2019



October 31, 2019

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ACRONYMS AND ABBREVIATIONS

ACDS	ASEAN Catch Documentation Scheme
ASEAN	Association of Southeast Asian Nations
ATH	Alliance of Tuna Handliners
BAC	BFAR Administrative Circular
BFAR	[Philippines] Bureau of Fisheries and Aquatic Resources
CBA	Cost-Benefit Analysis
CDT	Catch Documentation and Traceability
CI	Conservation International
COR	Contracting Officer's Representative
CT6	Six Coral Triangle countries
CTE	Critical Tracking Event
CTI-CFF	Coral Triangle Initiative on Coral Reefs Fisheries and Food Security
CTIP	Counter Trafficking in Persons
D-FISH	[Vietnam] Directorate of Fisheries
DLF	[Laos] Department of Livestock and Fisheries
DOF	Department of Fisheries
DOI	Department of the Interior
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 (Philippines)
FAME	Futuristic Aviation and Maritime Enterprises, Inc.
FAO	Food and Agriculture Organization of the United Nations
FishMon	Fisheries Monitoring [Centers]
FMA	Fisheries Management Area
GAF7	7 th Global Conference on Gender in Aquaculture and Fisheries
GAFS	Gender in Aquaculture and Fisheries Section
GDST	Global Dialogue on Seafood Traceability
GFTC	Global Food Traceability Center
ICTSA	Indonesia Coastal Tuna Sustainability Alliance
IGNITE	[USAID] Inclusive Growth in ASEAN through Innovation, Trade and E-Commerce
IPNLF	International Pole & Line Foundation
IUU	Illegal, Unreported and Unregulated
KDE	Key Data Element
LGU	Local Government Unit
M&E	Monitoring and Evaluation
MDPI	Masyarakat Dan Perikanan Indonesia
MMAF	[Indonesia] Ministry of Marine Affairs and Fisheries
MSC	Marine Stewardship Council
MSUNFSTDI	Mindanao State University Naawan Foundation for Science and Technology Development, Inc.
NCC	National Coordinating Committee
NFC	Near-Field Communication

NOAA	U.S. National Oceanic and Atmospheric Administration
RAFMS	Rapid Appraisal of Fisheries Management Systems
RDMA	[USAID] Regional Development Mission for Asia
RPOA	Regional Plan of Action
SAFET	Seafood and Fisheries Emerging Technologies
SALT	[USAID] Seafood Alliance for Legality and Traceability
SEA	[USAID] Sustainable Ecosystems Advanced
SEAFDEC	Southeast Asian Fisheries Development Center
SFFAII	SOCSKSARGEN Federation of Fishing and Allied Industries, Inc.
SFMP	Sustainable Fisheries Management Plan
SIP	Seafood Innovation Project
SNAPPER	[USAID] Supporting Nature and People-Partnership for Enduring Resources
SOM	Senior Officials Meeting
SSS	Sulu-Sulawesi Seascape
STELINA	Sistem Telusur dan Logistik Ikan Nasional (Indonesia)
TAG	Technical Advisory Group
TWG	Technical Working Group
UMT	University of Malaysia Terengganu
UNSRAT	Sam Ratulangi University
USAID	United States Agency for International Development
WINFISH	The National Network on Women in Fisheries (Philippines)
WLF	Women's Leader Forum (CTI-CFF)
WWF	World Wide Fund for Nature

EXECUTIVE SUMMARY

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 global consequences such as compromised food stocks, threatened national economies, challenged maritime security environments, and critical human rights concerns. In response to these challenges, the United States Agency for International Development's Oceans and Fisheries Partnership (USAID Oceans) was launched on May 14, 2015. Tetra Tech was awarded the program by the USAID Regional Development Mission for Asia (USAID/RDMA)—a five-year, USD \$19.95 million regional program.

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 2019 marked the completion of the program's fourth year—which will be its last full year of implementation, closing in May 2020. This Annual Progress Report provides an overview of the program and its accomplishments in the 2019 Fiscal Year, covering the period of October 1, 2018, through September 30, 2019. The structure of the report reflects the approach that the program has adopted for its strategic planning and implementation, geo-organized according to level of engagement and support (i.e., regional, learning site countries, and expansion countries).

Year Four: Key Achievements and Impacts

Establishing legal, regulated, and responsible fisheries requires intergovernmental and regional cooperation to address the complex challenges of Southeast Asia's often interconnected marine resources, diverse ecosystems, and multi-tiered supply chains. Effective solutions require close coordination, collaboration, and mutual support—and as such, USAID Oceans dedicated much of its first three years to building the strong foundation required for regional collaboration; conducting research and design required to implement its core interventions; and establishing itself as a regional resource for technical guidance relating to eCDT standards, technical architecture and systems interoperability, sustainable fisheries management, private sector engagement, and the human aspects of the fisheries ecosystem and economy. From these investments, during Year Four, USAID Oceans continued to work with its regional, national and local partners and focused on **sharing** its knowledge, experiences, resources and tools; **expanding** the reach of its work, working closely with expansion countries to apply learning site-developed best practices and resources; and **sustaining** the impacts of the program, working with longstanding and new partners to develop partnerships that will propel USAID Oceans' successes beyond the life of the program.

In Year Four, to prepare for the final year of the program and sustainability beyond 2020, USAID Oceans continued piloting and building partners' capacity to implement the program's **seven eCDT technologies in its Indonesia and Philippines learning sites**—which by year's end had met and exceeded the program's performance target, tracking over **3.4 metric tons of seafood** from its point of catch to the dinner plate, or approximately USD \$20 million of U.S.-imported product. These technologies promote global stability by providing fisheries managers with essential information that allows them to sustainably manage Southeast Asian food stocks and marine resources, and even enhance maritime security. Of the industry members who piloted USAID Oceans' seafood traceability technologies in Indonesia and the Philippines, 91% of users have adopted the technology, leading the way for broad-scale national and regional adaptation and expansion of these high-impact tools.



USAID Oceans partners share implementation experiences and eCDT technology solutions in Vietnam. USAID Oceans/M. Donnelly

The program also continued providing technical support to ASEAN and CTI-CFF expansion countries to further regional eCDT adoption, uptake, and replication through a series of technology roadshows, coupled with one-on-one technical guidance. The program worked with SEAFDEC to expand eCDT technology into Vietnam, proving technical and procurement support to the country's pilot of the Electronic ASEAN Catch Documentation Scheme (eACDS). It also began and completed the development of its *Regional eCDT Technical Guidance* document, requested by ASEAN member countries to establish standards and protocol for eCDT system design, development, and implementation. Final ASEAN and SEAFDEC review of the document will be completed in Year Five.

Other areas of the program made equally impactful strides in Year Four. The program not only progressed its learning site Ecosystem Approach to Fisheries Management (EAFM) Sustainable Fisheries Plans, handing them over to its Philippines and Indonesia counterparts by the end of the year to move forward to implementation, but also presented the program-supported *Sub-Regional EAFM Management Plan for the Sulu-Sulawesi Seascape* for adoption at CTI-CFF's Senior Officials Meeting. The plan was endorsed by the CTI-CFF EAFM Working Group and is now 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. With USAID Oceans' support to develop and implement sub-regional and national sustainable fisheries management plans, Southeast Asian nations improved their natural resource management by protecting marine habitat areas that are over 1.5 times the size of the United States.

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 and the inspiring women and men behind regional movements for more fair, equitable, and prosperous work places. Throughout the year, the program continued to engage partners in the region, awarded a dedicated gender equity-focused grant in the Philippines, and facilitated networking to strengthen regional capacity and ensure human aspects are central to development discourse and its implementation. The program also launched its *Gender Research in Fisheries and Aquaculture: Training Handbook*, which in less than a year has been downloaded nearly 1,000 times in over 80 countries. Much like the program's human welfare expertise, the guide has become a well-established and commonly-referenced global resource for conducting gender-sensitive research that enables equitable decision making, promotes women's empowerment, and advocates for improved governance and regulation within the fishing industry.

Many of USAID Oceans' Year Four 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.



USAID Oceans worked with its partners to begin production of a series of gender in fisheries videos, highlighting sectoral gender differentials and how to address them. Credit: USAID Oceans

By year end, over **\$3.4 million** had been leveraged through engaging with public and private sector partners that are keen to build on the program's electronic seafood traceability systems, fisheries management approaches, and gender equity efforts through ongoing partnerships and activities following program's close. These demonstrated commitments support continued program progress and scaling, fortify U.S. Government investment, and strengthen the overall sustainability of program impacts. Partnerships developed throughout the year to continue the program's work beyond 2020 are detailed throughout this report.

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

Figure 1. USAID Oceans' 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 four years, USAID Oceans 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 Four program activities and will continue to guide the program in its fifth and final 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 overfishing that, 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. Throughout the life of the project and continuing into the final year, USAID Oceans' goal is to strengthen regional cooperation for sustainable and legal management and trade of natural resources in the Asia-Pacific region. The purpose of the program 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, eCDT and improved fisheries management standards.

Since 2015, USAID Oceans has invested in information and systems in the region 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 program 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 Program's Guiding Principles, Theory of Change, and Results Framework detail USAID Oceans' guiding principles and proposed interventions (Annexes I and II).

Strategic Approaches. During Year four, USAID Oceans continued to operate 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 and unsustainable fishing in the Asia-Pacific region.



eCDT 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 systems and solutions 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 promote 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 beyond the life of the project. 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 resources to act, particularly as the program approaches its fifth and final year.

2. REGIONAL ACTIVITIES AND ACHIEVEMENTS



At the regional level, USAID Oceans' key accomplishments included:

- **Continued coordination with partners SEAFDEC and CTI-CFF** for cross-cutting program collaboration and impact;
- **Advanced regional eCDT capabilities** by finalizing CDT Gap Analyses in program expansion sites and conducting a series of technology roadshows across the region—including with Coral Triangle member countries—to share program experiences and resources;
- **Engaged local and national private sector partners** by supporting innovation and implementation through hackathons, regional forums, and new partnership opportunities;
- **Finalized and delivered the Sub-Regional EAFM Management Plan for the Sulu-Sulawesi Seascape**, the world's first-known sub-regional plan; and
- **Increased regional capacity for gender integration** in fisheries research, including through the launch of a gender training resource that has received worldwide attention.

2.1 Regional Coordination and Capacity Building

In Year Four, 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, building off of the previous years' activities and conducting special events leading up to the program's fifth and final year. In addition to its regular coordination with SEAFDEC and CTI-CFF, the program worked with its Technical Working

Group (TWG) representatives, U.S. Government agencies, complementary USAID initiatives, and non-governmental partners to strengthen regional capacity, raise awareness, and share learnings through its participation in key events and high-visibility conferences. The program's fourth year, characterized as a year for sharing learnings and scaling program impacts, held a series of "roadshows" to showcase program lessons, technology, and gather stakeholders' inputs to the program's final and paramount standards document, the *Regional eCDT Technical Guidance*.



SEAFDEC, continued to be integrated into and support all program activities, including continued facilitation of program collaboration 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.

USAID Oceans and SEAFDEC continued to work together to align activities and engage regional partners to achieve technical program objectives, coordinated through regular quarterly coordination meetings attended by USAID Oceans, SEAFDEC, USAID/RDMA, and the U.S. Department of the Interior (DOI). Throughout the year, USAID Oceans and SEAFDEC worked together to support their respective planned activities, serving as resource persons and technical advisors for workshops, meetings, and key organizational deliverables. USAID Oceans and SEAFDEC accomplished several key milestones together throughout the year, cross-cutting the program's technical areas, which are detailed throughout the report and included:

- A series of regional technology roadshows and workshops for eCDT technical guidance, which served as forums for each to share their traceability solutions, lessons learned, experiences, and supported regional member countries to implement and advance their eCDT systems;
- Continued expansion of the SEAFDEC-led eACDS traceability system, marked by the launch of a late 2019 pilot in Vietnam;
- Launch of the SEAFDEC organizational Gender Policy, which USAID Oceans provided technical guidance on since the program's launch; and
- Advancement of several SEAFDEC fisheries' management planning efforts, including for the Gulf of Thailand, supported by USAID Oceans' guidance on sub-regional planning approaches.

In addition to these milestones, the partners supported each other's respective workshops, trainings, and other events, and worked together to develop and launch new knowledge products and training resources, including USAID Oceans' capstone products, which SEAFDEC has adopted as part of their Training Department resources and institutional library. USAID Oceans also contributed technical inputs to SEAFDEC-led products, including the *Practical Guide for Gender Analysis in Small-Scale Fisheries and Aquaculture in Southeast Asia* and the *Essential EAFM Curriculum*.

Before the close of the year, the program and SEAFDEC worked together to organize their last regional workshop—the *Regional eCDT Technical Guidance Workshop*—to be held in Bangkok, Thailand in early December. Given the close working relationship of the partners and integration throughout all program activities, additional points of program collaboration with SEAFDEC are detailed throughout this report.



CTI-CFF and USAID Oceans worked together closely throughout the year to continue their strong working relationship, support of mutual mission objectives, and cross-cutting support to Coral Triangle member countries.

USAID Oceans and CTI-CFF worked together closely to align and execute joint activities in support of mutual objectives, Coral Triangle member countries, and the CTI-CFF institution which USAID Oceans acknowledges as

critical to the region's marine sustainability. The program participated in and provided support to several key, annual CTI-CFF meetings, including the 14th Senior Officials Meeting (SOM-14) from December 10-13, 2018 in Manila, Philippines; the *Workshop on the Second Version of the CTI-CFF Regional Plan for Action* in April 2019; the *Third Regional Priorities Workshop* in May 2019; yearlong, remote Women's Leader Forum's (WLF) monthly meetings; and CTI-CFF's weeklong *Workshop on eCDT System Design and Development Based on EAFM* in Dili, Timor-Leste in June 2019.

In coordination with CTI-CFF's June 2019 workshop in Timor-Leste, CTI-CFF and USAID Oceans also worked together to hold a culminating workshop for Coral Triangle member countries—a complementary *Workshop to Review Available eCDT Technology Solutions and Advance Regional Guidance for Fisheries Traceability* held in the days preceding and following the CTI-organized workshop. The workshop was attended by CTI-CFF National Coordinating Committee (NCC) representatives, local government and industry representatives from Timor-Leste, representatives from USAID/Time-Leste, and USAID Oceans' private sector partners. At the workshop, USAID Oceans and its partners led participants through capacity building eCDT gap analysis and design exercises, shared technology solutions and lessons learned, and discussed important EAFM and human welfare related underpinnings of eCDT systems. The workshop was extremely successful in developing eCDT roadmaps for the countries, garnering government interest in building out eCDT infrastructure, and showcasing program-supported technology. Given the close working relationship of the partners and integration throughout all program activities, additional points of program collaboration with CTI-CFF are detailed throughout this report.

2.2 Catch Documentation and Traceability

USAID Oceans focus in Year Four, particularly in regard to its eCDT work, was characterized by sharing, scaling, and sustaining. The program continued to build regional capacity for eCDT system development and implementation by sharing program-developed and support regionally relevant technology solutions and by continuing to develop technical and data standards in partnership with its membership.



Regional Sharing of Lessons Learned, Technical Guidance, and Practical eCDT Technology Solutions. USAID Oceans' fourth year was largely focused on sharing lessons learned and knowledge from the program's learning sites with its regional partners for further eCDT expansion and growth, including through a series of roadshow events, that enabled program partners to directly share their experiences with the region.

To kick-off its year of sharing regional experiences, USAID Oceans participated in one of the year's largest convenings for government, private sector, and development leaders around marine conservation and sustainability—the October [Our Ocean Conference in Bali, Indonesia](#). At the conference, USAID Oceans' Regional CDT Specialist was featured on a CTI-CFF-hosted panel discussion, “Strategic Direction for the Coral Triangle: Update and Way Forward for Regional Plan of Actions,” to share the program's lessons learned and experiences in supporting regional eCDT advancement. The program continued to participate in high-level, regional conferences—such as the February Seafood and Fisheries Emerging Technologies (SAFET) Conference—to share its lessons and showcase eCDT technologies throughout the year, inviting their partners to speak on their experiences in design, development, and implementation as much as possible (further detailed in Section 2.6).



"Countries have immense value to share with each other. Currently, ASEAN countries are working with USAID Oceans to advance their digital traceability systems, while learning from each other about unique solutions at each stage of the supply chain." - Farid Maruf, USAID Oceans

To complement these engagements and provide hands-on technical guidance and support to ASEAN and Coral Triangle member countries, the program worked closely with Expansion Countries to conduct and complete CDT Gap Analyses to assess their current catch documentation practices, identify strengths and weaknesses, and provide recommendations and guidance to leverage existing strengths toward implementing an electronic traceability system. In Year Four, Analyses were successfully completed and turned over to the governments of Malaysia, Thailand, and Vietnam to advance their journeys towards eCDT implementation. (detailed in Section 5). To support additional Expansion Countries, the program held hands-on workshops to guide partners on how to conduct internal analyses and begin developing recommendations and roadmaps. Workshops were held with the Coral Triangle member countries in Dili,

[Timor-Leste in June](#), and the program will hold additional workshops with remaining partners in Year Five.

To support the CDT Gap Analysis process and launch recommendations into operational realities, the program also held a series of eCDT technology roadshows, where program partners presented program-developed and supported technologies to Expansion Country partners. Workshops were held in Thailand, Vietnam, Timor-Leste, and at several regional and national events that convened members of the public and private sector—and from these workshops, USAID Oceans facilitated follow-on discussions between interested government partners and technology partners to pursue pilot implementation. In the case of Thailand, USAID Oceans developed a partnership with Thailand-based company, Trinity Roots, to facilitate Thailand's piloting of program-supported technology (detailed in Section 5).

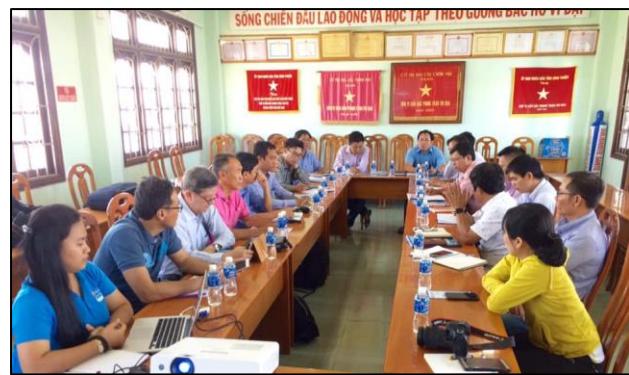


Support for Regional Technical Specifications and Standards.

Continuing its role to provide regional thought leadership and advance eCDT uptake across the region, USAID Oceans worked with regional member countries to expand the use of eCDT technologies, including the SEAFDEC-led eACDS, and develop regional technical guidance to support implementation.

In Year Four, USAID Oceans drafted the *Technical Guidance on the Design and Implementation of eCDT Systems in Southeast Asia*—which will be the program's final standards knowledge piece, requested by ASEAN member countries through USAID Oceans' 3rd Regional Technical Working Group Workshop. The program worked to develop the draft guidance document early in Year Four, with a series of consultative workshops held with individual member countries over the coming months—including Thailand, Indonesia, the Philippines, Vietnam, as well as the Coral Triangle Member Countries. Over the course of the year, the program integrated received feedback into the document and prepared to share the revised working document with member countries at the close of the year—ahead of a final Year Five workshop to finalize the regional eCDT technical guidance document with ASEAN member countries and other regional partners. The workshop is planned to be held in Bangkok on December 2-4, 2019 and will invite key representatives from the USAID Oceans TWG to provide final inputs to the guidance along before it is put forward to SEAFDEC for regional recommendation.

USAID Oceans also continued to support SEAFDEC to enhance and expand use of the eACDS. Early in the year, the partners held several working sessions to finalize activity plans and budgets for USAID Oceans' support for stakeholder capacity building, technological infrastructure, and incorporating USAID Oceans' traceability tools. By the year's end, USAID Oceans and SEAFDEC had fully initiated work to expand use of the eACDS to Vietnam with the hiring of a short-term consultant to serve as an in-country coordinator and liaison between the USAID Oceans, SEAFDEC, and D-FISH teams, as well as participate in and provide support to in-field scoping visits to the selected pilot site of Binh Thanh province. To ensure the success of the pilot, USAID Oceans, also supported the procurement of hardware, software, and other identified equipment. Further details on Vietnam activities are included in Section 5.



SEAFDEC representatives meet with stakeholders in Vietnam to advance plans for an upcoming eCDT pilot. Photo: USAID Oceans/H. Tran

2.3 Public-Private Partnerships

USAID Oceans' PPP workstream continued to cross-cut program initiatives in Year Four to support the success of ongoing activities, further leverage them for optimum impact, and ensure sustainable partnerships are in place to continue regional progress beyond the program's close.



Ongoing partner engagement in support of program initiatives. In its fourth year, USAID Oceans continued to nurture its relationships with international and regional partners to support program objectives. USAID Oceans participated in several regional and international events and workshops to engage with potential and existing partners, including fellow development partners working in fisheries sustainability and traceability.

The program continued its partnership with GDST, which was launched with an original focus on establishing and building support for common traceability standards. Since the partnerships launch, its has evolved to also foster standards-supporting technology innovations and expand the marketplace of available eCDT solutions for regional public and private sector partners. In February, the program was a core partner in GDST's Seafood Traceability "Trackathon," held in Bangkok to convene international participants to develop cutting-edge digital solutions for eCDT and build developers' capacity on traceability and interoperability concepts. The hackathon-style event challenged participants, which included USAID Oceans-sponsored participants from Philippines Bureau of Fisheries and Aquatic Resources (BFAR), Masyarakat Dan Perikanan Indonesia (MDPI), and IdeaSpace, to apply the lessons learned through group software coding. A representative from IdeaSpace took home first prize for developing image recognition technology that could be combined with other eCDT technologies, such as the program-supported Futuristic Aviation and Maritime Enterprise (FAME) catch reporting technology, USAID Oceans' Trafiz mobile application, and the BFAR eCDT system (eCDTS).

The Trackathon was one of the year's first events to bring USAID Oceans' technology partners together to forge collaborations, discuss opportunities to integrate their knowledge and technological innovations, and create a network of technology providers to be tapped by regional public and private sector partners beyond the life of the program. USAID Oceans initiated planning within the year to co-sponsor a second Trackathon with GDST, to be held in Bali, Indonesia in October 2019.

Also in support of innovation and expanded technology marketplaces, USAID Oceans partnered with global innovation-focused SecondMuse to support the organization's Seafood Innovation Project (SIP) and provide eCDT

mentorship to SecondMuse's accelerator program activities. The SIP aims to create an entrepreneurial ecosystem and accelerate innovative solutions for the fisheries and aquaculture sector in Indonesia. USAID Oceans will leverage a total of \$400,000 in FY19 and FY20 from SecondMuse through technical support to the SIP 1.0 and will also work with the organization in Year Five to develop and launch an Indonesia-based gender equity campaign which will profile and highlight gender champions and leaders for equitable fisheries.

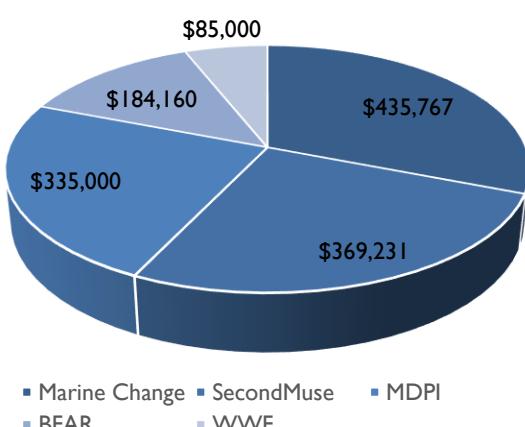
To support the program in documenting impacts and key lessons learned from its interventions, USAID Oceans also launched a partnership with Marine Change to conduct several research activities in the program's learning sites. Studies will explore how USAID Oceans-supported traceability technology is helping partners meet U.S. Seafood Import Monitoring Program requirements, how data both from business and government is being verified for increased compliance throughout the supply chain, data sharing/exchange and associated privacy and security issues, and the value of eCDT technology by measuring the monetary and non-monetary costs and benefits of eCDT technology use. Research findings will be released in Year Five.

In addition to these partnerships and activities, the PPP team worked across program workstreams to support technical interventions and bolster their success. Additional details are contained throughout the report, including in Section 2.6, to detail the PPP team's organization and participation in key events to provide thought leadership, forge partnerships, and build regional capacity.



Leveraged over \$3.4 million from public and private sector partners in support of program objectives. In its fourth year, USAID Oceans continued to garner additional funding commitments from its partners, furthering the reach and impact of US Government investments.

Figure 2. Funds Leveraged through Partnerships in FY2019



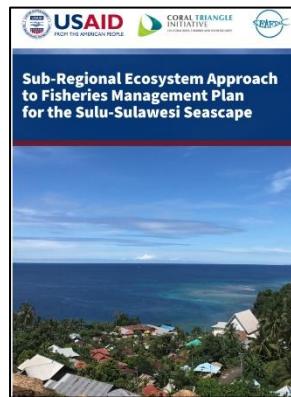
USAID Oceans made significant progress against its life of program investment target, leveraging over US \$3.4 million of funding from public and private sector partners by the year's close. The program also continued to monitor and build its pipeline of leveraged funds for Year Five. The year's major contributions came from Marine Change, SecondMuse, MDPI, BFAR, and World Wide Fund for Nature (WWF), with full contributions detailed in Annex IV.

2.4 Ecosystem Approach to Fisheries Management

USAID Oceans also provided technical support for various CTI meetings and workshops to advance the EAFM plan, including the CTI-CFF's Regional Plan of Action (RPOA) 2.0 and Regional Priorities workshops in April 2019, the 8th CTI-CFF EAFM Working Group Meeting, and the 6th CTI-CFF Seascape Working Group Meeting in September 2019. CTI-CFF EAFM and Seascape TWG members showed great interest in implementing the *Sub-Regional SSS EAFM Plan*.

Furthermore, on July 11, USAID Oceans finalized three finalized SFMPs for Indonesia and the Philippines. The finalized SFMPs incorporate USAID/RDMA feedback, as well as comments from USAID/Indonesia. After

USAID/RDMA formal acceptance and approval, USAID Oceans submitted the three finalize SFMPs to MMAF and BFAR in Q4.



The SSS Sub-regional EAFM Plan, presented for adoption by the Coral Triangle member countries.

Finalization and Working Group Endorsement of the Sub-Regional EAFM Management Plan for the Sulu-Sulawesi Seascape (SSS). One of the program's paramount accomplishments of Year Four was USAID Oceans' significant progress in the adoption of the *Sub-Regional SSS EAFM Plan* 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.

In Q1 the program finalized the *Sub-Regional SSS EAFM Plan* and presented it for adoption at the December 2018 CTI-CFF Pre-SOM and SOM-14 meetings in Manila, Philippines. The beginnings of the plan were conceived prior to USAID Oceans' launch, and revitalized by the project, starting in 2017, to move a sub-regional approach forward to implementation with established goals, objectives, and actions to enable the sub-region to achieve a common fisheries management vision by 2030. At the December meetings, the plan received support from all Coral Triangle member countries and the CTI-CFF EAFM Working Group. The Philippine and Malaysian NCCs endorsed the plan for adoption, with requests received from the Indonesia NCC for additional time for review and comment. Following, USAID Oceans received additional inputs from Indonesia's Ministry of Marine Affairs and Fisheries (MMAF), which were integrated into the plan and delivered to the CTI-CFF for continued socialization and endorsement by member countries. The revised plan will be re-submitted for approval and recommendation at the SEAFDEC's 15th Senior Officials' Meeting in November 2019. While the plan awaits final adoption and implementation, it has already markedly influenced the approach of regional fisheries management planning. As the plan acknowledges the power that can be harnessed between regional management actions and those of national and local efforts, both SEAFDEC and CTI-CFF have strongly noted the value of the plan's nested approach and are using it as an example for areas such as the Gulf of Thailand, Andaman Sea, and Bismarck Solomon Seas.



Award of EAFM Grants. USAID Oceans bolstered the program's long-term impacts and sustainability through the award of two grants in Year Four that will focus on leveraging eCDT data for enhanced, data-driven fisheries management. Grantees, each in the program's learning sites, will develop data tools and methodologies—such as visual data dashboards—that will inform regional partners' fisheries management approaches.

Throughout the year, USAID Oceans worked to issue calls for applications, review submissions, and complete pre-award operational processes. In Q4, the program awarded grants to selected grantees in Indonesia and the Philippines—MDPI and the Mindanao State University Naawan Foundation for Science and Technology Development, Inc. (MSUNFSTDI). One of the main objectives of the grants is to design Innovative Digital Solutions that will collect, analyze, and visualize eCDT data for improved fisheries management. Beginning in Year Four, and continuing into the program's fifth year, USAID Oceans will work with its grantees and local partners to develop the innovative tools, including fisheries management dashboards, that allow users to visualize critical eCDT data and make data-driven, real-time fisheries management decisions. In Year Five, grant outputs will be shared with regional counterparts for learning and implementation.



Regional Capacity Building for EAFM. USAID Oceans dedicated significant time to regional capacity building through participation and leadership in regional planning workshops and events, as well as the development of *Assessing Fisheries in a New Era: Extended Guidance for Rapid Appraisal of Fisheries Management Systems (RAFMS)*. The guide which establishes new guidance for fisheries management research that acknowledges technological components and human aspects of the fisheries ecosystem for holistic fisheries management planning.

USAID Oceans' new fisheries management guide provides step-by-step guidance for holistic fisheries management research—reaching beyond Southeast Asia to readers in over 35 countries.

and provides new and extended guidance on appraising fisheries management systems, updated from that provided in the 1996 RAFMS Handbook that is still considered a major EAFM touchstone. The guide presents updated concepts and methodologies for fisheries management research that acknowledge technology advancements and the human and gender-related aspects of fisheries. Since its launch, the guide has been downloaded in more than 35 countries around the globe.

The program also supported regional partners and initiatives in their fisheries management efforts to share its programmatic lessons learned and guidance from its experience in sub-regional planning. This included, but was not limited to participation in FAO's regional GoTFish: *Promoting the Blue Economy of the Gulf of Thailand through the EAFM Management Workshop*, held in Bangkok in March; NOAA and SEAFDEC's *Revising the Essential EAFM Curriculum Workshop and the Discussion on the Development of Applied EAFM Materials Workshop*, held in Bangkok in June; and sustained technical guidance to SEAFDEC's *Essential EAFM Guidance* and *Applied EAFM Guidance* development process, which will be used by the organization as practical guidelines for EAFM implementation in the ASEAN member states.

2.5 Human Welfare and Gender Equity

USAID Oceans worked closely with its regional partners in Year Four, including its new gender equity-focused grantee, to build capacity, strengthen the enabling environment, and raise awareness of the human aspects of fisheries, particularly gender equity.



Attendees to the Women Leader's Forum meeting in Dili, Timor-Leste.
Photo: USAID Oceans/M. Donnelly

Raised awareness of human and gender-related aspects of fisheries and support for institutional gender strategies.

One of USAID Oceans' legacy achievements will be its contributions to increased regional awareness and attention to the human aspects of fisheries. In Year Four, the program continued its work toward this legacy, speaking

at key regional events and contributing technical guidance to a new USAID Learning Initiative. The program also celebrated the launch of its partner, SEAFDEC's, organizational gender strategy, which it provided technical guidance to over the last years.

USAID Oceans continued to convene and participate in high-level regional and national events to continue raising awareness of the human-aspects of fisheries, particularly those related to gender equity. These included the 12th Asian Fisheries and Aquaculture Forum in April, the Asian Seafood Improvement Collaborative Social Standards

and Gender Workshop in June, the Seaweb Seafood Summit in June, and SEAFDEC's *Regional Experts Consultation Workshop on the Finalization of the Practical Guide for Gender Analysis in Small-scale Fisheries and Aquaculture in Southeast Asia* in July. USAID Oceans both hosted dedicated events and integrated human welfare aspects into all program workshops and events to enable partners to discuss their experiences and challenges in integrating gender into fisheries development, promote gender-responsive value chain and research, and identify relevant gender-sensitive issues and approaches. These events are detailed throughout the report in national, local, and extension country updates.

In addition to these events, USAID Oceans contributed to USAID's efforts to build capacity in and address gender equity as an agency. In February, USAID Oceans hosted USAID/RDMA's Regional Environment Office Partners Meeting, with the theme, *Integrating Gender in Environmental and Natural Resource Management*, to present and build capacity amongst other implementing partners on how gender responsive research can be used to identify gender differentials and opportunities for intervention. During the year, USAID Oceans' Gender Specialist was also invited to serve on the International Advisory Committee for the USAID Gender Office and the Office of Forestry and Biodiversity's Learning Initiative on Women's Empowerment, Access to Finance, and Sustainable Fisheries. Participation in regular teleconferences and webinars enabled USAID Oceans to share its gender strategies, tools, and resources, and to connect with existing and potential partners from across the world, including USAID Washington, USAID INVEST, MDPI, the World Wide Fund for Nature (WWF), and Women in Maritime Asia.



USAID Oceans launched its Gender Research Handbook at the October 2018 GAF7 Conference.

expansion countries in human welfare and gender equity activities, with dedicated capacity building and planning workshops conducted in throughout the year—beginning with the Mekong countries early in the year, followed by Coral Triangle countries by the year's end. Throughout the year, USAID Oceans participated in regional meetings and capacity building workshops and engaged with NGO and development partners to continue sharing information on the human welfare and gender aspects of the fisheries sector.

Paramount to the year's human welfare-focused activities was the program's launch of if human welfare and gender equity-focused program capstone, the *Gender Research in Fisheries and Aquaculture: Training Handbook*, which was developed in collaboration with the Gender in Aquaculture and Fisheries Section (GAFS) of the Asian Fisheries Society. The guide was launched at the October 2018 7th Global Conference on Gender in Aquaculture and Fisheries (GAF7) conference in Bangkok, Thailand, and has received tremendous global attention and reach following its release. At the close of the year, the guide had been downloaded more than 1,000 times in over 80 countries. The guide has been released in English, Thai, Bahasa Indonesia, with Vietnamese translations underway. It continues to be disseminated through external partners such as USAID, Tetra Tech, and GAFS.

Regional Networking and Capacity Building. The program nurtured its relationships with fellow development partners and its regional partners, including SEAFDEC and the CTI-CFF, to support organizational capacity building and conduct regional activities in pursuit of program objectives.

Interest in the Partnership's work in the human welfare and gender aspects of fisheries has become one of the biggest points of engagement for the program, with USAID Oceans a cemented a leader in this area with significant technical expertise to benefit other developing and ongoing initiatives. During Year Four, the program engaged all learning site and



USAID Oceans' Gender Training Handbook, published in Thai.

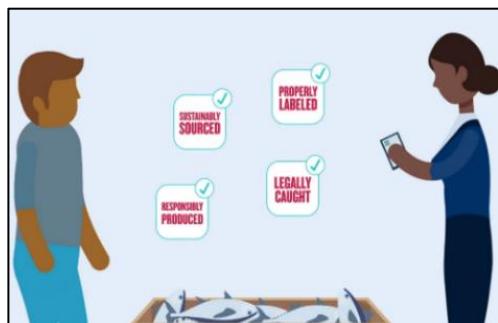
USAID Oceans promoted the handbook and its other gender initiatives with a special issue of its eNewsletter, *Making Waves*, that was released during GAF7.

At the GAF7 conference, and others throughout the year, including the 12th Asian Fisheries and Aquaculture Forum, USAID Oceans' partners and grantees continued to present program-supported research to enhance regional capacity and knowledge of gender differentials. USAID Oceans also supported its partners to participate in learning exchanges, including an April-held exchange in Bangkok wherein representatives from its gender grantee, the National Network on Women in Fisheries in the Philippines (WINFISH), SEAFDEC partners, and research partner Sam Ratulangi University (UNSRAT) shared knowledge, presented an educational "Lunch and Learn" session at the program office, and kicked off additional collaborative activities.

Lastly, in support of regional capacity building and continued progress, the program continued to support SEAFDEC and CTI-CFF gender equity initiatives. A major accomplishment during the year was the finalization and approval of SEAFDEC's organizational Gender Strategy, which was developed with USAID Oceans' support and approved at March's 51st SEAFDEC Council Meeting in Surabaya, Indonesia.

2.6 Communications and Outreach

USAID Oceans continued to engage program stakeholders through print, online, and outreach communications to keep them apprised of program progress and achievements and raise awareness of the program. The year saw the launch of several new communications products, outreach at key events, and the completion of program technical and research reports.



A snapshot from USAID Oceans' "From Bait to Plate" program video.

Program news and knowledge products disseminated to communicate activity progress and resources.

USAID Oceans' Year Four focused on sharing program progress, lessons learned, and resources—including through the launch of a program video on eCDT basics and the launch of several capstone knowledge products.

USAID Oceans continued to engage program stakeholders through print and online communications to keep them apprised of program progress and achievements and raise awareness of the program. The year saw the launch of several new communications products, outreach at key events, and the completion of program technical and research reports.

During the year, USAID Oceans launched three program capstone knowledge products: [Gender Research in Fisheries and Aquaculture: Training Handbook](#) to build the capacity of practitioners, experts, and students working in fisheries and aquaculture in gender theory and practice; [Assessing Fisheries in a New Era: Extended Guidance for Rapid Appraisals of Fisheries Management Systems](#), which presents updated concepts and methodologies for fisheries management research that acknowledge new technology advancements and the human and gender-related aspects of fisheries; and a [eCDT Technology Booklet](#), which provides an overview of the traceability technologies developed and implemented at the learning sites as well as national and regional traceability initiatives that the program is supporting. It also began to develop and by the close of the year prepared to launch its PPP-focused capstone, *Transformational Fisheries Development: Simplified Steps for Public Sector and Industry Engagement*. These resources are available in print and online and were distributed at high-level events, workshops and trainings, and key regional meetings. The program launched regional translations of these documents and other key program materials to ensure they can be used across the region for continued capacity building.

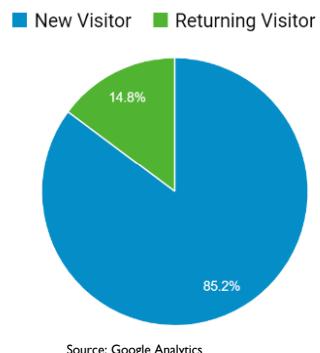
In addition to the capstone products, USAID Oceans published several technical program reports, some of which included *Sustainable Fisheries Management Plans* for both learning sites; the *Sub-Regional Scaling of an Ecosystem Approach to Fisheries Management* report; *CDT Gap Analysis and Partnership Appraisal* reports for its Thailand, Malaysia, and Vietnam Expansion Sites; and *Labor Conditions in the Tuna Sector* and *Gender Analysis of the Fisheries Sector* reports in Philippines and Indonesia. In addition to its technical reports, the program launched resources for partners to understand the impacts of eCDT systems and technology tools, including the [*Trafiz Product Guide*](#), a user manual for the program's supplier eCDT mobile application, and several [*eCDT “impact studies”*](#) to share impacts and lessons learned from its partners' implementation experiences.

As part of the program's multi-media communications strategy, the program launched its first program video, [From Bait to Plate](#), which provides an overview of USAID Oceans' work, how its traceability technology works, and the related benefits throughout the supply chain—from local fishers to international consumers. The video is available through USAID/RDMA's YouTube channel in English, Bahasa Indonesian, and Tagalog; and has received attention throughout the region—and beyond—where it is being used by USAID Missions, government agencies, and NGOs as a “primer” on eCDT. The program also launched production of two upcoming videos on the gender aspects of fisheries, to be launched in Q1 of Year Five and used as a resource for regional capacity building as companion pieces for the *Gender Research in Fisheries and Aquaculture: Training Handbook*.

USAID Oceans disseminated its communications materials through and continued to manage its online platforms to keep stakeholders apprised of program progress and achievements, including its website and TWG Facebook Group. USAID Oceans' website received nearly 8,500 users during the year, and was updated regularly with program news, resources, and events and continued to engage stakeholders. A large majority of visitors were new visitors (85.2%), a healthy indicator that the program continues to engage new audiences and expand its base (Figure 3). The website was most accessed from the U.S. (25.2%), the Philippines (19.8%), Indonesia (10.8%) and Thailand (7.3%), a strong indicator that program communications are effectively engaging its audience segments as intended. Consistent to previous years, visitors navigated to the site through a combination of organic search (50.5%), direct entry (32.5%), referral (9.8%), and social media (7.1%)—reinforcing that the portal is well-optimized for search as target audiences are being directed to the site through searches for key terms and resources. The program also distributed regular editions of its *Making Waves* eNewsletter.

USAID Oceans continued to work with USAID/RDMA's communications team and its Contracting Officer's Representative (COR) to provide up-to-date program information to USAID's network through social media updates and submissions to the Regional Environment Office's monthly eNewsletter.

Figure 3. 2019 Web Analytics





USAID Oceans' work featured in online publication, the Equal Times. Source: The Equal Times

External communications through program partners and media to share USAID Oceans progress and approach. In the interest of growing program visibility and to share program learnings, USAID Oceans developed and facilitated numerous external publications that received attention from members of media.

In addition to its own print and online communications, USAID Oceans worked with partners to publish online and media content about the program and its impacts—a key part of the program's Year Four communications strategy. In March, Global Initiatives published two articles on their well-trafficked website entitled [Designing gender-responsive technology for more equitable supply chains](#) and [Five ways seafood traceability is benefitting businesses](#). Also in March, USAID published a story written by the program on its Medium platform—an accomplishment for the program and indication of global interest in the program's work. The story, [The Other Half Meet the Women Connecting Southeast Asia's Seafood Supply Chain](#), published on World Water Day, March 22nd, highlighted the roles of women in the seafood chain. Furthermore, an article was published in the Equal Times that featured

USAID Oceans' work and its First Mover partners. The article, [Local Fishermen: Caught between the Pros and Cons of Traceability](#), discusses the challenges that small-scale fishers face in meeting emerging traceability requirements and how USAID is supporting fishers in the Philippines to adopt traceability technologies. During the year, the program also published through INFOFISH and SEAFDEC's *Fish for the People* magazine and submitted a case study on gender-responsive technology to an FAO technical report. Lastly, in August 2019, Marine Policy published USAID Oceans' journal article, [The Role of Scale within an Ecosystem Approach to Fisheries Management: Policy and Practice in Southeast Asian Seas](#). This technical paper is based on USAID Oceans' development of the Sub-Regional SSS EAFM Plan.



USAID Oceans attended key events, drawing international audiences, including the Our Ocean Conference in Bali, Indonesia. Photo: USAID Oceans/M. Donnelly

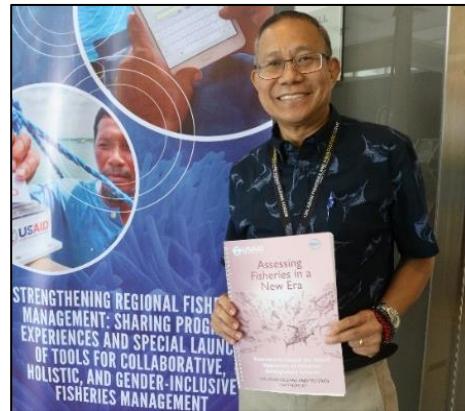
Participation in key regional events. USAID Oceans participated in high-visibility conferences and events to build capacity, continue to raise awareness of program impacts, and share experiential knowledge from its work across the region.

Throughout the year, USAID Oceans participated in strategic, high-visibility conferences and events to build capacity and continue to raise awareness in program knowledge and value. Highlights include:

- **GAF7 Conference** (October) in Bangkok, where USAID Oceans and representatives of the USAID Forest and Biodiversity Office launched the program's first capstone product, *Gender Research in Fisheries and Aquaculture: Training Handbook*.
- **GDST Seafood Trackathon** and WWF's **SAFET Conference** (February 2019), held in Bangkok, to enhance fisheries stakeholders' awareness and capacity regarding eCDT technologies, and develop new, innovative solutions in the case of the Trackathon. USAID Oceans, together with its public and private sector partners, showcased its piloted eCDT technologies through presentations, workshops, and an exhibition space at the conference.

- **6th Responsible Business Forum on Food and Agriculture** (March), in Bangkok, where USAID Oceans moderated a working group discussion on fisheries to produce a set of actionable solutions and recommendations to take forward to the forum.
- **12th Asian Fisheries and Aquaculture Forum** (April) held in Iloilo, Philippines, where USAID Oceans led a feature technical session to present its regional fisheries management and gender strategy integration work and launch its second program capstone product.
- **4th ASEAN Single Window Symposium and the Workshop on Exchanging Seafood Traceability Data through the ASEAN Single Window** (June) held in Bangkok. USAID Oceans collaborated with the ASEAN-USAID Inclusive Growth in ASEAN through Innovation, Trade, and E-Commerce (IGNITE) project to host a panel discussion on the merits and opportunities for eCDT data to support ASEAN trade.

These events enabled USAID Oceans to share program progress with key target audiences, garner support for program interventions, and expand its role as a thought leader in the field. USAID Oceans also continued to engage stakeholders through its “Lunch and Learn” series—an informal series of presentations by visiting experts in the fields of fisheries management, technology, conservation, and other related fields—attended by USAID/RDMA representatives, USAID program implementers, and others working in the field. Sessions included presentations on gender equity from USAID Oceans grantees and research partners, cutting-edge fisheries technology from iRespond, marine plastic pollution from Tetra Tech, and the intersection of environmental challenges with maritime security from the U.S. Indo-Pacific Command’s Environmental Security Program Manager.



USAID Oceans launched its newest capstone resource at the 12th Asian Fisheries and Aquaculture Forum in the Philippines. Photo: USAID Oceans/M. Donnelly

3. THE PHILIPPINES: NATIONAL AND LOCAL ACTIVITIES AND ACHIEVEMENTS



In the Philippines, USAID Oceans' key accomplishments included:

- Support to the BFAR to **implement their eCDT system** in General Santos City, which tracked over **20 metric tons of seafood** by year's end, and work to establish two cutting-edge Fisheries Operation Centers to monitor fishery activities;
- Continued partnership with FAME to install and **upgrade small-scale vessel traceability technology**, with enhanced capabilities to improve connectivity and advance at-sea safety;
- Finalization of the learning site's **Sustainable Fisheries Management Plans**, and a grant awarded specifically to create **easy-to-use analytical tools for data-driven fisheries management**; and
- Reinforced commitment to gender equity through a series of capacity building activities and a grant awarded to WINFISH for **gender equity interventions**.

3.1 Coordination and Capacity Building

USAID Oceans continued to work closely with the Philippine national government, including BFAR and complementary government agencies, to coordinate and socialize program activities. The program also worked with its national and local partners to build capacity, strengthen skills and knowledge, as well support the development of policies and regulations that are critical to the implementation and sustainability of program interventions.



Cross-cutting coordination and capacity building in support of program objectives and implementation. Coordination and capacity building workshops ensured seamless implementation and continued to strengthen national capacity for sustainable impact beyond the program's life.

To keep its partners apprised of program progress and plans, USAID Oceans held quarterly meetings with its Philippines National TWG, coordinated with relevant Local Government Units (LGUs), and met regularly with its constituency of partners to discuss their experiences in eCDT system testing. Throughout the year, the program also met with fellow development and site partners to discuss ongoing initiatives and opportunities for collaboration to sustain program impacts beyond 2020, including USAID/Philippines, USAID Protect Wildlife, USAID FishRight, WWF Philippines, BFAR, the Alliance of Tuna Handliners, and the SOCCSKSARGEN Federation of Fishing and Allied Industries (SFFAI).

USAID Oceans facilitated discussions and participated in and supported key events to advance the development of national policy and regulations, particularly to support eCDT technology, gender equity, and the implementation of enhanced fisheries management planning. In October, for example, USAID Oceans, in collaboration with BFAR, WWF Philippines, and Rare Philippines, conducted a consultation meeting and workshop in General Santos City to support the crafting of a Joint Administrative Order between the Department of Agriculture, BFAR, DOI, and LGUs for the implementation of the eCDT system in municipal fisheries. The Joint Administrative Order continued

to advance throughout the year, with the support of USAID Oceans, and was adopted by the close of Year Four—a landmark event for small-scale fishery traceability. This milestone is a key example of how USAID Oceans' work has progressed the Philippines' agenda for traceability over the last four years.

To further support continued progress in and sustainability of program initiatives, USAID Oceans held numerous capacity building activities for national and regional partners across each of its workstreams, including specific focused workshops to advance eCDT uptake and gender equity objectives. These included a financial management training for women in the Alliance of Tuna Handliners (ATH) and wives of men working in commercial fisheries, as well as a workshop on *Empowering Fisheries Officers for a Gender-Responsive and Sustainable Fisheries Management*, organized jointly with BFAR and the Philippines-based USAID FishRight program. The trainings supported development and implementation of BFAR's Gender and Development action plans and convened high-level representatives across BFAR's regional offices who can apply and share training concepts beyond the General Santos City learning site.

To cap off the program's cross-cutting work in at the local and national levels, USAID Oceans participated September's 21st National Tuna Congress in General Santos City for its final time. During the event, USAID Oceans' First Movers and technology partners, including representatives from FAME, Altermyth, Nutrindo, and BFAR presented their experiences developing and implementing USAID Oceans-supported eCDT technologies. USAID Oceans also led a panel on the progress and future of USAID Oceans and program initiatives. The panel featured presentations by program partners that will carry on pieces of the program's work in the Philippines, including WWF, WINFISH, and MSUNFSTDI. During the Congress, two resolutions were adopted in relation to and as a result of the initiatives under USAID Oceans: a resolution urging LGUs to pass an ordinance establishing an eCDT system for fishery resource management, and a resolution supporting the promotion of gender equality and women's empowerment in the tuna fisheries sector in General Santos City and Sarangani Bay area in the Philippines.

Finally, to promote sustainability of USAID Oceans' initiatives beyond the life of the program, USAID Oceans worked closely with its longstanding national and learning site partners, as well as fellow USAID programs and NGOs to develop partnerships that will carry on the program's work. By the close of Year Five, USAID Oceans had developed agreements for continued work with WWF, Conservation International (CI), and extended additional work to FAME and SFFAll to continue strengthening the eCDT environment.

3.2 Catch Documentation and Traceability

USAID Oceans continued to support testing and piloting of the BFAR eCDTS, working with BFAR to optimize the system's functionalities in the learning site, as well as support the Philippines to revise current national regulations to be inclusive of and responsive to eCDT technology. To continue to advance and ensure the Philippines' eCDT scheme is inclusive of small-scale fisheries, USAID Oceans continued to work with small-scale eCDT technology developer, FAME, to advance usability and perfect the technology's traceability functionalities.



USAID Oceans continued to work with BFAR to optimize the eCDT system being piloted in General Santos City by First Movers. Photo: USAID Oceans

Support to BFAR's national eCDT system (BFAR eCDTS). USAID Oceans and BFAR continued to pilot the eCDTS, continually optimizing and adding key functionalities to the system to prepare it for full-scale launch and expansion beyond the learning site. By the year's close, over 20 metric tons of seafood had been tracked through the BFAR eCDTS.

To continue to pilot and improve the BFAR eCDTS, which was launched with the program in 2017, USAID Oceans worked closely with its BFAR counterparts to conduct focus group

discussion with tuna industry stakeholders and BFAR staff throughout the year to identify opportunities for eCDTS optimization to better meet the requirements of relevant stakeholders. Following, system modifications were completed, and the updated system was presented at the *Philippine Council for Agriculture and Fisheries' Meeting* held in Manila and at the *Luzon Regional Consultation for the Revision of the BFAR Administrative Circular No. 251 (BAC 251)*—the Philippines' guiding traceability regulation. New system capabilities were met with interest from representatives from the BFAR Region 12 Office, SFFAI, and learning site First Movers, and in August, USAID Oceans and SFFAI began supporting BFAR to pilot the newly-modified eCDTS with learning site First Movers. In addition to focus group discussions and frequent check-ins with program partners, the program also conducted a Cost-Benefit Analysis (CBA) in the learning site, with the support of USAID. To evaluate the costs and benefits of implemented eCDT technologies in the Philippines, in January, USAID commissioned a CBA to estimate the impacts and economic value of eCDT technology to the Philippine economy. Summary results of the analysis indicated significant value—particularly in terms of return on investment—validating underlying assumptions in the program's Theory of Change and providing helpful data for program partners that remain interested in the return on investment of traceability technology.

To further build out the enabling environment and infrastructure needed for a sustainable, effective eCDT system, USAID Oceans provided support to BFAR to upgrade and established cutting-edge Fisheries Operations Centers, one each in General Santos City and Manila. The centers will enable the Philippines one-stop control centers where all eCDT data, technology, and other port systems are located for enhanced, real-time monitoring. To support the centers, the program procured the required hardware, software, and other relevant equipment. In addition to the two main Fisheries Operations Centers, the program also procured and provided equipment to its LGU partners so that they may also each monitor fisheries activities, particularly to make use of small-scale traceability technology. Before the year's close, the program completed handover of all hardware and equipment, holding ceremonies with each of the LGUs to do so; wherein LGUs pledged to continue their support and engagement in USAID Oceans and acknowledged the benefits of USAID Oceans' hardware for validating catch, monitoring fishing activities, and collecting eCDT data to improve fisheries management. USAID Oceans is planning a formal launch and unveiling of the General Santos City and Manila Operations Centers in Q2 of Year Five.

Acknowledging the importance of supportive policy and regulations to system implementation and effectiveness, as noted in Section 3.1, USAID Oceans also supported the Philippines to revise current national regulations, such as BAC 251, to be inclusive of and responsive to eCDT technology. In February, USAID Oceans conducted workshops with BFAR, SFFAI, and First Mover partners to discuss the design of the BFAR eCDTS and to solicit recommendations to revise BAC251. In September the revisions were approved by the National Fisheries and Aquaculture Resources Management Council, with the revised circular anticipated to go into effect in early 2020.



NFC Cards, like the one shown above, are used by FAME's eCDT technology to capture, store, and transmit traceability data. Photo: USAID Oceans/F.Maruf

Development and implementation of eCDT technology for small-scale, municipal fishers.

USAID Oceans continued to build the Philippines' small-scale CDT capabilities, piloting custom eCDT technology on small-scale commercial vessels in its General Santos City learning site with over 25 small-scale fishers.

Following the launch of its small-scale traceability technology in 2018, USAID Oceans continued to work with small-scale eCDT technology developer, FAME, to advance technology's usability and traceability functionalities. In March, USAID Oceans conducted site visits to monitor and validate pilot progress, and although some technical issues were identified—including further improvements needed to the connectivity gateways—small-scale fishers reported the eCDT technology was helping them meet industry requirements for traceability and had eliminated the need for manual data recording at sea. Based on

feedback received during the site visits, FAME completed gateway and transponder upgrades to optimize vessel transponder connectivity and equip the transponders with near-field communication (NFC) readers to enable key-less capture and transmission of traceability data from the fishers. During the year, FAME also developed a mobile and browser-based application (app) to be used with the transponders, which enables users to monitor catch activities such as fishing grounds and catch details. USAID Oceans plans to test the app with First Movers in the Philippines in Year Five.

To ensure the BFAR eCDTS is inclusive of small-scale fisheries, USAID Oceans, FAME, and BFAR continued working towards system integration and interoperability so that the BFAR eCDTS and other national databases incorporate data from the FAME system. In July, BFAR approved FAME to begin uploading data to the BFAR server—a milestone for the program’s interoperability work. With support from USAID Oceans’ grantee, MSUNFSTDI (detailed in Section 3.4) will continue working closely with BFAR in Year Five to progress towards interoperability.

3.3 Public-Private Partnerships

USAID Oceans’ PPP team continued to provide cross-cutting support for program activities, with a particular focus on sustainability and scale, especially for program eCDT investments.



Support for eCDT development, implementation, and testing through partnerships. In Year Four, a large part of USAID Oceans’ PPP activities focused on ongoing partnership with FAME for small-scale vessel traceability, ongoing support to program grantee, SFFAI, and engaging with potential new partners for expanded eCDT implementation.

USAID Oceans continued to work closely throughout the year with its existing partners that have been critical to eCDT system design, development, and implementation. The Program convened numerous coordination meetings with partners such as BFAR Region 12, SFFAI, ATH, USAID/Philippines, and other national and local government representatives and development programs (such as USAID FishRight) to assess learning site progress and identify support required to achieve program goals.

In support of the Philippines’ national eCDTS, USAID Oceans continued to support its grantee, SFFAI, who leads the program’s industry engagement efforts in the learning site. During the year, SFFAI supported industry partners through a mapping exercise and conducted an eCDT user training for learning site stakeholders. The partners also finalized an agreement for extended work, to continue the organization’s critical support to the industry in Year Five. To support the existing and continued use of small-scale fisheries technology, USAID Oceans continued to support ATH to strengthen its capacities to implement eCDT in municipal and small-scale commercial fisheries. USAID Oceans held several meetings with ATH leadership and visits to its members as a continuing activity to encourage them and enhance their understanding of the importance of eCDT. ATH representatives and members also attended a Tuna Stakeholders Meeting on Fisheries Improvement Tools workshop to increase their awareness about and capacity in sustainable fisheries resource management.

USAID Oceans also engaged with potential new partners, including ThisFish and WWF Philippines, to explore additional partnerships to bolster the program’s impact in Year Five. USAID Oceans and ThisFish discussed the potential to test ThisFish’s internal traceability system, *Tally*, with First Movers in the General Santos learning site, providing additional tools for processors. In late Year Four, ThisFish visited six of the First Mover companies to conduct full assessments of their factories, resulting in confirmed interest for system implementation. USAID Oceans also worked closely with WWF Philippines to discuss its interest in continuing portions of USAID Oceans’ work beyond the program’s close. In June, the partners met to discuss a potential partnership to test and expand the use of eCDT technology nationally, in multiple municipalities. WWF Philippines expressed great interest in this

initiative, and at the year's close the partners were finalizing a sub-contract to apply eCDT technologies in Mindoro and Bicol in Year Five.

3.4 Ecosystem Approach for Fisheries Management

In its second to last year, the EAFM workstream completed several key achievements, including the finalization of learning site Sustainable Fisheries Management Plans, award of a cutting-edge grant for data-driven fisheries management, and commitments from partners to continued USAID Oceans' legacy. In addition to the below activities, by the year's close, USAID Oceans and Conservation International (CI) conceptualized and began to operationalize a partnership for CI to implement early management actions on small pelagic fisheries with Malaysia and the Philippines in Year Five and beyond.



Finalization and hand over of the learning site's SFMP. USAID Oceans progressed the learning sites' fisheries management planning in support of the Fisheries Component of the Protected Area Management Plan of Sarangani Bay Protected Seascapes and delivered the SFMP to BFAR counterparts to move forward for full implementation.

In support of USAID Oceans' objectives to build national and local capacity for data-driven sustainable fisheries management through EAFM, the program collaborated with BFAR Region 12 and BFAR's Mainstreaming EAFM TWG to organize several review and finalization workshops for the learning site's SFMPs, which include the *Sarangani Bay and Sulawesi Sea SFMP* and the complementary *Fisheries Annex for the Sarangani Bay Protected Seascapes*. In February, USAID Oceans held a final review workshop to advance the learning site's *Sarangani Bay and Sulawesi Sea SFMP* and discuss monitoring of the approved *Fisheries Annex of the Sarangani Bay Protected Seascapes*. Final revisions were made, and after clearance from USAID, the program formally submitted the finalized plans before the year's end to BFAR, the Sarangani Bay Protected Seascapes, Protected Area Management Board, and other local partners to move forward toward implementation. BFAR has committed to supporting the socialization process for the plan and noted their plans to use the document to inform other relevant fisheries management actions and programs, such as the establishment of additional Fisheries Management Areas in Southern Mindanao.



Catalyzing and building capacity for data-driven fisheries management.

Reflecting on its Year Four progress and the additional work needed in the learning site to fully demonstrate the benefits of eCDT for sustainable fisheries management, USAID Oceans awarded its third and final round of grants for specific work around leveraging eCDT data for improved, data-driven fisheries management.

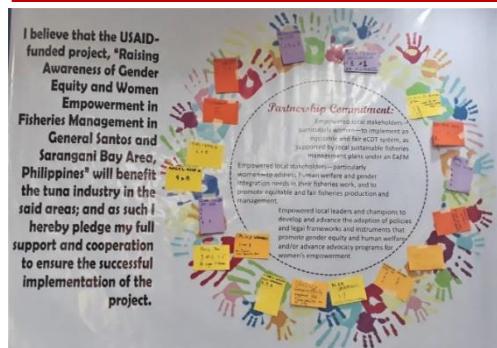
In June 2019, USAID Oceans awarded an EAFM-focused grant to MSUNFSTDI, which will work to explore how eCDT data can be leveraged for enhanced fisheries management and will develop a user-friendly dashboard to analyze and operationalize eCDT data. Following the award, the grantee held a kick-off workshop, attended by representatives from BFAR and other local stakeholders and immediately following, dug in to hold a technical meeting to convene BFAR and local partners to discuss the architecture and design of the planned interactive data tool that will collect, analyze, and visualize eCDT data for improved fisheries management. At the 21st National Tuna Congress in September, MSUNFSTDI presented a prototype of its tool during USAID Oceans' plenary session.

USAID Oceans also continued to work with partners across the public and private sector to build capacity to advance fisheries management efforts, including through its participation in strategic workshops and meetings, like the September, BFAR Fisheries Management Area (FMA) roll-out meeting in General Santos City, which drew off

of the program's SFMP for Sarangani Bay and Celebes Sea for FMA 3 in the Celebes Sea as mandated under the BFAR FAO 263. Also in September, USAID Oceans participated in the NOAA-SEAFDEC Peer-to-Peer Workshop: *Learning from the Philippines Experience in EAFM*, conducted in collaboration with BFAR at Iloilo and Manila, Philippines. During the workshop, USAID Oceans shared its experience implementing EAFM activities in the General Santos learning site, including developing SFMPs for Sarangani Bay and Celebes Sea and the CDT technologies to support using eCDT data to improve fisheries management.

3.5 Human Welfare and Gender Equity

USAID Oceans worked closely with its partners in Year Four, including its new gender equity-focused grantee, to build capacity, strengthen the enabling environment, and raise awareness of the human aspects of fisheries, particularly gender equity.



USAID Oceans' grantee, WINFISH, secured commitments from national and local partners at the Inception Workshop to support their work in the learning site. Photo: USAID Oceans/A. Satapornvanit

Support for improved human welfare and gender equity in learning site supply chains, including through the award of a gender equity focused grant and support for the development of relevant policies and regulations that promote gender equity, human welfare, and fair labor practices.

USAID Oceans continued its collaborations with partners to support interventions and activities promoting gender equity and human welfare, and in March of Year Four, formally awarded a gender advocacy and women's empowerment grant to WINFISH. To kickstart grant activities, WINFISH held a [Gender Inception Workshop](#) in General Santos City to convene relevant partners, including BFAR, the ATH, USAID Oceans, SEAFDEC, and

MSUNFSTDI. At the workshop, WINFISH presented findings from their earlier-conducted gender analyses (conducted in the program's foundational research stage), held discussions on action plans and upcoming initiatives, and obtained commitments from participants to support WINFISH's work to empower local stakeholders, particularly women, to implement eCDT; address human welfare and gender integration needs in their fisheries work; and advance relevant policies, legal frameworks, and advocacy programs.

Once in full operation, WINFISH and USAID Oceans worked together to conduct a training needs assessment to capture the knowledge, attitudes, and perceptions of different stakeholders in the value chain before and after grant interventions related to gender-inclusive EAFM planning and eCDT implementation. These will serve as a baseline to measure grant impact and progress. WINFISH also worked to develop profiles of women leaders and gender champions as part of a gender awareness campaign, as well as developed advocacy materials such as flyers (in both English and Filipino) with messages about gender equality in fisheries development; streamers and posters with messages about gender equity that were displayed in General Santos City; and banners featuring profiles of women leaders and gender champions in sustainable fisheries management. These materials were featured at the 21st National Tuna Congress and will continue to be promoted through Year Five.

USAID Oceans also worked with its grantee partners to develop a draft resolution for gender integration in tuna fisheries. As described in Section 3.1, on September 6, at the 21st National Tuna Congress, the *Resolution for the Promotion of Gender Equality and Women in the Tuna Fisheries Sector in General Santos City and Sarangani Bay Area, Philippines* was presented to Congress participants and adopted. The resolution will provide a legal basis for stakeholders, like SFFAll and BFAR, to integrate gender considerations in their work.



Ongoing capacity building and networking building with national and local partners.

Throughout the year, USAID Oceans continued to work closely with its TWG partners at BFAR, as well as with other interested USG partners and non-governmental organizations, to move the needle forward on gender-sensitive and responsive fisheries.

USAID Oceans worked closely with its national, local, and gender grantee partners to strengthen awareness, capacity, and support for the human aspects of fisheries. The program and its partners also disseminated the program's Philippines-based research, technologies, and

lessons learned related to human welfare and gender at conferences through the region, and internationally, to educate partners outside of the country.

USAID Oceans continued to engage with BFAR's Human Welfare and Gender TWG to progress capacity building and advocacy at the national and learning site levels. Efforts focused on implementing BFAR's gender mainstreaming strategy and building the capacity of government heads, regional planners, and auditors so that they may inform other national initiatives and scaling based on the program's lessons learned and research. Through coordination with the TWG, BFAR's Fish-R database for fisher registration is now able to provide sex-disaggregated data for reporting purposes. Although the database has historically been able to capture this information, it has not—until now—been linked to reporting functions. This important achievement is one USAID Ocean's and BFAR has been working towards since the program's first years, and the program will continue to work with BFAR to provide guidance on how to use this sex-aggregated data.

A series of workshops and trainings were held throughout the Philippines, coordinated with fellow USAID programs and initiatives as possible. For example, in April, USAID Oceans coordinated with SEAFDEC, BFAR, and USAID FishRight to hold the capacity building event, *Empowering Fisheries Officers for Gender-Responsive and Sustainable Fisheries Management*, for BFAR regional directors, regional planners, division chiefs, gender auditors, and the program's Philippines TWG members. USAID Oceans, BFAR, and USAID FishRight organized another training in Iloilo on gender-sensitive policies and decision making, integrating gender and human welfare considerations into Bureau initiatives, and potential areas for collaboration to scale program impacts to other regions of the Philippines, wherein BFAR discussed their Gender and Development Plans and approaches to achieve their objectives. Another highlight event was USAID Oceans' September Training on *Financial Management and Entrepreneurship for Women* in General Santos City, held in conjunction with the 21st National Tuna Congress. The training provided critical business management and financial literacy skills to women to support their business operations and encourage them to continue to incorporate eCDT into their business practices.

4. INDONESIA: NATIONAL AND LOCAL ACTIVITIES AND ACHIEVEMENTS



In the Indonesia, USAID Oceans' key accomplishments included:

- Continued support to advance Indonesia's national **traceability systems**, including MMAF's internal downstream traceability system, STELINA, eLogbook application, and Year-Four launched Fisheries Monitoring Centers;
- Developed and maintained new **partnerships to support program objectives**, including eCDT development and sustainable fisheries management;
- Finalized the learning site **Sustainable Fisheries Management Plan** for FMA 716, and awarded a **grant to leverage eCDT data for improved, real-time fisheries management**; and
- **Reinforced commitment to gender equity** through capacity building activities, support to MMAF's national gender roadmap, and support to local gender champions.

4.1 Coordination and Capacity Building

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



Cross-cutting coordination and capacity building in support of program objectives and implementation. Coordination and capacity building workshops ensured seamless implementation and continued to strengthen national capacity for sustainable impact beyond the program's life.

To keep its partners apprised of program progress and plans, USAID Oceans conducted individual meetings with national and learning site partners—including regular quarterly meetings with the Indonesia National Technical Workshop Group and frequent coordination meetings with MMAF leadership. Coordination meetings were also held between related USAID programs, including USAID Oceans, the Sustainable Ecosystems Advanced (SEA) program, and Supporting Nature and People – Partnership for Enduring Resources (SNAPPER) program, where partners discussed fishery traceability and monitoring activities, as well as other upcoming opportunities for collaboration.

In support of its breadth of technical objectives, USAID Oceans continued to provide capacity building support to partners in Indonesia, particularly for eCDT interoperability, gender-responsive policy and planning, and data-driven fisheries management. In April, for example, USAID Oceans facilitated the *eCDT Technologies Interconnectivity Workshop* in Bali, Indonesia, to continue to promote data-sharing and interconnectivity amongst its public and private sector partners, design data sharing protocols, develop the architecture of an eCDT data exchange, and establish plans for system connectivity between MMAF and private sector traceability systems, including those that USAID Oceans has developed and supported. Additional capacity building activities are detailed throughout this section.

4.2 Catch Documentation and Traceability

USAID Oceans continued to support testing and piloting eCDT solutions in Indonesia, including nationally-built traceability systems and Fisheries Monitoring Centers. To continue to advance Indonesia's traceability abilities, the program continued to work to achieve full system interoperability and data transmission.



The Government of Indonesia announced significant commitments for traceability at the Our Ocean Conference, to be supported by USAID Oceans. Photo: USAID Oceans/M.Donnelly

Continued support to Indonesia's national traceability initiatives, including the Sistem Telusur dan Logistik Ikan Nasional (STELINA), MMAF's downstream traceability, inventory, and logistics system; eLogbook initiative, and cutting-edge Fisheries Monitoring (FishMon) Centers.

USAID Oceans worked closely with MMAF's Director Generals of Capture Fisheries and Product Competitiveness to support eCDT development and testing efforts—namely the STELINA system, eLogbook initiative, and supporting FishMon Centers.

STELINA is the government-led downstream traceability system that tracks the movement of seafood from point of landing and first sale, all the way to export, and is the backbone of the Indonesia's national traceability system, led by the Directorate General of Fisheries Product Competitiveness. In support of STELINA's implementation, piloting, and continued expansion, the program supported recruitment and training of STELINA field validators and facilitate ongoing training workshops for suppliers, processors, local government

representatives, field validators, and MMAF representatives. After a continued year of piloting and work to rollout the system, in August, USAID Oceans supported MMAF to conduct a technical review and evaluation of STELINA with First Mover industry partners in Bitung and continues to work with the Ministry to enhance STELINA's functionalities. Based on discussions with MMAF, USAID Oceans also expects nationwide STELINA expansion in early 2020.

Hand-in-hand with STELINA's rollout, USAID Oceans continued close coordination with MMAF to expand the electronic fishing logbook (eLogbook) system. In October, at the Our Oceans Conference, MMAF announced their commitment to implementing the eLogbooks (pictured above) on Indonesian fishing vessels authorized to operate in Indonesian Fisheries Management Areas. USAID Oceans supported MMAF by providing hardware for vessels above 10 gross tons and supplying tablets for the fishing vessels. Vessel owners were required to match the investment by purchasing at least one additional tablet to be used on their vessels. Using this co-investment scheme, USAID Oceans worked to distribute 50 eLogbook tablets to over 150 Bitung-based fishing vessels throughout the year, and trained recipients on their use.

A major milestone in Year Four was USAID Oceans' support to MMAF to establish FishMon Centers at the Bitung Fishing Port Authority and MMAF Jakarta to further support eCDT expansion and data use. USAID Oceans provided hardware and software for these centers to support STELINA and eLogbook data analysis, port in/port out processes, inspection scheduling, and monitoring of unloading and product movement. By the close of the year, USAID Oceans had successfully delivered and helped to install all of the equipment, with the centers "soft launched" within the year. USAID Oceans is planning a formal launch and unveiling of the FishMon Centers in Year Five.



USAID Oceans held eCDT training with First Movers throughout the year in the Bitung learning site. Photo: USAID Oceans

Development and implementation of eCDT technology solutions for small-scale and remote fisheries. To establish robust, end-to-end traceability system, appropriate technology must be present at each stage of the supply chain to enable efficient, transparent data to be entered throughout a seafood product's journey. Accordingly, in Year Four, USAID Oceans supported **implementation of three program-supported eCDT technologies** with First Mover partners.

In Year Four, USAID Oceans worked heavily with grantee, MDPI; government partner, MMAF; small- and large-scale First Mover industry partners; and technology partners to develop, launch, and pilot learning site eCDT technology that connects the seafood supply chain, from “bait to plate.”

At the point of landing, First Movers piloted USAID Oceans-developed mobile application, *Trafiz*, to capture eCDT data. To date, two suppliers have used *Trafiz* to record nearly 4,000 transactions with 15 fisherfolks operating in Sangihe Island and Manado. Since its launch, additional features have been built into *Trafiz*, including a pocket size thermal printer to print receipts, invoices, delivery orders, and proofs of transaction at the request of users to support critical business processes. In addition to the pilots in Bitung and the larger FMA 716 area, *Trafiz* is also now being used by USAID Oceans' partner, MDPI, under another program with nearly 20 seafood buyers in other surrounding fisheries management areas who serve hundreds of small-scale fishers.

At the points of receiving and processing, USAID Oceans worked with local public and private sector partners—like its First Mover partner, Nutrindo, and technology provider, Sisfo, to pilot the Inmarsat/Pointrek Two-Way Vessel Monitoring System on catch and collecting vessels. In October, USAID Oceans installed five additional Pointrek units for at-sea data capture with two First Mover companies, Nutrindo and Sari Usaha Mandiri in Bitung, Indonesia, and provided training to ensure the new users were familiar and comfortable with using the technology. To date, there are 10 Pointrek devices being piloted by three First Mover companies (five units by Nutrindo, three by Bintang Barsaudara, and two by Sari Usaha Mandiri). Highlighting the impact the technology has made in First Mover partner operations, in early 2019, Nutrindo not only purchased and installed additional units at its own cost to further outfit its vessels, but also signed on with the program to expand its eCDT system beyond its current use of *Pointrek* and *Trafiz* to include the *TraceTales* processor system. This will not only enhance the company's current eCDT use but would also enable the USAID Oceans program to successfully “link” each of its supported technologies in one complete supply chain. In Year Five, MDPI will support Nutrindo's *TraceTales* transition (through a contract with USAID Oceans). The program has also been working with its partners at the Global Food Traceability Center (GFTC) to discuss potential integration of GFTC data standards (the Electronic Product Code Information Services) into Nutrindo's traceability system. This would enable USAID Oceans-supported technologies, including *Pointrek*, *Trafiz*, and *TraceTales*, to be formally recognized as interoperable and global standard-compliant traceability systems.

In addition to eCDT design, implementation, and pilot support, USAID Oceans also participated in and convened various events to advance the program's eCDT technologies and the national CDT system. In March, USAID Oceans presented at a *Lessons Learned Around Benefits and Challenges of Electronic Monitoring to Improve Fisheries Information Systems* workshop attended by public, private-sector, and NGO representatives. Six presenters, the Nature Conservancy, MDPI, MMAF, Sisfo (Pointrek), International Pole & Line Foundation (IPNL)/AP2HI, and USAID Oceans, shared their experiences of using technologies for electronic monitoring and reporting. Almost all presenting organizations discussed technology and/or solutions that USAID Oceans has developed or supported, exemplifying the wide-spread adoption of and trust in USAID Oceans-supported initiatives.

As noted in Section 2, USAID Oceans' partners, including those from Indonesia, spent significant time in Year Four sharing information about program-supported technologies with regional audiences. As a result of these events and pilot activities, USAID Oceans was approached by several parties interested in using *Trafiz* for other applications—concrete evidence that the app is of value to other organizations working to achieve traceability. USAID also launched a new project on *Women's Economic Empowerment and Equality: Fisheries Management through Financial Tools* which is currently exploring the app's financial technology potential to increase access to appropriate financial tools for better data management, improved livelihoods for women fisherfolk, and ultimately better fisheries management through empowered and engaged women and men in the fishing sector.

4.3 Public-Private Partnerships

USAID Oceans' PPP team continued to provide cross-cutting support for program activities, with a particular focus on sustainability and scale, especially for program eCDT investments.



In 2019, USAID Oceans' partners received an award for implementing blockchain traceability in Indonesia's small-scale fisheries. Photo: MDPI

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

USAID Oceans focused significant energy in Year Four on ensuring existing partners had the support and infrastructure needed to ensure eCDT success beyond the life of program. The program developed partnership agreements with MDPI and Nutrindo to support continued learning site eCDT implementation; with Marine Change, to launch the Indonesia Coastal Tuna Sustainability Alliance (ICTSA); and with AP2HI and the IPNLF to support eLogbook implementation.

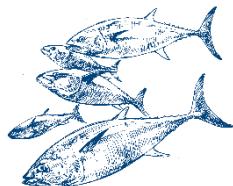
USAID Oceans' partnership with Marine Change to support the Alliance was designed to build a new multi-stakeholder initiative that will build wider awareness and adoption of eCDT through more effective NGO, industry, technology, and public sector collaborations. In April 2019, USAID Oceans, Marine Change, and other members of the ICTSA signed a Memorandum of Understanding to formally launch the Alliance. As part of its subcontract to USAID Oceans, ICTSA is also working to develop case studies on Indonesia's eLogbook initiative and eCDT return on investment and will assist AP2HI to develop and launch an Indonesia Tuna Verification Application, which will collect product data from association members and ensure AP2HI can track, verify, and certify these products for export and allow consumers to verify that the products are from sustainable fisheries.

Beyond USAID Oceans' direct in-field work, the program saw its investments in innovation, research, and technology pay off in the extended work of its partners. In June, USAID Oceans celebrated its former grantee and ongoing partner, MDPI's, success in being the first to implement blockchain traceability in Indonesia's small-scale fisheries with *TraceTales*. In 2018, MDPI, together with Anova Food LLC., an American seafood importer, and PT Harta Samudra, a tuna processor in Indonesia, collaborated with BumbleBee Foods, North America's largest branded seafood company, and SAP logistics, a German-based technology company to implement blockchain technology in their tuna supply chains using *TraceTales*. Moreover, on June 18th, MDPI, Anova Food LLC., and PT Harta Samudra were awarded the 2019 "Social Hero" SAP Innovation Award for their collaboration with Bumble Bee Seafoods to successfully bring blockchain traceability to Indonesia's small-scale handline fisheries for the first

time. This technology enables fishers to guarantee their products are sustainably sourced and participate in the Fair Trade product program.

4.4 Ecosystem Approach for Fisheries Management

USAID Oceans' EAFM workstream completed several key achievements, including the finalization of learning site Sustainable Fisheries Management Plans, award of a cutting-edge grant for data-driven fisheries management, and commitments from partners to continued USAID Oceans' legacy.



Finalization and hand over of the learning site's SFMP. USAID Oceans progressed the learning sites' fisheries management and delivered the SFMP to MMAF counterparts to move forward for full implementation.

USAID Oceans continued to advance Indonesia's learning site SFMP, working in close coordination with its EAFM TWG partners to finalize and review the *Sustainable Fisheries Management Area (WPP) FMA 716 Plan*. During the year, the program made final revisions to the plan, submitted to, and received final plan approvals from USAID. By the close of the year, in August, USAID Oceans formally submitted the USAID-approved plan to MMAF to move forward to implementation. The SFMP for FMA 716 advances progress toward implementing the sustainable management practices plans in North Sulawesi province.



Catalyzing and building capacity for data-driven fisheries management.

Reflecting on its Year Four progress and the additional work needed in the learning site to fully demonstrate the benefits of eCDT for sustainable fisheries management, USAID Oceans awarded its third and final round of grants for specific work around leveraging eCDT data for improved, data-driven fisheries management.

In Year Four, USAID Oceans awarded an EAFM-focused grant to program partner, MDPI, which will work to explore how eCDT data can be leveraged for enhanced fisheries management and will develop a user-friendly dashboard to analyze and operationalize eCDT data. Following the award, the grantee held a kick-off workshop, attended by representatives from MMAF, to discuss the architecture and design of the planned interactive data tool that will collect, analyze, and visualize eCDT data for improved fisheries management. Grant progress continued throughout the end of the year, with data tools to be presented to the program in early Year Five.

The program also continued to support national and local fisheries management planning and capacity building, including through its participation in a May *Tuna Consortium* workshop organized by MMAF's Director General of Capture Fisheries, with the support from the Nature Conservancy. The Consortium provided an opportunity for the program to coordinate with non-governmental organizations and relevant international and national projects working on tuna, small pelagic, and reef fisheries in Indonesia to identify areas for collaboration, including progress meetings, gap analysis activities, policy and management, capacity building and communication strategies.

4.5 Human Welfare and Gender Equity

USAID Oceans worked closely with its partners in Year Four to build capacity, strengthen the enabling environment, and raise awareness of the human aspects of fisheries, particularly gender equity.



Participants at a USAID Oceans financial management for women workshop in Bitung, Indonesia. Photo: MDPI

Support for improved human welfare and gender equity in learning site supply chains, including through the development of relevant policies and regulations that promote gender equity, human welfare, and fair labor practices; capacity building; and close collaboration with TWG partners at MMAF to identify new, high-value collaborations.

USAID Oceans continued to work closely with its TWG partners to strengthen national capacity and advance priority initiatives of the Ministry, including their national agenda item for gender equity and plans to conduct National Gender Equity Roadmapping. In March, USAID Oceans and MMAF conducted a *National Workshop on Gender Mainstreaming Roadmap in Marine and Fisheries Sector* in Jakarta, Indonesia, attended by local, national, and international government, civil society, and academic partners. The workshop included training on gender concepts and analysis tools, a review of *Indonesia's Gender Mainstreaming Roadmap (2015-2019)* and solicited inputs and recommendations for the *2020-2024 Gender Roadmap*. In August, USAID Oceans and MMAF TWG members reconvened to discuss the status of the *Revised National Gender Roadmap (2020-2024)*. Its completion is anticipated for November 2019, after which the draft will be presented for MMAF approval and USAID Oceans will provide support to develop implementation guidelines, disseminate the roadmap, and pilot the roadmap in Bitung.

USAID Oceans dedicated significant effort to building capacity amongst its other national and local partners to progress gender equity and women's empowerment interventions in Indonesia. In June, the program participated in CTI-CFF's *8th Coral Triangle Day* events to share lessons learned on gender concepts and tools in fisheries management. At this event, technical experts and women in the fisheries supply chain discussed one of the main issues related to human welfare and gender in Indonesia—the lack of recognition of women as fishers, preventing many women from being able to register themselves as fishers and obtain the Fisher Identification Cards required to receive certain benefits.

Following discussions on this topic at the event and site visits to Bitung to gather information and knowledge, the program began its work to support the development of legal instruments and policies to bridge gender gaps. Before the year's end USAID Oceans developed and began execution of a plan to support the drafting of a legal document that recognizes and raises the issue of women's registration to local authorities, as well as other issues faced by women fishers and women in basic and industrial fish processing sectors.

In August, USAID Oceans also conducted a *Training and Workshop on Gender Concepts, Tools, and Advocacy* at the CTI Resource Center in Manado, Indonesia. The workshop resulted in draft action plans for gender interventions in Bitung as well as participant commitments to take part in their implementation. These activities include drafting of legal documents for recommended; developing profiles of women leaders in the industry; establishing a local gender network; and producing knowledge products and advocacy materials to support and promote the advocacy of gender equity and women's empowerment in the fisheries sector. In September, USAID Oceans held a follow-up gender partners' meeting to provide updates on gender intervention activities to local partners where it also launched its informal network of local gender practitioners and advocates.

5. EXPANSION SITE ACTIVITIES AND ACHIEVEMENTS

USAID Oceans made significant progress in its Expansion Site countries, with varying levels of engagement according to country needs. One of the program's main accomplishments for the Expansion Sites this year was completion of CDT Gap Analyses and Partnership Appraisals with Vietnam, Thailand, and Malaysia, and a series of eCDT workshops and roadshows to provide technical guidance. eCDT workshops with the Thailand DOF, as well as with Coral Triangle member countries, held at the request of each respective government, continued progress in eCDT implementation in the Expansion Site countries. Specific progress in each Expansion Country is detailed in the following section.



USAID Oceans' public sector industry and technology partners joined the May 2019 workshop with the Thailand Department of Fisheries to present eCDT technology solutions and implementation experiences. Photo: USAID Oceans/K. Nitiwarangkul

Oceans' grantee, MDPI and First Movers from the learning sites, Nutrindo and Renn and Rell, presented their eCDT technology solutions and lessons learned.

Following the May workshop, USAID Oceans and the DOF finalized the Thailand CDT Gap Analysis Report, incorporating and fully documenting the recent progress made by the Government of Thailand in addressing human welfare issues in fisheries and in combating IUU fishing, as well as in advancing its eCDT systems. As a result of the workshop, USAID Oceans and the Thailand DOF are planning a follow-on one-day Thailand DOF Fisheries Supply Chain Analysis Workshop to be held in Bangkok in Year Five, given Thailand's continued interest in implementing additional eCDT technology, including *Trafiz*. In support of the Thailand DOF's continued interest, USAID Oceans launched a partnership with a private sector company, Trinity Roots, to conduct a feasibility study in Year Five on the application of USAID Oceans-supported eCDT technologies with small-scale fishers and small to medium commercial fishing vessels in Thailand.

In **Vietnam**, USAID Oceans continued close coordination with the Vietnam D-FISH and SEAFDEC to advance eCDT implementation according to Vietnam's national interests and requests for support. In November, USAID Oceans finalized the *Vietnam CDT Gap Analysis Report* and continued to work with its partners in Vietnam on the country's eCDT implementation plan. Following, in July, USAID Oceans held one of their series of Workshops to *eCDT Technology Solutions and Regional eCDT Technical Guidance* in Nha Trang, Vietnam. At the workshop, USAID Oceans and its partners showcased their

In **Thailand**, USAID Oceans completed the CDT Gap Analysis and subsequently, in May, coordinated with the Government of Thailand and its SEAFDEC partners to hold a three-day eCDT workshop with the Thailand DOF in Bangkok, Thailand. The workshop was conducted as the result of a direct request from DOF Thailand to the program and SEAFDEC to learn more about its eCDT technologies, particularly *Trafiz*. It convened USAID Oceans' public and private sector partners to share their experiences first-hand, including representatives from BFAR, MMAF, and private sector eCDT technology providers from the program's learning sites in Indonesia and the Philippines. In addition to reviewing the Gap Analysis, representatives from Pointrek, Altermyth, and FAME, as well as USAID



USAID Oceans' partners attended the Vietnam eCDT workshop to share their technologies and experiences in implementation. Photo: USAID Oceans/M. Donnelly

suite of eCDT tools to over sixty key fisheries stakeholders, including the D-FISH. In addition to USAID Oceans' technologies, several locally available technologies were presented by Vietnam-based Zunibal, BlueTraker, and AgriTech representatives. During the workshop, D-FISH expressed interest in establishing a FishMon Center at a Vietnam pilot site, akin to USAID Oceans-supported centers at the program's Indonesia and Philippines learning sites. As a result of the eCDT workshop, local technology provider, BlueTraker, reached out to USAID Oceans' technology partner, FAME, to explore being a local implementer and distributor of FAME technology in Vietnam. Discussion on a formal partnership is ongoing.

Also in Vietnam, USAID Oceans continued supporting SEAFDEC and D-FISH to launch a pilot of the SEAFDEC-developed eACDS in Binh Thuan, Vietnam, paired with small-scale eCDT technology. The pilot, led by SEAFDEC with the support of USAID Oceans, is set to launch in Binh Thanh, Vietnam in Year Five, with 20 medium-scale vessels, three suppliers working across three fishing ports, a major processing facility, and the provincial fisheries authority. In preparation for the pilot, USAID Oceans procured equipment and hardware to support eACDS rollout, including 50+ Android tablets for fishing and processing companies and D-FISH field inspectors, printers, barcode scanners, high-speed document scanners, and laptops and desktop computers for D-FISH operations.

In **Malaysia**, partners continued to express interest in piloting eCDT in-country, with ongoing discussions on implementing the SEAFDEC eACDS in Tok Bali, Kelantan in 2019. In response, USAID Oceans conducted a CDT Gap Analysis in the country, and in October held a CDT Gap Analysis Workshop with the Malaysia DOF to review findings and elicit feedback from relevant stakeholders from the Malaysian government agencies and departments. Following the meetings and consultations on the report, USAID Oceans updated its findings and recommendations according to the interviews conducted with two companies, a fishing company and services provider (Dagang.net) that currently provides National Single Window services to several fishing industry companies. The finalized CDT Gap Analysis Report was delivered to Malaysia in December.

In July, the Vice Chancellor of the University of Malaysia Terengganu (UMT) and 2018 CTI-CFF Women Leaders' Forum Ambassador requested USAID Oceans' support to develop a Gender Equality Act in Malaysia and conduct gender capacity building. The request was for USAID Oceans to help incorporate fisheries into the Act and collaborate with SEAFDEC to provide basic gender training to practitioners in the fisheries field. USAID Oceans and UMT worked together to plan how this support will be delivered in Year Five, including a training to be hosted by UMT in Terengganu. The training will present an opportunity for participants to discuss ways to incorporate fisheries in Malaysia's Gender Equality Act and to outline terms of reference for the Coral Triangle Initiative's Women Leaders Forum. The Ministry of Energy, Science, Technology, Environment and Climate Change and the Maritime Institute of Malaysia will co-organize the event, to be attended by Malaysian participants from the fisheries sector, academe and civil society, WLF focal persons from the six Coral Triangle (CT6) Pacific countries will also be invited, along with CTI-CFF Regional Secretariat.

USAID Oceans also coordinated with its partners in the **Mekong region**. USAID Oceans coordinated with SEAFDEC and the **Lao PDR** Department of Livestock and Fisheries (DLF) to organize a March capacity building workshop on [Gender Analysis for Sustainable Fisheries Development and Management in the Mekong Region](#) held in Vientiane. DLF hosted the workshop to convene Lao fisheries officers responsible for gender integration within their offices and programs, as well as TWG members from **Cambodia, Myanmar, and Vietnam**. The partners are working together to plan an eCDT-focused workshop in Year Five.



Participants of the Laos PDR-PDF hosted gender workshop. Photo: USAID Oceans/S. Yamsangsung

In Cambodia, USAID Oceans and its SEAFDEC partners also coordinated with the Fisheries Administration of the Ministry of Agriculture, Forestry and Fisheries of Cambodia to organize a *Training of Trainers on Gender Mainstreaming in Fisheries Refugia Management*, held in Kampot in June. The training equipped participants with knowledge on gender tools and concepts and convened gender champions and country focal persons, including key personnel from the Cambodia Fisheries Administration who are involved in the Fisheries Refugia Management project—a partnership between SEAFDEC, the United Nations Environmental Program, and the Global Environment Facility in five of Cambodia’s southern provinces.

USAID Oceans also worked closely with partners at the CTI-CFF to build capacity within **Coral Triangle member countries**. The program conducted face-to-face capacity building sessions with its Coral Triangle Expansion Site member countries on eCDT, partnerships, EAFM, and human welfare and gender equity. In June, USAID Oceans and its CTI-CFF Regional Secretariat partners held a *Workshop to Review Available eCDT Technology Solutions and Advance Regional Guidance for Fisheries Traceability* in Dili, Timor-Leste. During the workshop, USAID Oceans trained participants in conducting CDT gap analyses and partnership appraisals, presented program-supported eCDT technologies, and gathered feedback on its regional eCDT technical guidance. The CDT Gap Analysis sessions enabled the CT-3 countries (**Timor-Leste, the Solomon Islands, and Papua New Guinea**) to apply the program methodologies for rapid supply chain mapping to identify eCDT gaps and potential tools to fill them.

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 USAID SEA (Indonesia) office to leverage necessary resources and support. The Activity continued to proactively anticipate problems and provide timely solutions, working in close collaboration with its USAID/RDMA Contracting Office Representative (COR) and Alternate COR, as well as other relevant USAID staff as appropriate. The USAID Oceans team, including the Chief and Deputy 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, the USAID Oceans team engaged with relevant U.S. Government Agencies to identify opportunities for collaboration and create synergy amongst complementary regional efforts. This included substantial engagement with the U.S. NOAA, the U.S. 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. Within the year, several staffing changes occurred including: the departure of the program’s Bangkok-based CDT whose contract expired at the close of December 2018; the promotion of USAID Oceans’ Indonesia Learning Site Coordinator to Country Coordinator and USAID Oceans’ Partnerships Specialist to Senior Partnerships Advisor; and reinstatement of the Deputy Chief of Party position, with Ms. Nives Mattich returning to the program in Q3. The program also recruited additional staff to accommodate the high-volume of Year Four and Year Five closeout activities, including a Communications Specialist, two new Administration, Finance Assistants in each of the program learning sites, and a Gender Equity Program Assistant within the program’s Indonesia team.

Work Planning. USAID Oceans formally submitted its Year Four Work Plan to USAID/RDMA on October 5, 2018. In the weeks that followed, USAID Oceans and its counterparts at USAID worked to review the plan together in depth. USAID/RDMA approved the work plan for implementation on November 13, except for several select activities which were requested to be further reviewed before implementation, which USAID Oceans and RDMA continued to discuss and revise in December 2018.

The program began its Year Five Work Planning process early in the year, beginning with the development of Regional/Expansion and Learning Site Exit Strategies that provided the team with a roadmap to use as the program

nears completion and begins to hand over core elements to regional, national, and local partners. The first draft of the Work Plan was submitted in June 2018, with the finalized plan submitted before year's end to ensure out-of-the gate implementation of the plan in the program's final year.

Reporting. USAID Oceans continued to meet contractual reporting requirements, including the submission of USAID Oceans Annual Progress Reports and other deliverables, as detailed in Annex IV. The activity ensured that its contractual deliverables including its work plan, financial and accrual reports, and other products were of the highest quality and submitted on time.

Grants Management. USAID Oceans' grants team worked closely with ongoing and incoming implementing program grantees—which included SFFAI, WINFISH, MDPI, and MSUNFSTDI by the year's close—to ensure timely submission of milestone deliverables and issue payments accordingly. In onboarding new Year Four grantees, USAID Oceans worked with selected gender grant organization to complete paperwork processes required prior to grant award.

7. MONITORING & EVALUATION

In Year Four, USAID Oceans continued to conduct regular data collection, quality assurance, and timely capture of targets. USAID Oceans' M&E Specialist provided support to the program team to promote accuracy, consistency, and completeness of program data—of which, a large influx was experienced as the program rapidly reported against and completed many of its performance targets.

USAID Oceans' M&E Specialist worked closely with the Activity's technical team for regular monitoring assistance—particularly with learning site teams to gather and record site-specific data. By close of Year Four, USAID Oceans had met and exceeded seven of its target indicators, including Indicators:

- One (biologically significant areas under improved natural resource management as a result of USG assistance);
- Two (metric tonnage of CDT-secured seafood units purchased);
- Three (number of stakeholders participating in and submitted eCDT data);
- Four (number of Critical Tracking Event transactions submitted into eCDT system);
- Five (percentage of targeted stakeholders who self-report “adoption” of the eCDT system as a basic business requirement);
- Six (number of innovations supported through USG assistance),
- Ten (number of people trained in sustainable natural resources management and/or biodiversity conservation as a result of USG assistance).

The program also made significant progress toward achieving its remaining indicators, which—with the coming months—the program expects to fully complete.

Although the team has met and exceeded its eCDT targets, during Year Four, the team has experienced challenges in gathering eCDT documentation from its partners which it relies upon for reporting. Although, USAID Oceans' eCDT technology is actively tracking seafood movement at each step in the supply chain, partners' challenges to submit required eCDT documentation in a timely and data-sufficient manner has resulted in a program lag for reporting these successes against its performance Indicators. To date, a cumulative total of 1,070,502 transactions have been recorded, totaling 1,949 metric tons of eCDT-tracked seafood product.

In addition to working closely with the Activity's technical team for regular monitoring assistance, USAID Oceans' M&E Specialist worked in collaboration with the USAID Office of Forestry and Biodiversity's Coastal Resources and Biodiversity Advisor to complete revisions to the General Santos City Learning Sites Results Chain, a process started in Year Three to develop site-specific strategy tools. USAID Oceans also revised its M&E Plan during the quarter to reflect outcomes from the February 2018 Pause and Reflect Workshop, March 2018 Internal Mid-term

Review, as well as ongoing internal programmatic reflections and discussions. The revised M&E Plan was submitted to RDMA for review and approved by RDMA in early of FY19.

The program also conducted and participated in several evaluation activities during the year, which included support to the program's external evaluation, conducted by USAID with performance evaluator, Social Impact, Inc. USAID Oceans M&E Specialist and technical leads worked with Social Impact to provide requested information, materials, and review of evaluation plans. The evaluation team began its work in December 2018, and subsequently delivered first and final drafts of the report to USAID. USAID Oceans reviewed and provided feedback for the reports, as requested by USAID/RDMA, with the report finalized in May 2019.

USAID Oceans also prepared for and began conducting its final internal evaluation. The evaluation consists of two parts: a Self-Administered Questionnaire (SAQ), a quantitative approach to measure the adoption rate of eCDT system to report Indicator Five (percentage of targeted stakeholders who self-report "adoption of eCDT"); and Key Informant Interviews, a qualitative approach to investigate the impacts of piloting eCDT system at two learning sites. Before the close of the year, the program worked to finalize evaluation strategy, logistics, and survey tools, and completed data collection of Final Internal Evaluation in both learning sites. The survey results from quantitative approach to assess the adoption rate of eCDT users among First Movers in both learning sites revealed that in overall, 90% self-reported (85% in the Philippines, and 94% in Indonesia) "will continue invest and use technology".

Table 3 summarizes the program's Year Four achievements towards its Activity targets. Indicators shaded in green mark those that have been successfully achieved. See Annex IV for full list of indicators and tracked progress.

Table 1. Targets Achieved

Results	Indicators	Achieved FY16-18	Achieved Q1 FY 19	Achieved Q2 FY19	Achieved Q3 FY19	Achieved Q4 FY19	FY 2019 Target	Cumulative Total Achieved	LOA Target
Marine Ecosystems Maintained	1. Number of hectares of biologically significant areas under improved natural resource management as a result of USG assistance (EG.10.2-2)	0	40.2M	0	0	62.0M	62.3M	102.2M	62.3M
Amount of illegal fish entering regulated markets is reduced	2. Number of CDTs-secured seafood units (metric ton) purchased (Custom)	2.8	22.0	2.2	1,922	0	16	1,949	24
Industry self regulates to keep illegal products out of commerce	3. No. of stakeholders participating in and submitting data voluntarily (Custom)	46	3	6	0	0	12	55	38
CDTS components and functionality demonstrated	4. Number of CTE transactions submitted into the CTDS by targeted stakeholders (Custom)	40	342	314	1,069,806	0	13,000	1,070,502	15,000
CDTS design meets agency and key stakeholder needs	5. Percentage of targeted stakeholders who self-report “adoption” of the CDTS as basic business requirement.	0	0	0	0	90%	30%	90%	60%
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)	1	0	4	2	0	5	7	6
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)	1	1	1	0	2	5	5	6
CDTS/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-I)	0	0	0	1	2	4	3	4
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)	1,191	54	261	42	185	204	1,733	1,395
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) (Total)	1.41M	0	1.06M	0.5M	0.48M	2.6M	3.44M	4M
Regional, national, and local stakeholders engaged and committed to CDTS, PPP, EAFM	12. Number of new USG-supported public-private partnerships (PPPs) formed (Custom)	10	0	1	1	0	4	12	14

8. YEAR FOUR 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, 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, allowed the program to carefully and systematically reflect on program experiences and lessons learned. In Year Four, the program applied these lessons learned, challenges, and observed opportunities to continually optimize implementation.

In its fourth year, the program spent time reflecting on lessons learned to share them with its regional partners. While significant challenges were not faced, none to threaten the program's progress, the program team noted the following challenges in the Year Four reporting period.

Changing partner priorities – Throughout FY19, USAID Oceans team explored partnership opportunities with a number of potential partners. Some partnership opportunities were formalized, while others did not move forward due to partners' shift in their priorities. This is not uncommon in either the public or private sectors, and USAID Oceans remained nimble to adjust to changing partner priorities, leadership, and opportunities for engagement. In response to this challenge, the program's PPP team highlighted the value and importance of **leveraging the momentum and success of past activities and/or partnerships**. For example, in February, USAID Oceans worked with GDST to successfully organize the first Trackathon, with products/tools from the event receiving pilot opportunities and follow-on investments. Building off previous success, USAID Oceans, GDST, and SecondMuse will host a Bali Seafood Trackathon in October 2019. The objective of this Trackathon is to produce immediate solutions for the region, such as how to provide small-scale fishers with greater market access and how to develop applications that incentivize the collection of human welfare KDEs.

Building capacity amongst women despite limitations to women's participation – In several Year Four activities, USAID Oceans noted that despite organizing events, women's participation in some activities, particularly trainings and technology development, might be limited due to cultural norms. In recognition of this challenge, the team recognized the importance of **considering target participants' limitations during planning stages**. Understanding social, familiar, and economic limitations women face and building the capacity of partners and stakeholders to incorporate gender considerations in their work is necessary to identify ways to have women participate in and benefit from program activities. For example, if women are not allowed to attend at training unless accompanied by a trusted male leader this should be considered when planning the training.

Delays in scheduling partnership activities – As common in complex implementation plans with multiple partners, USAID Oceans experienced several delays in implementing planned activities due to partners' scheduling conflicts, resource limitations, and competing priorities. USAID Oceans needed to work with partners to discuss whether additional resources were required to conduct partnership activities, adjust timelines, and manage both parties' expectations and reputations. The program team remained conscious of the need to **account for changes in activity planning** and prepare to adapt to changes when possible in order to maintain positive and productive partnerships.

Tailoring interventions to new contexts – In Year Four, as the program shared its lessons learned across the region, it spent significant time considering how to contextualize solutions, recommendations, or interventions from the learnings sites to other regions and countries specific needs, cultural context, and resource availability. The program **leveraged its TWG connections** as a platform to solicit input and ideas from representatives of countries where program interventions are being adopted in regard to how the intervention or tools can be adapted adapt the intervention to the country context and what resources are available to support implementation.

9. PLANNED TASKS FOR THE NEXT REPORTING PERIOD

USAID Oceans' Year Five Work Plan details the program's regional, national, and local interventions for the coming year. The Work Plan, submitted to USAID/RDMA on August 16, 2019, should be referenced for detailed strategic and activity overviews. In brief, the strategic focus for the Year Five 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, in its final year, 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 sub-regional level USAID Oceans will implement a partnership via sub-contract with CI to facilitate the implementation of the Sub-Regional EAFM Plan, finalized in Year Four, in support of the CTI-CFF Regional Secretariat, as well as the members of CTI-CFF's EAFM and Seascapes Technical Working Groups. USAID Oceans will also continue to provide technical assistance in SEAFDEC's development of EAFM plans for the other two ASEAN sub-regions: (1) the Gulf of Thailand and the South China; and (2) the Andaman Sea. At the local level, USAID Oceans will continue to work with national and local stakeholders to support SFMP implementation 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 Five USAID Oceans will continue working with two grantees selected in Year Four – MDPI in Indonesia and MSUNFSTD in the Philippines – to work at the learning sites on refining and implementing their IDS to collect eCDT data, conducting real-time analysis, and using analytical results to inform local and national fisheries management decision making.

Electronic Catch Documentation and Traceability. USAID Oceans will continue to refine and strengthen the eCDT systems being used to demonstrate end-to-end fisheries traceability regionally and at both learning sites and at expansion sites to support regional eCDT replication and expansion. During Year Five, USAID Oceans will work with SEAFDEC and ASEAN member countries to finalize Regional CDT Guidance aligned with SEAFDEC's ACDS Guidelines with supporting national-level Implementation Roadmaps. USAID Oceans will also continue its support to SEAFDEC to implement its eACDS software within relevant expansion countries, particularly Vietnam and Malaysia, building off of respective CDT Gap Analyses generated by the program in Year Three. To ensure the business sustainability of any eCDT systems and tools, in Year Five, USAID Oceans will conduct research to guide seafood companies' future decision making and investments in electronic traceability technologies, beyond life-of-project. USAID Oceans will continue to recruit innovative, private sector-driven solutions, products, and services for fisheries traceability products with start-up companies that will operate past the project's close.

Partnerships and Industry Engagement. During Year Five, USAID Oceans will continue to engage industry partners closely in their ongoing implementation and refinement of eCDT systems so that these systems can be monitored, adaptively managed, and maintained beyond the life-of-project. Learning site engagement will be maintained during Year Five, with support of site-based partners MDPI in Indonesia and SFFAII in the Philippines. USAID Oceans will continue implementing its 12-month exit strategies initiated in Year Four 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 eCDT systems as well as exploring expansion opportunities for aligned eCDT systems for interoperable scaling beyond learning sites and long-term maintenance. Capacity

building activities will continue to focus on strengthening national and local government capabilities to support eCDT system maintenance.

In Year Five, a new ‘hand-over’ partnership will be initiated with GDST and the MSC to enhance the supply of traceable fisheries to US-based buyers from USAID Oceans’ private sector partners, Nutrindo and Blue Ocean Grace International, as well as create a business case study on the costs and benefits of eCDT and data interoperability challenges. This partnership will leverage available traceability technologies to improve data interoperability throughout the complete supply chain. This will enhance the technical capacity of private sector partners to use available eCDT solutions and promote fisheries traceability and sustainability and will connect First Movers’ eCDT systems with US-based buyers to enhance the market. This activity will also encourage the hand-over of further eCDT implementation by GDST and MSC beyond the life-of-project, in the learning site and beyond.

Human Welfare and Gender. USAID Oceans will continue to advance gender mainstreaming and support addressing human welfare issues in the fisheries sector during Year Five, and will build capacity relating to human welfare issues in support of raising awareness and addressing human welfare needs across regional, national, and local fisheries. USAID Oceans will complete learning sites capacity building efforts during Year Five. Final trainings will focus on a broad range of topics, such as gender sensitivity, health and safety, financial management, alternative livelihoods, and strengthening the role of women in national and local fisheries management. These final trainings will be conducted in collaboration with local stakeholders and partners from the government, private sector, civil society, and academia. USAID Oceans will also continue working with gender grantees and the CTI-CFF WLF to develop gender profiles of women leaders and gender champions in fisheries and will launch a Women in Fisheries campaign to raise awareness of women’s important role in the industry and to advocate for human welfare considerations in eCDT and fisheries management plans.

Communications and Outreach. Communications and outreach activities during Year Five will focus on disseminating the programs “capstone” products focused on summarizing the project’s high-level impacts, results, and lessons for national, regional, and international target audiences. The capstone products, as described in this report, 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 finalize and disseminate project lessons, stakeholder experiences and stories, and recommended best practices through its established outreach mechanisms, including the SEAFDEC-hosted Oceans and Fisheries Partnership web portal – to be handed over fully to SEAFDEC at the end of the year, – social media platforms, the *Making Waves* eNewsletter, and electronic and print communication products. USAID Oceans will also finalize its suite of short informational videos highlighting the programs’ eCDT technologies and the importance of human welfare and gender considerations in fisheries management. To assess target audience reach and impact, USAID Oceans will continue to monitor the scope and uptake of communications materials and platforms, through Google Analytics, eNewsletter and Facebook metrics, and feedback from TWG and stakeholder audiences. The program will 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

USAID Oceans Theory of Change for Addressing IUU and Unsustainable Fishing

If the CDT 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.

Throughout the course of the Activity, USAID Oceans has reviewed its TOC to assess the validity of initial assumptions and causal linkages and to refine Activity planning as necessary to address gaps and maximize results. During Year Four, 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 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).

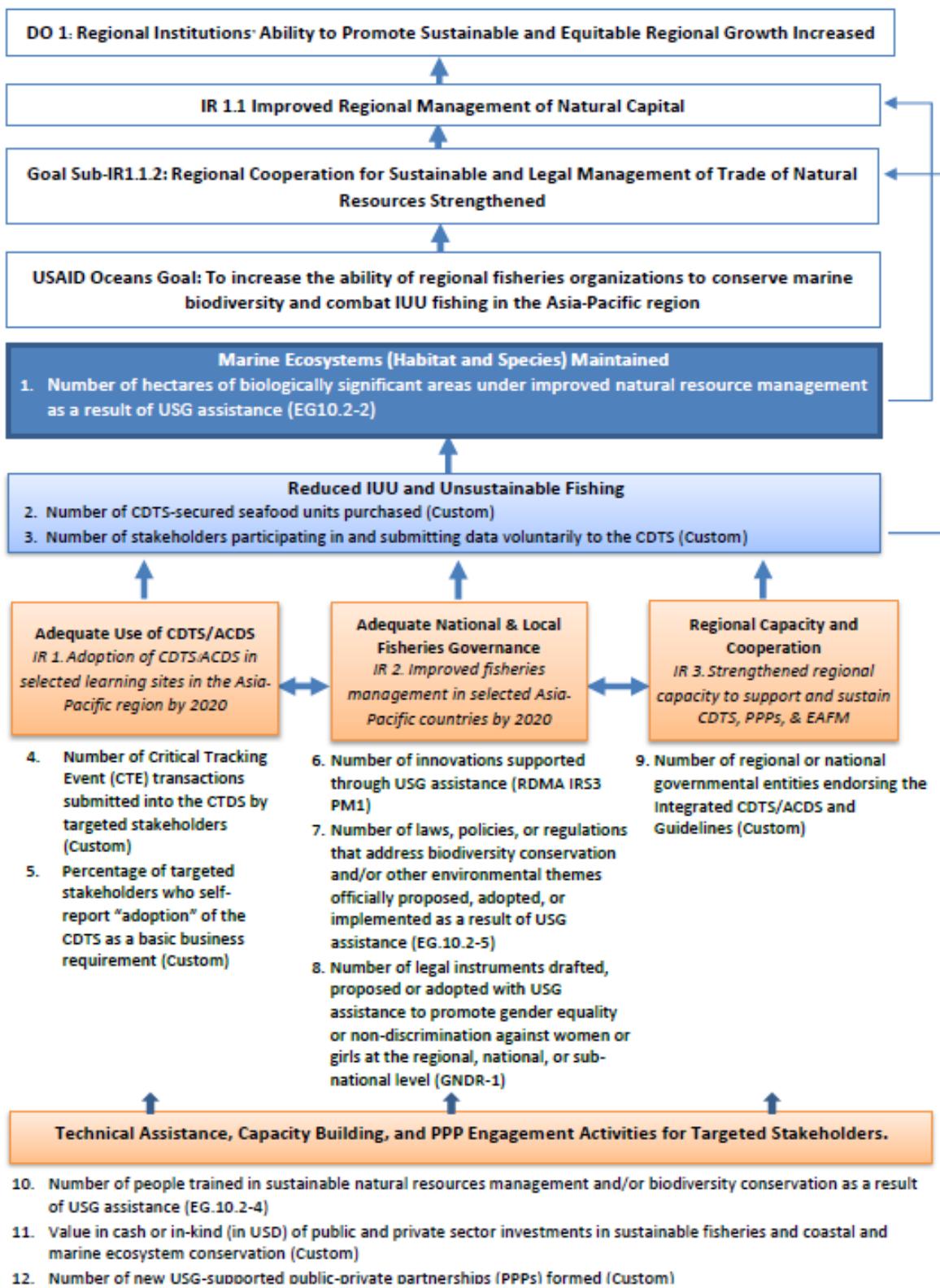
Prioritize Vulnerable Populations through Targeted Gender Interventions

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 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 2019 WORK PLAN

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

✓ have been initiated/completed

X 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	Activity Category	Q1	Q2	Q3	Q4	Notes on Progress and Completion
RG1: Support Regional Capacity Building and Coordination							
RG1.1	Provide capacity building support to Regional Partner Organizations (SEAFDEC; CTI-CFF) via short-term technical assistance (STTA)	STTA, training	✓	✓	✓	✗	Ongoing – USAID Oceans provided support to SEAFDEC and CTI-CFF, including an ongoing STTA with Ms. Jasmim Saad to provide support to CTI-CFF Regional Secretariat-related activities.
RG1.2	Provide travel support to SEAFDEC/TWG members to participate in annual regional TWG meeting	Travel	Completed Y1, Y2, Y3			Complete.	
RG1.3	Conduct annual TWG Meeting/Workshop	Workshop	Completed Y1, Y2, Y3			Complete.	
RG1.4	Conduct Learning Exchange for SEAFDEC Member Countries to the USAID Oceans Learning Site (Bitung, Indonesia) regarding the Application of CDT Systems for Fisheries and Seafood Products	Learning exchange	Completed Y3			Complete.	
RG1.5	Develop technical addendum to existing ACDS Regional Guidelines in coordination with SEAFDEC, including development support for national government roadmap to implement regional guidelines	STTA, regional guidelines	✓	✓	✓	✓	Ongoing – USAID Oceans continued to update the draft Technical Guidelines and held consultative review workshops with regional partners. Draft Guidance was submitted to USAID for review on September 30 th and will undergo member country review in Q1, FY20.
RG2: Implement Regional PPP and Industry Engagement Strategy							
RG 2.1	Provide technical support on completion of key eCDT systems architecture and implementation guidance by technical partners	Subcontract	Completed Y2, Y3			Complete.	
RG 2.2	Convene the Oceans Technical Advisory Group (TAG) to provide technical review and support on the completion of	STTA	Completed Y2, Y3			Complete.	

	key eCDT systems guidance documents (CDT 201, KDE Manual)						
RG 2.3	Maintain partnership with Inmarsat (satellite service provider) to test and pilot mobile satellite solution for data capture at sea	Partnership, subcontract	✓	✓	✓	✓	Ongoing – USAID Oceans continued to test Pointrek/Inmarsat technology in the Bitung learning site.
RG 2.4	Support Seafood Watch and its partner network on Seafood Technology Workshop, distribution of USAID Oceans communications products, and in engaging buyers in the US and EU markets to support eCDT expansion at the Boston Seafood Show	Partnership	✓	✓	✓	✓	Complete.
RG 2.5	Provide technical guidance for regional Seafood and Fisheries Emerging Technologies Conference (with WWF) to secure regional partners and support regional expansion of eCDT systems application	Partnership, workshop	✓	✓			Complete. USAID Oceans successfully participated in the conference in Q2 as a host, presenter, and workshop leader.
RG 2.6	Partner with MSC, Indonesian Coastal Tuna Sustainability Alliance (ICTSA), and private sector companies to align and strengthen the coordination of various seafood CDT efforts in Southeast Asia region	Partnership, meeting	✓	✓	✓	✓	Complete.
RG 2.7	Explore new regional partnerships with the private sector for eCDT data exchange in support of fisheries supply chain traceability	Partnership, subcontract		✓			Moved to RG 3.4 – USAID Oceans is aligning its efforts with both the GDST and MSC to test data exchange and interoperability from point of catch to seafood importers and retailers.
RG 3: Build Regional Capacity for CDT							
RG 3.1	Participate in regional workshop to increase regional awareness and capacity for blockchain-based design of an eCDT data exchange	Subcontract, workshop	✓	✓			Complete. USAID Oceans has participated in several regional workshops to meet this goal, including the SAFET Conference and the GDST Trackathon.
RG 3.2	Provide technology support (software development/coding; hardware) to implementation of SEAFDEC's eACDS with expansion countries	Coding, equipment	✓	✓	✓	✓	Ongoing – USAID Oceans provided support to eACDS expansion throughout the year, including technical support to and procurement of equipment for an eACDS pilot in Vietnam.
RG 3.3	Provide technical support to SEAFDEC on the rollout, testing, and implementation of eACDS with interested expansion countries	Training	✓	✓	✓	✓	Ongoing – See RG3.2.
RG 3.4	Partner with and support GDST in the development and testing of eCDT system architectures and standardized KDEs based on regional project experience	Partnership	✓	✓	✓	✓	Ongoing – USAID Oceans, GDST, and MSC worked to design and implement a partnership to pilot additional eCDT technology in Nutrindo's Bitung supply chain, in partnership with MDPI and Thai Union's Chicken of the Sea label.

RG 3.5	Conduct research on KDE collection, exchange, verification, and privacy processes and effectiveness within regional eCDT systems, including the business Return on Investment (ROI)	Research, STTA		✓	✓	✓	Ongoing – USAID Oceans contracted Marine Change to conduct research in Indonesia in FY20. The program also worked with Dr. Deo Dhakal to conduct Cost Benefit Analyses in Philippines (completed) and Indonesia (pending), funded by USAID.
RG 3.6	Conduct a targeted, regional Business Innovation Competition to strengthen start-up private sector capacity to provide regional eCDT solutions/services	Partnership, workshop		✓	✓	Ongoing – USAID Oceans is working with SecondMuse to provide technical support to entrepreneurs participating in their SIP and Seafood Traceability Hackathon in October 2019.	
RG4: Support Development of Regional Fisheries Management Plans							
RG 4.1	Support CTI-CFF EAFM objectives through socialization of the Sulu-Sulawesi Seas Sub-regional EAFM Plan in preparation of CTI SOM-14	Meeting	✓	✓	✓	✓	Complete. The Sub-Regional Plan received support from CT6 countries during the CTI SOM14 in December 2018. The updated version of the finalized EAFM plan (incorporating NCC Indonesia inputs) was submitted to CTI RS in March, and in September, USAID Oceans provided technical support to CTI to advance the finalization of the plan in preparation for SOM 15.
RG 4.2	Develop and finalize modules for Rapid Appraisal training guide	Workshop	Completed Y3			Complete. The RAFMS guide was launched in April 2019 and is published in English and Bahasa.	
RG 4.3	Support SEAFDEC on advancing sub-regional EAFM planning efforts and use of eCDT data to strengthen national fisheries management region-wide with interested member countries	Workshop	✓	✓	✓	✓	Ongoing – USAID Oceans' SSS Sub-Regional Plan influenced SEAFDEC's approach to sub-regional planning projects. The program continues to provide ongoing technical guidance and participate in relevant workshops as resource persons. Additional support to advance SEAFDEC's EAFM and eCDT efforts will continue in FY20.
RG5: Integrate Fair Labor and Gender Equity Considerations at the Regional Level							
RG 5.1	Support the coordination and planning and participate in the 7 th Global Symposium on GAF7	Meeting	✓				Complete. GAF7 was held in October 2018 with USAID Oceans' participation and support.
RG 5.2	Coordinate with SEAFDEC on regional capacity building and policy development, including via regional workshops and training events	Workshop, STTA	✓	✓	✓	✓	Ongoing – USAID Oceans funded SEAFDEC's Gender Focal Person's participation in several key events and workshops, including the April 12 th Asian Fisheries and Aquaculture Forum and gender side events, Philippines' national gender training, and others. USAID Ocean also participated in SEAFDEC workshops and meetings as a resource.
RG 5.3	Support the coordination and capacity building of CTI-CFF's WLF in learning sites and CT6 countries	Meetings, trainings	✓	✓	✓	✓	Ongoing – USAID Oceans continued to host regular partner calls, participated in WLF meetings held in May regarding the RPOA 2.0, and in June supported WLF's dinner meeting in Timor-Leste.
RG6: Implement Regional Communication Strategy							
RG 6.1	Develop Core Technical Documents (CDT 101, CDT 201, KDE Manual, CDT Gap Assessment Reports); disseminate	ExComms, STTA	Completed Y2, Y3			Complete.	

RG 6.2	Manage and update USAID Oceans' Technical Working Group Facebook Group	ExComms, STTA	✓	✓	✓	✓	Ongoing – USAID Oceans continued to update its Facebook TWG Group with program updates, resources, and relevant news stories.
RG 6.3	Create event and exhibit materials for high-profile events (e.g., Our Ocean Conference, GAF7, Business Innovation Competition)	ExComms, subcontract	✓	✓	✓	✓	Ongoing – USAID Oceans' Communications and Outreach team prepared materials for high-profile events and workshops throughout the year.
RG 6.4	Manage and update USAID Oceans project website (hosted by SEAFDEC) regularly	ExComms, STTA	✓	✓	✓	✓	Ongoing – USAID Oceans continued to update the program website with program updates, resources, and relevant news stories.
RG 6.5	Develop quarterly e-newsletter to project stakeholders; disseminate	ExComms	✓	✓	✓	✓	Ongoing – USAID Oceans regularly developed and disseminated its eNewsletter throughout the year.
RG 6.6	Develop and/or update project informational materials (e.g., fact sheets, infographics, case studies, success stories) regularly; disseminate	ExComms, STTA	✓	✓	✓	✓	Ongoing – USAID Oceans developed and finalized technical reports throughout the year, as well as information materials including eCDT case studies, fact sheets, and success stories for its website.
RG 6.7	Develop multimedia project informational materials (videos)	ExComms, subcontract	✓	✓	✓	✓	Ongoing – USAID Oceans produced two videos on gender in fisheries, in final production at the close of Q4.
RG 6.8	Provide regular updates to USAID in the form of Regional Environment Office updates, social media posts, talking points, and other outreach materials as requested	ExComms	✓	✓	✓	✓	Ongoing – USAID Oceans continued to develop and submit bi-weekly program bullets and other information to USAID/RDMA as requested.
RG 6.9	Support SEAFDEC external communications activities via procurement of external communications-related goods and services	ExComms, subcontract	✓	✓			Complete – USAID Oceans completed the procurement of the requested communications equipment in Q2.
RG 6.10	Develop and publish news articles on project impact	ExComms, STTA	✓	✓	✓	✓	Ongoing – USAID Oceans continued to publish regular news updates on its website and through external platforms.
RG 6.11	Create Workstream Knowledge and Legacy Products; disseminate	ExComms, STTA	✓	✓	✓	✓	Ongoing – USAID Oceans released its Gender Research in Fisheries and Aquaculture Training Handbook in Year Three; its eCDT Technology Guide in Q2, its EAFM Training Guide Assessing Fisheries in a New Era in Q3, and its PPP Capstone Guide in Q4 (to be released in FY20, Q1)

Learning Site: Philippines (National and Local Activities)

ID	Activity	Activity Category	Q1	Q2	Q3	Q4	Notes on Progress and Completion
PH1: Integrated Support for National and Local Efforts							
PH 1.1	Conduct integrated stakeholder validation workshop	Workshop, stakeholder engagement	Completed Y2			Complete.	
PH 1.2	Conduct Philippines TWG Meetings to share lessons learned and best practices	Workshop, learning exch.	✓	✓	✓	✓	Ongoing.
PH 1.3	Conduct training-of-trainers for national eCDT implementation; consistent with regional guidance; to support national roadmap design	Workshop, training				✓	Complete. USAID Oceans conducted training for BFAR personnel from the Central and Regional Offices in Q4, following development and socialization of Regional Guidance and Philippines National Roadmap.
PH 1.4	Support the crafting of the interagency Joint Administrative Order in support of provincial and local government eCDT implementation	Workshop, training	✓				Complete. USAID Oceans supported the Regional Consultation for Mindanao meeting, Q1. Subsequent regional consultations in Luzon have been postponed resulting in the delay of the finalization and signing of the Joint Administrative Order by the Department Secretaries.
PH 1.5	Develop national and site-level informational materials (e.g., fact sheets, infographics, case studies, success stories); disseminate nationally/locally	ExComms	✓	✓	✓	✓	Ongoing – USAID Oceans finalized local learning site posters, continued ongoing documentation of Philippine activities, as well as supported key events and workstream activities.
PH 1.6	Support relevant local stakeholders (e.g., Association of Tuna Handliners) on implementation of municipal/small-scale eCDT systems	Training, stakeholder engagement	✓	✓	✓	✓	Ongoing – Continued to provide technical support. User technical training will be held in October 2019, subject to the availability of the FAME mobile application and satisfactory operation of FAME technology and fisher availability.
PH 1.7	Support sharing of project legacy products, learning site experiences, and lessons learned with Philippines TWG members and relevant national and local stakeholders at the 21 st National Tuna Congress	Stakeholder engagement, learn. exchg.				✓	Complete. Successfully presented and shared available technology, hosted program partners to their experiences in implementation, and held special gender equity side sessions and trainings.
PH2: Support and Develop Partnerships to Strengthen National and Local Impact							
PH 2.1	Conduct a partnership planning workshop with industry associations and participating companies to develop partnership action plan	Grant, partnership	Completed Y2			Complete.	

PH 2.2	Conduct partnership training with government (BFAR National and Region 12) and local industry partner (via SFFAII) representatives	Training, partnership	✓	✓	✓	✗	Postponed for Year 5.
PH 2.3	Formalize public private partnerships with technology companies to support eCDT system data capture at-sea and at landing sites	Partnership, subcontract	Completed Y3				Complete.
PH 2.4	Develop and maintain partnership with SFFAII to support the demonstration and expansion of eCDT systems in target fisheries and supply chains at learning site	Partnership, grant	✓	✓	✓	✓	Ongoing – USAID Oceans and SFFAII continue to collaborate to support industry engagement, capacity building, and piloting efforts, as noted in this section.
PH 2.5	Develop a partnership to support the expansion of eCDT and fisheries data collection through sustainable business or investment models	Partnership, grant				✗	Pending – This activity is under review for Year Five, potentially conducted under a WWF subcontract agreement.
PH 2.6	Develop a partnership with a small-scale fisheries association (other than SFFAII) to legitimize supply from small-scale suppliers	Partnership, subcontract	✓	✓	✓	✓	Ongoing – USAID Oceans continues to partner with the ATH.
PH 2.7	Collaborate with BFAR on the implementation of eCDT systems for municipal fishers within tuna conservation management zones (TCMZ)	Meeting, stakeholder engagement			✓	✓	Ongoing – USAID Oceans continue to facilitate discussions and collaborations between ATH and BFAR to advance TCMZ implementation.
PH 2.8	Convene national roundtable discussion regarding emerging role of private sector eCDT solutions and services available to government	Meeting, partnership				✗	Pending – This activity will be conducted in Y5, in conjunction with the program's national close out event.
PH 2.9	Create partnership to grow availability of private sector eCDT solutions/services in support of Business Innovation Competition	Partnership				✓	Moved to RG 3.6.
PH3: Strengthen Capacity for CDT/Develop and Implement CDTs							
PH 3.1	Conduct rapid value chain assessment in General Santos City to identify private fisheries industry priorities and gaps on the implementation of an eCDT system	Partnership, subcontract	Completed Y2			Complete.	
PH 3.2	Conduct CDT gap analysis to identify private fishing industry stakeholder priorities and gaps relating to the design and testing of an eCDT system in General Santos City (GenSan)	Partnership, stakeholder engagement	Completed Y2			Complete.	
PH 3.3	Partner with Philippines BFAR to support the development of a national eCDT system with relevant administrative and policy support	Partnership, subcontract	✓	✓	✓	✓	Ongoing – USAID Oceans continued to support BFAR testing and system optimization. In Q3 and Q4, a series of coordination meetings were conducted with BFAR, SFFAII and Industry Partners to advance eCDT system modifications and supporting policies.

PH 3.4	Localize and test mobile hardware and eCDT software solutions from vessel point-of-capture through export within fisheries supply chains	Partnership, subcontract	✓	✓	✓	✓	Ongoing – eCDT system piloting from point of landing to export is on-going with selected First Mover companies.
PH 3.5	Support eCDT testing in GenSan through airtime subsidies for at-sea and land-based two-way communications	Partnership, subcontract	✗	✗	✗	✗	Delayed due to technical issues/delays encountered with FAME technology.
PH 3.6	Socialization and training of FAME eCDT solutions for municipal/small-scale fishers across participating GenSan local government units (LGUs)	Training, partnership	✗	✗	✗	✗	Delayed at fisherfolk request and scheduled for October 2019.
PH 3.7	Support the modification of internal traceability systems with GenSan partners and for national eCDT system use via BFAR	Partnership, subcontract		✓	✓	✓	Ongoing – USAID Oceans continued planning with ThisFish to implement processor technology with GenSan First Movers, with implementation planned for Q1 FY20.
PH 3.8	Provide technological support for national and local eCDT data exchange and use within BFAR Fisheries Operation Centers	Partnership, subcontract	✓	✓	✓	✓	Ongoing – USAID Oceans has completed hardware and software procurement for BFAR Operations Centers in Manila and GenSan.
PH 3.9	Partner with Philippines BFAR to support the socialization of national eCDT system with relevant stakeholders in GenSan and other regions	Partnership, subcontract		✓	✓	✓	Ongoing – eCDT system modifications and User Acceptance testing were completed during Q3 and Q4.
PH4: Develop Fisheries Management Plans							
PH 4.1	Conduct RAFMS within targeted Sarangani Bay fishery supply chains	STTA, workshop	Completed Y2			Complete.	
PH 4.2	Develop SFMP for Sarangani Bay Protected Seascape in consultation with BFAR and stakeholders	STTA, Workshop	Completed Y3			Complete.	
PH 4.3	Monitor Sarangani Bay SFMP implementation	Meetings		✓			Complete. A meeting with SBPS, BFAR, and provincial/local governments was conducted in Q2, with updated draft of the SBPS Fisheries Annex under review to incorporate comments from Local Government Units.
PH 4.4	Develop proposed SFMP draft for Region 12 in consultation with National BFAR and BFAR Region 12 Offices	STTA, Workshop	Completed Y3			Complete.	
PH 4.5	Socialize and finalize proposed SFMP draft for Region 12 in consultation with National BFAR and BFAR Region 12 Offices	STTA, Workshop	✓	✓		✓	Complete. Review workshops conducted in Q1, Q2. BFAR will continue to socialize the EAFM plan with provincial/local governments. On August 7, USAID Oceans formally submitted the USAID-approved SFMP to BFAR.
PH 4.6	Demonstrate use of eCDT data to improve fisheries management decision making and strengthen fish stock assessment efforts	Grant	✓	✓	✓	✓	Ongoing – MSUNFSTDI was selected and awarded a grant for this work in July, with work underway.

PH 4.7	Consult with stakeholders and conduct training on the use of eCDT data for improved fisheries management decision making	Training, stakeholder engagement			✓	✓	Ongoing – Meetings were held throughout the year, in May and July, with additional work to continue in Year 5 in coordination with PH 4.6.
PH5: Integrate Fair Labor and Gender Equity Considerations at the Regional Level							
PH 5.1	Conduct in-depth gender analysis within GenSan fisheries	Subcontract	Completed Y2		Complete. USAID Oceans continued to disseminate results, including methodologies and recommendation.		
PH 5.2	Conduct in-depth labor studies within GenSan fishery supply chains	Subcontract	Completed Y2		Complete. USAID Oceans continued to disseminate results, including methodologies and recommendation.		
PH 5.3	Capacity building and training on relevant topics (gender sensitivity training, health and safety, financial management, alternative livelihoods) to raise awareness and strengthen the role of women in national and local fisheries management	Workshop, training					This activity has been moved to PH5.5.
PH 5.4	Implement gender interventions through a grant on “Raising Awareness of Gender Equity and Women’s Empowerment in Fisheries Management in General Santos and Sarangani Bay Area, Philippines”	Grant		✓	✓	✓	Ongoing – USAID Oceans awarded the grant to WINFISH in Q2 (March). Grant Milestones A, B, C, D, have been completed.
PH 5.5	Conduct trainings on relevant human welfare issues to raise awareness and address human welfare needs in national and local fisheries	Training, STTA		✓	✓	✓	Ongoing – A national capacity building event was conducted April, in Iloilo City with BFAR. Additional learning site level training of women, Financial Management and Entrepreneurship for ATH Women was conducted in Q4.

Learning Site: Indonesia (National and Local Activities)

ID	Activity	Activity Category	Q1	Q2	Q3	Q4	Notes on Progress and Completion
ID1: Integrated Support for National and Local Efforts							
ID 1.1	Conduct integrated stakeholder validation workshop	Workshop, stakeholder engagement			Completed Y4		Complete.
ID 1.2	Conduct Indonesia TWG Meetings to share lessons learned and best practices	Workshop, learning exch.	✓	✓	✓	✓	Complete – national TWG coordination and program monitoring and evaluation held on August 14-15, 2019 in Manado and Bitung.
ID 1.3	Conduct training-of-trainers for national eCDT implementation; consistent with regional guidance; to support national roadmap design	Workshop, training		X		✓	Complete – This activity conducted integrated with RG 1.5 on 15 July 2019 in close coordination with MMAF in Jakarta
ID 1.4	Facilitate Alliance meetings with the Indonesia TWG (possibly linked to Fisheries Business Forum events)	Meeting		X	X	X	Delayed – Subject to relevant Business Forum agendas, USAID Oceans will hold the next Alliance meeting in Y5, Q1, pending MMAF Business Forum schedule.
ID 1.5	Quarterly meetings with Indonesia TWG nationally and locally to report on project activities and progress	Meeting	✓	✓		✓	Complete.
ID 1.6	Coordination meetings with MMAF and relevant national stakeholders related to all workstream activities	Meeting	✓	✓	✓	✓	Complete. USAID Oceans regularly engaged with MMAF, the TWG, and other relevant stakeholders.
ID 1.7	Coordination meetings with Bitung/Manado government and other local stakeholders to maintain communications and collaboration	Meeting	✓	✓	✓	✓	Complete. USAID Oceans continued to regularly engage with local government units and related stakeholders through informal coordination meetings for Project Close Out event preparation in Y5, Q1.
ID 1.8	Develop national and site-level communications materials to support workstream activities	External comms	✓	✓	✓	✓	Ongoing – Updated materials (PowerPoint presentation, event's backdrop themes, translated materials, worked to finalize learning site posters, and continued ongoing development of Gender Intervention video.
ID2: Support and Develop Partnerships to Strengthen National and Local Impact							
ID 2.1	Develop partnership with the ICTSA to support eCDT system demonstration and expansion, sustainable fisheries management and human welfare in Indonesia pole-and-line and handline tuna fisheries (via MDPI, IPNL/AP2HI)	Partnership, subcontract	✓	✓	✓	✓	Ongoing – The partnership was successfully launched during Y4, with ICTSA now in full operation.

ID 2.2	Maintain partnerships with MDPI and first mover companies (e.g. BOGI, BMI, Anova, Nutrindo, SMS, Sari Usaha Mandiri) to strengthen collection of eCDT data (via Pointrek, Trafiz, TraceTales and Tally) and conduct analyses to strengthen fisheries management and understand cost/benefit impacts	Partnership, subcontract	✓	✓	✓	✓	Ongoing – USAID Oceans worked with both MDPI to finalize contracts/concept notes for this work, which are expected to be completed in Q1 FY20.
ID 2.3	Conduct external communications and outreach at national and local levels to share eCDT benefits and lessons, including involvement in relevant events and activities to increase stakeholder awareness	External comms; stakeholder engagement	✓	✓	✓	✓	Ongoing – In addition to progress reported in 1.8, the program continued to develop impact case studies to document eCDT impacts and lessons learned.
ID 2.4	Fisheries stakeholder mapping, to identify main partner's role, to show important aspects of fisheries (ecology-habitat-ecosystem, socio-economics, regulations, governance), and to show where Oceans contribution, in close collaboration with Provincial Municipal Fisheries Ordinance and UNSRAT	STTA, Partnership					Cancelled – This activity has been cancelled due to limited time and program priorities.
ID 2.5	Develop partnership with commercially available traceability system (i.e., ThisFish) to improve its interoperability and capacity of potential early adopter companies in learning site on the implementation of complete supply chain eCDT system	Hardware and software support	✓	✓	✓	✓	Complete. USAID Oceans partnerships are ongoing with Sisfo to continue building interoperability, partner capacity, and implementation of Pointrek technology. No other gaps have been identified in Indonesia supply chains to warrant development of additional technology provider partnerships.
ID 2.6	Support and coordinate with MMAF on the private sectors including technology providers participation in the development, testing, and implementation of national-level downstream traceability (STELINA)	Partnership, subcontract	✓	✓	✓	✓	Ongoing – USAID Oceans continued to support MMAF to bolster industry support and participation, including through participant recruitment for STELINA pilot, support to implementation and testing, hardware procurement, technical guidance, pilot evaluation, and participant capacity building activities.
ID 2.7	Create partnership to grow availability of private sector eCDT solutions/services	Partnership				✓	Moved to RG 3.6.
ID3: Strengthen Capacity for CDT/Develop and Implement CDTS							
ID 3.1	Conduct rapid value chain assessment in Bitung/Manado to identify private fisheries industry priorities and gaps on the implementation of an eCDT system	Partnership, subcontract	Completed Y2		Complete.		
ID 3.2	Conduct CDT gap analysis to identify private fishing industry stakeholder priorities and gaps relating to the design and testing of an eCDT system in Bitung/Manado	Partnership, stakeholder engagement	Completed Y2		Complete.		

ID 3.3	Partner with Indonesia MMAF to support the development of a national eCDT system with relevant administrative and policy support	Partnership, subcontract	Completed Y3				Complete.
ID 3.4	Localize and test eCDT hardware and software solutions from vessel point-of-capture through export within fisheries supply chains	Partnership, subcontract	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Ongoing – USAID Oceans has completed the Pointrek and Trafiz technologies implementation and continues to pilot with First Movers. USAID Oceans continued to pilot TraceTales systems, under subcontract with MDPI and partnership agreement with Nutrindo to develop and testing the technology.
ID 3.5	Support eCDT testing in Bitung through airtime subsidies for at-sea and land-based two-way vessel monitoring system via Inmarsat partnership	Partnership, subcontract	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Ongoing – Airtime subsidies are being actively provided for Pointrek devices as of provided for STELINA and eLogbook devices for first movers under coordination with MMAF and partnership agreement with AP2HI/IPNLF.
ID 3.6	Support the inclusiveness small-scale fishers in the Northern Sulawesi in the use of eCDT through the adoption of effective technology including training and socialization for scaling	Training, partnership	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Ongoing – USAID Oceans continues to pilot eCDT technologies, Trafiz, STELINA, and eLogbook with first movers (small scale suppliers, captains and processor) and regularly monitor data submitted for program M&E reporting.
ID 3.7	Support the development, testing, and implementation of downstream traceability (STELINA) for national eCDT system use via MMAF	Partnership, subcontract	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Complete – USAID Oceans continued its support to MMAF in STELINA and eLogbook optimization, piloting, and user capacity building. The last evaluation, training and devices handover of STELINA and eLogbook held in August 2019.
ID 3.8	Provide technological support for national and local eCDT data exchange and use within MMAF Fisheries Operation Centers	Partnership, subcontract	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Complete – USAID Oceans coordinated with MMAF Directorates, AP2HI, and IPNLF to support MMAF's eLogbook initiative with FishMon Centers at both MMAF office Jakarta and PPS Bitung office, and to support MMAF's STELINA initiative with Control Room at MMAF office in Jakarta.
ID 3.9	Partner with MMAF to support the socialization of national STELINA system with relevant stakeholders in Bitung/Manado and other regions	Partnership, subcontract	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Complete – USAID Oceans socialized STELINA system to relevant stakeholders in Bitung/Manado during events in June, July and August 2019. A FishMon Center ribbon cutting ceremony is planned for early Year Five to further socialize.
ID4: Develop Fisheries Management Plans							
ID 4.1	Conduct rapid RAFMS within targeted FMA (WPP) 716 fishery supply chains	STTA, workshop	Completed Y2				Complete.
ID 4.2	Develop SFMP for WPP 716 in consultation with MMAF and relevant stakeholders	STTA, workshop	Completed Y3				Complete.
ID 4.3	Socialize and finalize proposed SFMP draft for WPP 716 in consultation with MMAF and Provincial Government Offices	STTA, Workshop	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			Complete.

ID 4.4	Support regulatory implementation of endorsed WPP 716 SFMP	Meetings			✓	✓	Complete – Final reviewed EAFM Plan completed and shared with MMAF in August 2019. On August 16, USAID Oceans formally submitted the USAID-approved SFMP to MMAF.
ID 4.5	Monitor WPP 716 SFMP implementation	Meetings			X		Pending. Consultation with national/local stakeholders will be conducted as part of the SFMP hand-over in November.
ID 4.6	Demonstrate use of eCDT data to improve fisheries management decision making and strengthen fish stock assessment efforts	Grant	✓	✓	✓	✓	Ongoing – Grant awarded to MDPI in July 2019. Grant inception workshop was held in May 2019 and workshop report submitted to USAID Oceans in September.
ID 4.7	Consult with stakeholders and conduct training on the use of eCDT data for improved fisheries management decision making	Training, stakeholder engagement		✓		✓	Ongoing – USAID Oceans held an eCDT interconnectivity workshop in April in Bali and EAFM Grant Inception Workshop in May in Manado. USAID Oceans will continue to support discussions and planning including training in Year 5.
ID5: Integrate Fair Labor and Gender Equity Considerations at the Regional Level							
ID 5.1	Conduct in-depth gender analysis within Bitung/Manado fisheries	Subcontract	Completed Y2			Complete. USAID Oceans continues to disseminate results, including methodologies and recommendation.	
ID 5.2	Conduct in-depth labor studies within Bitung/Manado fishery chains	Subcontract	Completed Y2			Complete. USAID Oceans continues to disseminate results, including methodologies and recommendation.	
ID 5.3	Capacity building and training on relevant gender topics to raise awareness and strengthen the role of women in national and local fisheries management	Workshop, training				Moved to ID5.5.	
ID 5.4	Implement gender interventions through a grant on “Raising Awareness of Gender Equity and Women’s Empowerment in Fisheries Management in Bitung, North Sulawesi, Indonesia”	Grant		✓	✓	Ongoing – USAID Oceans will complete the intervention activities directly, with support of local partners and the addition of a Program Assistant Gender Activities. The program held an inception workshop and a gender concepts training in Bitung/Manado in August 2019. Activities are fully underway.	
ID 5.5	Conduct trainings on relevant human welfare issues to raise awareness and address human welfare needs in national and local fisheries	Training, STTA		✓	✓	✓	Ongoing – In June, USAID Oceans supported a capacity building event for local fisherwomen and women fish suppliers in close collaboration with the CTI-CFF Regional Secretariat, District Government, and MMAF in Bitung. Additional activity plans will be developed from the workshop’s recommendations, particularly on women’s access to fisher registration. In August, USAID Oceans conducted a financial literacy and management training to women in fisheries, in collaboration with USAID INVEST, Municipal Fisheries Organization, SEAFDEC.
ID 5.6	Hand-over of USAID Oceans Human Welfare and Gender Study to appropriate actors (Indonesia-based organization/institution)	External comms	✓				Complete.

Expansion Site Activities

ID	Activity	Activity Category	Q1	Q2	Q3	Q4	Notes on Progress and Completion
EXI: Expansion Sites (Thailand, Malaysia)							
EX I.1	CROSS-CUTTING – Conduct Songkhla, Thailand expansion site Stakeholder Consultation Workshop	Workshop	Completed Y2				Complete.
EX I.2	CROSS-CUTTING – Conduct Kelantan, Malaysia expansion site Stakeholder Consultation Workshop	Workshop	Completed Y3				Complete.
EX I.3	CROSS-CUTTING – SEAFDEC support provided to TWG reps from expansion countries to national/site level training and workshops	Workshop, training	✓	✓	✓	✓	Ongoing.
EX I.4	CDT – Test application of Trafiz eCDT software in Thailand to enhance national eCDT system and provide technical assistance	Learning exchange		✓	✓	✓	Ongoing – USAID Oceans held an eCDT Workshop with Thailand Department of Fisheries in May, where Trafiz and other eCDT technology was presented. USAID Oceans is in continued discussions with Thailand and relevant private sector partners to advance potential implementation.
EX I.5	CDT – Conduct Malaysia validation workshop to support eACDS implementation roadmap development & provide technical assistance	Workshop	✓				Complete. Validation Workshop was held on October 8, 2018.
EX I.6	CDT – Develop and test on-board eCDT technology with Thai Union fishing vessels for at-sea data capture (supply chain traceability)	Partnership	Completed Y3				Complete.
EX I.7	CDT – Provide software, training, and documentation on data exchange server functionality to SEAFDEC for eACDS	STTA, training	✓	✓	✓	✓	Ongoing – USAID Oceans continued eACDS support, with an STTA consultant brought on board to facilitate progress with the Vietnam Directorate of Fisheries, and procurement support provided for Vietnam pilot.
EX I.8	PPP – In partnership with CTIP, support activities relating to the assessment of technology for connectivity at sea by providing expertise, high-level recommendations and facilitating connections to the relevant technology companies in the fishing industry	Partnership	✓	✓	✓	✓	Complete. USAID Oceans provided technical support to CTIP and Mars Petcare to conduct a Thailand technological assessment, which was completed in Q4.
EX I.9	PPP – Conduct Malaysia Private Sector Partnership Appraisal	STTA, Partnership	✓	✓			Complete.
EX I.10	HW – Facilitate the regional networking and recognition of women leaders in fisheries promoting human welfare and gender equity	Stakeholder engagement	✓	✓	✓	✓	Ongoing – Networking activities were conducted informally by virtual communications, and formally during the June WLF dinner meeting in Timor-Leste, especially with Malaysia NCC

							representatives. USAID Oceans continues to work with partners to identify opportunities, especially for identification and recognition of women leaders. Women leaders from Malaysia have been identified and recognition will be during the Gender training in November.	
EX 1.11	HW – Provide in-country training on gender sensitivity/equity and human welfare tools in Thailand and Malaysia, as per country request	Workshop, training		✓	✓	✓	Ongoing – USAID Oceans will organize the gender training as requested by University Terengganu Malaysia in November, to be attended by Malaysian Fisheries officers, academe and civil society, and WLF Focal Persons from CT6 Pacific.	
EX 2: Expansion Sites (Vietnam, Myanmar, Cambodia, Laos, Brunei; CTI: Timor Leste, Papua New Guinea, Solomon Islands)								
EX 2.1	CROSS-CUTTING – Support SEAFDEC or CTI-CFF led eCDT exchanges/study tours between expansion II sites (Mekong region; non-ASEAN CTI member countries) and USAID Oceans learning sites (Bitung/Manado; General Santos)	Learning exchange		✓	✓	✓	Ongoing – USAID Oceans continues to support regional learning exchanges and accepts requests for support from its regional counterparts.	
EX 2.2	CROSS-CUTTING – SEAFDEC support provided to TWG reps from expansion countries to national/site level training and workshops	Workshop, training		✓	✓	✓	✓	Ongoing.
EX 2.3	CDT – Bundled technology solutions, software, guidance, and technical specifications for eCDT systems	Capstone product		✓	✓	✓	✓	Ongoing – USAID Oceans launched its <i>Traceability Solutions eCDT booklet</i> , a <i>Trafiz Product Guide</i> , and continues to document technical guidance through RG1.5.
EX 2.4	CDT – Support SEAFDEC design of Vietnam eACDS implementation and roadmap development	Workshop support		✓	✓	✓	✓	Ongoing – USAID Oceans supported staffing, hardware procurement, workshops, and technical guidance.
EX 2.5	CDT – Support validation of Vietnam CDT gaps; provide technical assistance to support Vietnam eACDS roadmap implementation	Workshop		✓	✓	✓	✓	Ongoing – USAID Oceans supported staffing, hardware procurement, workshops, and technical guidance.
EX 2.6	HW – Facilitate the regional networking and recognition of women leaders in fisheries promoting human welfare and gender equity	Stakeholder engagement		✓	✓	✓	✓	Ongoing – USAID Oceans continued to share information and references virtually and also held events such as EX 2.7 (training with Mekong countries) and RG 5.3 (June WLF Dinner Meeting). USAID Oceans continued to work with partners to identify opportunities for their own capacity building and professional development.
EX 2.7	HW – Provide in-country training on gender sensitivity/equity and human welfare tools in Mekong (Expansion II) countries/sites, as per member country request and SEAFDEC-led/organized events	Engagement		✓	✓	✓		Ongoing – USAID Oceans supported Lao PDR for a regional training on gender analysis planning and related field work. For the CT6 Pacific countries, WLF Focal Persons will be invited to participate in Activity EX1.11 in Malaysia in November.

Partner Activities and Coordination

ID	Activity	Activity Category	Q1	Q2	Q3	Q4	Notes on Progress and Completion
CTI-CFF Grant Activities							
CTI 1	Conduct CTI-CFF/USAID Inception Workshop: Building-Up A Regional CDT System and Advancing Fisheries Management for Strengthening Food Security in Coral Triangle Region	SOACAP-IFM Activity 1.1	Completed Y2			Complete.	
CTI 2	Conduct CTI-CFF Public Private Partnership (PPP) Preparation and Expert Consultation Meeting on the Design and Arrangement for Private Sector Engagement in CT6 Member Countries	SOACAP-IFM Activity 2.1	Completed Y3			Complete.	
CTI 3	Conduct Learning Exchange for Coral Triangle Member Countries to the USAID Oceans Learning Site (Bitung, Indonesia) regarding the Application CDT Systems for Fisheries and Seafood Products	SOACAP-IFM Activity 1.2	Completed Y3			Complete.	
CTI 4	Conduct a Regional Workshop (Sulu-Sulawesi Convergence Meeting) with GIZ to Review the Sulu-Sulawesi Seas EAFM Plan in support of the CTI-CFF Seascapes and EAFM TWG's pre-SOM	SOACAP-IFM Activity 1.3	Completed Y3			Complete.	
CTI 5	Planning meeting for the establishment Regional Scientific Advisory Group (SAG) meeting relating to EAFM	SOACAP-IFM Activity 1.4	N/A			Cancelled. Activity no longer applicable as originally proposed within CTI-CFF FY19 Work Plan, due to the updating and modification of regional priorities (May 2019) and finalization of the updated RPOA (March through June 2019).	
CTI 6	Conduct series of consultative visits (study tours) by CT6 member countries at USAID Oceans learning sites relating to eCDT and EAFM implementation	SOACAP-IFM Activity 1.5			✓		Complete. Activity completed as CTI-CFF held a consultative workshop (in lieu of study tour series) during July 2019 in Dili, Timor-Leste in partnership with USAID Oceans.
CTI 7	Conduct CTI-CFF PPP Forum on Sustainable Fisheries Management to Strengthen CT6 Member Country Private Sector Engagement on eCDT and Leverage the Economic Value of National Seafood Products	SOACAP-IFM Activity 2.2	N/A			Cancelled. Activity no longer applicable as originally proposed within CTI-CFF FY19 Work Plan, due to the updating and modification of regional priorities (May 2019), and the finalization of the updated RPOA (March through June 2019).	
NOAA Coordination							
NOAA 1	Coordination of NOAA-led Socialization Meetings in ASEAN relating to U.S. Seafood Import Monitoring Program (SIMP) Requirements	NOAA/AID Activity 1	✓	✓	✓	✓	On-going.

NOAA 2	Coordination of NOAA engagement with USAID Oceans on eCDT, including as a (regional) Technical Working Group member	NOAA/AID Activity 2				X	Delayed. At the request of SEAFDEC, the final TWG Meeting has been postponed to Q1 of Y5 and will focus on the review and finalization of the Regional eCDT Technical Guidance document collaboratively prepared by SEAFDEC and TWG member countries during Y4. NOAA's participation and contributions at the forthcoming event were formally invited.
NOAA 3	Coordination of NOAA-led Port State Measures Agreement training and capacity building activities with ASEAN member countries	NOAA/AID Activity 3	✓	✓	✓	✓	On-going.
NOAA 4	Cooperation with NOAA on the testing of learning site eCDT data integration with Fisheries Management Decision Support Systems via the FishPath Application	NOAA/AID Activity 4		✓	✓	✓	USAID Oceans suggested and coordinated with NOAA on their participation in the April 2019 12 th Asian Fisheries and Aquaculture Forum, where NOAA hosted a session on FishPath. NOAA also presented FishPath to CTI member countries at the June CTI-CFF/USAID workshops held in Dili, Timor-Leste.
NOAA 5	Coordination of NOAA-led regional fisheries management needs assessment and training workshops provided for SEAFDEC	NOAA/AID Activity 5		✓	✓	✓	Regional fisheries management and EAFM activities conducted by NOAA with SEAFDEC independent of coordination or contributions from USAID Oceans. In Q3, USAID Oceans participated in relevant EAFM technical workshops, as invited.
NOAA 6	Coordination of NOAA-led EAFM regional support activities provided for SEAFDEC, including <i>Essential EAFM</i> curricula revision and <i>Applied EAFM Toolkit</i> writeshops and pilot testing	NOAA/AID Activity 6		✓	✓	✓	Complete. Regional fisheries management and EAFM activities conducted by NOAA with SEAFDEC independent of coordination or contributions from USAID Oceans. In Q3, USAID Oceans participated in relevant EAFM technical workshops, as invited. On 10-12 September, USAID Oceans provided technical support to the NOAA/SEAFDEC Learning Exchange in Iloilo City, Philippines.
NOAA 7	Coordination support provided to NOAA Program staff for their effectively administration and management of mission support partnership activities between NOAA and USAID/RDMA	NOAA/AID Activity 7		✓	✓	✓	USAID Oceans and NOAA held monthly coordination meetings during Y4.
CTIP Activities and Coordination (USAID Asia Counter Trafficking in Persons Project; via coordination with Winrock International and Resonance)							
CTIP 1	Support USAID Asia CTIP on their partnership with Mars Petcare to assess the feasibility and cost of various connectivity technologies for use by fishing crews at sea, with private sector partners	CTIP/Oceans Activity 1	✓	✓	✓	✓	Complete. USAID Oceans provided technical support to CTIP and its consultants during the technology assessment.
CTIP 2	With USAID Asia CTIP, co-author a white paper with USAID CTIP Asia illustrating the relationship between fisheries	CTIP/Oceans Activity 2	X	X	X	X	Cancelled – In place of this activity, USAID Oceans and CTIP are prioritizing Activity CTIP 1 to ensure its success.

	sustainability, labor demands, and working conditions for regional fisheries stakeholders						
CTIP 3	In partnership with CTIP Asia, explore the opportunity for implementing and testing iRespond biometric technology with private fishing company partners at learning sites as a high-value ‘add on’ technology in addressing human welfare concerns	CTIP/Oceans Activity 3	X	X	X	X	Cancelled – In place of this activity, USAID Oceans and CTIP are prioritizing Activity CTIP I to ensure its success.
CTIP 4	In partnership with CTIP Asia, co-design and plan a regional Human Welfare Forum event to promote outreach and reform within the fishing industry and national stakeholders throughout ASEAN	CTIP/Oceans Activity 4			X	X	Cancelled – In place of this activity, USAID Oceans and CTIP are prioritizing Activity CTIP I to ensure its success.

Administrative and Operational Activities

ID	Activity	Activity Category	Q1	Q2	Q3	Q4	Notes on Progress and Completion
AO1 – Work Planning							
AO1.1	Finalize Year 4 Work Plan; submit to USAID for approval	Planning	✓	✓			Complete. USAID Oceans submitted its Year Four Work Plan, as scheduled, on October 5, 2018. Following submission USAID Oceans worked closely with USAID/RDMA to review the proposed plan, with additional information submitted on select activities on November 21. The final work plan was submitted in early Q2 to incorporate USAID-requested revisions.
AO1.2	Convene team work planning workshop to develop Year 5 Work Plan; obtain USAID, SEAFDEC, CTI, and Oceans TWG membership inputs	Workshop, Planning			✓	✓	Complete. USAID Oceans submitted the Year Five Work Plan ahead of the year's end.
AO1.3	Finalize Year 3 Annual Report; submit to USAID for approval	Reporting	✓				Complete. Annual Report submitted to USAID/RDMA on October 31, 2018.
AO1.4	Prepare Year 4 Quarterly Reports; submit to USAID for acceptance	Reporting	✓	✓	✓	✓	Complete. All quarterly reports were submitted accordingly to their deadlines.
AO1.5	Prepare Bi-weekly Bulleted Updates of activity progress (twice monthly); submit to USAID	Reporting	✓	✓	✓	✓	Ongoing.
AO2 – Monitoring & Evaluation							
AO2.1	Compile and review monitoring data	Reporting	✓	✓	✓	✓	Ongoing.

AO 2.2	Conduct M&E Orientation and Data Quality Assessment Workshop with Gender Grantees with support from Oceans technical leads	Workshop and reporting	X	X	✓	✓	Ongoing – Provided online mentoring where needed when grantee submitting the report and supporting documents.
AO 2.3	Conduct M&E Orientation and Data Quality Assessment Workshop with EAFM Grantees with support from Oceans technical leads	Workshop and reporting		X		✓	Ongoing – USAID Oceans' M&E Specialist met with MSUNFSTDI representative during field data collection of Final Internal Evaluation in September 2019 and provided brief orientation in reporting the indicators as required in grant agreement.
AO 2.4	Conduct baseline CDT use surveys with outreach documentation within fishery supply chains at both learning sites	Reporting	✓				Complete. Baseline surveys completed and analyzed in September, October 2018.
AO 2.5	Conduct self-administered questionnaire stakeholder surveys regarding reported rates of eCDT "Adoption" at both learning sites	Reporting		✓	✓	✓	Completed self-administered questionnaire for quantitative approach to measure rate of eCDT adoption. Also completed KIIs in both learning sites for Final Internal Evaluation in September. In the process of data analysis and preparation of final report, anticipating to complete final report by Q1 of FY20.
AO 2.6	Conduct benefit and impact surveys of eCDT system adoption with partners at both learning sites	Impact Assessment		✓	✓	✓	
AO 2.7	Conduct structured interviews with key informants regarding eCDT "Adoption" experiences and lessons learned at both learning sites	Reporting		✓	✓	✓	

ANNEX IV. MONITORING & EVALUATION MATRIX

Results	Indicators	FY2019		Cumulative Total (FY16-19)	LOA Target
		Target	Achieved		
Marine Ecosystems Maintained	1. Number of hectares of biologically significant areas under improved natural resource management as a result of USG assistance (EG.10.2-2)	62.3M	102.2M	102.2M	62.3M
R1 .Amount of illegal fish entering regulated markets is reduced	2. Number of CDTs-secured seafood units (metric ton) purchased (Custom)	16	1946.2	1949	24
R2. Industry self regulates to keep illegal products out of commerce	3. No. of stakeholders participating in and submitting data voluntarily to the CTDS (Custom)	12	9	55	38
Adequate use of CDTS/ACDS					
IR.1 CDTS/ACDS implemented in selected learning sites in the Asia-Pacific region by 2020.					
I.1 CDTS components and functionality demonstrated	4. Number of CTE transactions submitted into the CTDS by targeted stakeholders (Custom)	13,000	1,070,462	1,070,502	15,000
I.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%	90%	90%	60%
Adequate National & Local Fisheries Governance					
IR 2 .Improved fisheries management Asia Pacific selected countries by 2020					
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 PMI)	5	6	7	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	4	5	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-I)	4	3	3	4
Regional Capacity and Cooperation					
IR 3 .Strengthened regional capacity to support CDTS, PPP, and EAFM					
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)	4	0	0	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)	204	542	1,733	1,395
	EAFM CDT	37 167	267 275	883 850	653 742
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)	2.6M	2.0M	3.44M	4M
3.4 Regional, national, and local stakeholders engaged and committed to CDTS, PPP, and EAFM	12. Number of new USG-supported PPPs formed (Custom)	4	2	12	14

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"> • GFTC <p>Supporting: Gordon and Betty Moore Foundation and 17 sponsors.</p>	<ul style="list-style-type: none"> – 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. – Advise on global data and traceability standards, including standards organizations. – Collaborate on the implementation of two CDT demonstrations by providing recommendations on the communications standards approach. – Monitoring and evaluating the capturing, storing, sharing and assessing CTEs and KDEs along the two demonstrations supply chains. – 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. 	<ul style="list-style-type: none"> – CDT system designed that meets the requirements of multiple commercial industry players and value chains. – CDT system developed that uses traceability standards and data exchange approach aligned with global markets – Evaluation and improvement of the CDT design and deployment leading to improved system. – 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 	<p>Partnership completed</p>	<p>Documented leverage of \$49,768</p>
<p>North American buyer and NGO alliance to support traceability and sustainable fisheries in Asia Pacific</p> <ul style="list-style-type: none"> • Seafood Watch <p>Food Service Roundtable and other Seafood Watch buyer and NGO partners in North America market</p>	<ul style="list-style-type: none"> – 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. – Seafood Watch will use its robust communications platform to promote awareness on the implementation of CDT. – Link the Seafood Watch standards with the CDT system and sustainable fisheries management programs in the demonstration sites. – 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. 	<ul style="list-style-type: none"> – Seafood industry partnerships and key stakeholder awareness built in the North American seafood market to support the CDT system – Market-driven approaches improving transparency in complex, international seafood supply chains. – 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 	<ul style="list-style-type: none"> – August 2016 - now – Indonesia, Philippines Workshops conducted in February 2018 – Provided technical support to Seafood Technology Workshop in October 2018 	<ul style="list-style-type: none"> – Documented leverage of \$83,735

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
Technical advisory group partnership to develop the CDT system Partners: Future of Fish, GFTC, Marine Stewardship Council, Fishwise, Monterey Bay Aquarium Seafood Watch, WWF, International Sustainable Seafood Foundation, Catapult, MDPI and Thai Union	<ul style="list-style-type: none"> – TAG focused on supporting the CDT component of the project. – Represent a diversity of key CDT-related technical skill sets and knowledge bases that are not sufficiently represented within the USAID Oceans team. – Provide technical expertise in the design, testing, and implementation of the electronic CDT system. – Support CDT demonstration site testing and implementation process; expansion site strategy; and support USAID Oceans learning, adaptation, and scaling of the CDT strategy. 	<ul style="list-style-type: none"> – CDT strategy and roadmap development accelerated. – Credibility of the CDT system with key stakeholders, including thought leaders and industry partners. – 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. 	<ul style="list-style-type: none"> – Formed officially in September 2016 – Partnership completed – TAG has provided inputs to USAID Oceans' CDT 101, 201, and KDE Manual 	<ul style="list-style-type: none"> – Documented leverage of \$8,250
CDT System Design Partnership • Future of Fish Supporting: Walton Foundation and Gordon and Betty Moore Foundation and technology/traceability companies.	<ul style="list-style-type: none"> – 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. – Draft and complete identified sections of the CDT201 document, and design document for the data exchange server prototype. – Communicate with the technology vendors for feedback on the current architecture and how it can be adopted, including roadblocks to adoption. – 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. 	<ul style="list-style-type: none"> – Understand the pathway to and increase industry adoption CDTS understanding value propositions, providing evidence for Return on Investment – Provide critical insight and data needed to secure buy-in from the seafood supply chain, to support the development of the CDT deployment models – Set the stage and accelerate the development and deployment of scalable, full-chain CDT systems 	<ul style="list-style-type: none"> – Partnership completed 	<ul style="list-style-type: none"> – Documented leverage of \$100,287

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
<p>Indonesia Coastal Tuna Traceability Alliance (ICTTA), Phase I</p> <ul style="list-style-type: none"> • Marine Change (PT Konsultasi Investasi Kelautan) and MDPI <p>Supporting: Asosiasi Perikanan Pole & Line dan Handline Indonesia (AP2HI), IPNLF and Future of Fish</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"> – 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. – Identify CTE and KDEs throughout value chain that will meet priority export markets. – Conduct End User Value Proposition for Adopting CDT Technology in Indonesia – Conduct initial interviews with in-direct users of CDT technology and understand the value proposition (i.e. telecommunication companies, financial services). 	<ul style="list-style-type: none"> – 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. – 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. – Identify the priority end-markets for Indonesia tuna. – Develop the concept around ICTSA and outline strategy and planned activities for the coming 2-3 years. 	<ul style="list-style-type: none"> – Partnership completed – Marine Change is implementing ICTSA subcontract to formalize Alliance and develop clear implementation strategies 	<ul style="list-style-type: none"> – Documented leverage of \$91,200

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
<p>Technical Partnership Concept - Testing Electronic CDT</p> <ul style="list-style-type: none"> • Thai Union Others: Mars Petcare, Department of Fisheries Thailand 	<p>Possible technical areas for collaboration include:</p> <ul style="list-style-type: none"> - Industry dialogue on CDT - Government engagement: Facilitate public-private collaboration to support the implementation of USAID Oceans activities - 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 - 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 - Expansion and replication of the CDT system: Identify and support the expansion of CDT system to other high priority fisheries and seafood supply chains - 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 	<ul style="list-style-type: none"> - Establish a CDT system to combat IUU fishing and seafood fraud - Promote sustainable fisheries management to conserve marine biodiversity - Form and strengthen partnerships among governments, regional institutions and industry to improve transparency in seafood supply chains - Integrate and address key social and community issues such as gender, labor and safety at sea in target fisheries 	<ul style="list-style-type: none"> - Memorandum of Understanding signed in March 2017 and effective until May 13, 2020 - Pilot in Southern Thailand implemented for five months in Year Two - Assessment of pilot completed in Year Three, Q2 	<ul style="list-style-type: none"> - Documented leverage of \$400,000 from Thai Union - Documented leverage of \$34,724 from Marine Change for the pilot assessment

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
<p>CDT Regional innovation and Partnership Platform</p> <ul style="list-style-type: none"> • World Ocean Council (WOC) 	<ul style="list-style-type: none"> – Task 1: Coordinate with USAID Oceans to plan and deliver a panel session at the Sustainable Ocean Summit in 2016 – 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 – 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 – 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. – Task 5: Conduct the outreach and recruiting of the key companies and organizations; – 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. – 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. 	<ul style="list-style-type: none"> – 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. – 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. – 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. 	<ul style="list-style-type: none"> – Partnership completed 	<ul style="list-style-type: none"> – Documented leverage of \$16,045

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
<p>Explore a Financing Vehicle to Scale CDT in Indonesia Fisheries</p> <ul style="list-style-type: none"> • ADM Capital Foundation 	<ul style="list-style-type: none"> – 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. – 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. – 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. – Offer growth management and financial intelligence to innovative Indonesian traceability service providers that can support the CDT system development and implementation. 	<ul style="list-style-type: none"> – 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. – Engage selected CDT service providers to develop and deploy at scale technology that meets USAID Oceans, MMAF and other partners' objectives and requirements. – Engage end markets on reducing market barriers due to the implementation of CDT for small-scale fisheries within Indonesia. – Work on improving the value proposition across the nodes of the seafood supply chains for greater adoption of traceability and CDT technology. 	<ul style="list-style-type: none"> – Partnership concept signed January 18, 2017 – Partnership completed – Midterm Partnership Review results suggest USAID Oceans wait until eCDT piloting is fully in place to continue with this partnership 	

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"> • IPNLF 	<ul style="list-style-type: none"> – 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. – Work with AP2HI to raise awareness on USAID Oceans and the role of CDT, and strengthen communication and outreach to the tuna industry – 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. – Coordinate policy work and support AP2HI engagement with the Indonesian government to streamline existing catch documentation and certification process. – 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 – Promote the ICTSA to IPNLF members and other partners as a forum for strengthened cooperation in the tuna industry in Indonesia. 	<ul style="list-style-type: none"> – Build buy-in from the market, get input on future and current market requirements, and help align field and market aspirations on CDT – Promote and outreach through IPNLF members and networks the importance of the partnership – Strengthen IPNLF's capacity in Indonesia to provide technical support to AP2HI and ICTSA in support of CDT system implementation – Strengthening AP2HI's human and institutional capacity – Policy coordination by working with the Indonesia government – Testing improvements in catch documentation procedures at landing sites (such as Bitung) where AP2HI members operate to address IUU fishing – Build seafood industry partnerships and PPP through collaborations with IPNLF members 	<ul style="list-style-type: none"> – March 2017 - 2019 – USAID Oceans is subcontracting Marine Change to establish the Indonesia Coastal Tuna Sustainability Alliance platform to scale CDT work in Indonesia. 	<ul style="list-style-type: none"> – Documented leverage of \$435,767 – Estimated total leverage of \$608,804 through life of activity

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
Demonstration and expansion of electronic CDT on fishing vessels at-sea • Inmarsat Global Limited	<p>Indonesia</p> <ul style="list-style-type: none"> – Selection and Recruitment of Fishing Vessel Participants – Hardware and devices provision for tuna fishing vessels in Bitung and MMAF Office at Bitung Port. – Improving eLogbook application, commercial control room application – Integration and Interoperability with MMAF systems – Develop a sustainability business model and roadmap to scale CDT <p>Thailand</p> <ul style="list-style-type: none"> – Collaborate on testing CDT and worker voice through FleetOne on fishing vessels in Thailand with Thai Union – Integration and Interoperability with DOF Thailand Traceability and Port-in-Port Out Systems – Support industry initiatives to address Labor Compliance – Develop a sustainability business model and a roadmap to scale the CDT and worker voice <p>Regional</p> <ul style="list-style-type: none"> – Improving crew communication and labor reporting applications available on Inmarsat – Regional expansion and replication of an integrated CDT solution to other countries in Southeast Asia 	<ul style="list-style-type: none"> – Demonstrate integrated communications technology solution tested and deployed in Indonesia and Thailand – Enhance existing software and applications, including eLogbook, fleet management, crew communications – 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. – Develop a sustainable business model that will support a greater adoption of CDT – 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. 	<ul style="list-style-type: none"> – August 2017 - 2019 – Indonesia – installed hardware in Bitung in Q3, Year Three 	<ul style="list-style-type: none"> – Documented leverage of \$479,076.22

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> <ul style="list-style-type: none"> • FAME 	<ul style="list-style-type: none"> – Selection and recruitment of fishing vessel participants – Provision of hardware and devices for tuna fishing vessels in General Santos – Develop and enhance eLogbook application – Customization of FAME dashboard – Integration and interoperability with BFAR CDT and other systems – Improving crew communication and labor reporting applications available – Sharing Lessons Learned 	<ul style="list-style-type: none"> – 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. – Enhance existing software and applications, including eLogbook, fleet management, crew communications – Implement CDT solution on the fishing vessel. – Improve safety and quality of life for crew/workers on fishing vessels. – Develop scaling strategy for FAME solution in the Philippines and beyond. 	<ul style="list-style-type: none"> – March 2018-2020 – Exploring Phase 2 of the partnership via a subcontract 	<ul style="list-style-type: none"> – Documented leverage of \$67,407 from FAME – Estimated total leverage of \$75,000 through life of activity
<p>Support the testing of eLogbook in Indonesia</p> <ul style="list-style-type: none"> • IPNLF & Asosiasi Perikanan Pole & Lin dan Handline Indonesia (AP2HI) 	<ul style="list-style-type: none"> – Recruit fishing vessels above 10GT to participate; – Help provide up to 100 units of data collection devices; – Manage the hardware and software deployments; – Assign a dedicated point of contact for project management; provide and fund travel for a resource person that will participate during study, socialization, training and other public outreach activities; – Coordinate with MMAF, ICTSA, and other relevant counterparts to socialize partnership activities; – Jointly develop publication and media outreach materials; – Support the link of eLogbook to other traceability and supply chain management apps in seafood supply chains. – Create market interest to support the program; – Support the bolstering of AP2HI's financial and traceability model. 	<ul style="list-style-type: none"> – Recruit participants of the e-logbook; – Deploy, test, and demonstrate e-logbook on fishing vessels; – Support linking e-logbooks to other traceability technology in the seafood supply chain; – Support industry compliance and innovation to catch documentation schemes to be best in-practice for the region; – Support fishery objectives to achieve best in-practice eco-labels such as MSC certification; – Leverage data from onboard observers deployed on pole-and-line vessels in Bitung, to bolster eLogbook applications; 	<ul style="list-style-type: none"> – May 2019-2020 	<ul style="list-style-type: none"> – Estimated total leverage of \$29,000 through life of activity

Partners	Roles and Contribution	Goals and Objectives	Timeline and Status	Leveraged Funds
<p>eCDT Testing in Bitung</p> <ul style="list-style-type: none"> • PT Nutrindo Fresfood Internasional (Nutrindo) 	<ul style="list-style-type: none"> – Implement TraceTales and Trafiz along its supply chain by providing any required resources; – Provide feedback to both USAID Oceans and MDPI on the implementation progress; – Designate one staff as a project coordinator and “point of contact” person; – Procure additional hardware and software for TraceTales’ implementation which are not covered under the USAID Oceans-MDPI subcontract; – Support the full chain of traceability from point of catch to market (export) including from Pointrek and Trafiz to TraceTales; – Assist USAID Oceans (via MDPI) in documenting USAID Oceans M&E indicators; and – Share and participate in national and regional learning activities and opportunities, as schedule and availability permit. 	<ul style="list-style-type: none"> – To implement TraceTales in Nutrindo’s processing plant in Bitung, including connecting TraceTales system to Trafiz and Pointrek; – To support and incentivize Nutrindo’s suppliers to use the Trafiz application; and – To assist USAID Oceans in documenting eCDT achievements. 	<ul style="list-style-type: none"> – Q4 to end of project – USAID Oceans is subcontracting MDPI to implement work in the Nutrindo supply chain. Expected start date is August 1, 2019 	<ul style="list-style-type: none"> – Estimated total leverage of \$45,000 through life of activity

ANNEX VI. FY 2019 DELIVERABLES

Deliverable	Date
Year Four Work Plan	October 5, 2018
Gender Research in Fisheries and Aquaculture: A Training Guide	October 9, 2018
FY18 (Year Three) Annual Progress Report	October 31, 2018
Malaysia CDT Gap Analysis and Partnership Appraisal (Version 2, <i>final</i>)	November 13, 2018
Sulu-Sulawesi Sub-Regional EAFM Plan (<i>final</i>)	November 29, 2018
Scaling a Sub-Regional EAFM Plan	December 6, 2018
FY18 Trip Reports (RFA 18-54, 55, 58, 60, 61, 63, 66; 19-02, 03)	December 14, 2018
Philippines and Indonesia Gender, Labor Analyses (<i>final clearance</i>)	December 14, 2018
USAID Oceans Monitoring & Evaluation Plan (<i>revised</i>)	December 14, 2018
Seafood Watch Workshop Report	December 19, 2018
Scaling a Sub-Regional EAFM Plan (<i>revised</i>)	December 28, 2018
Malaysia CDT Gap Analysis and Partnership Appraisal (Version 2, <i>final</i>)	January 2, 2019
USAID Oceans eCDT Technology Overview Brochure	January 22, 2019
FY18 Trip Reports (RFA 18-57, 59, 64; 19-07)	January 23, 2019
FY19 Q1 Quarterly Progress Report	January 31, 2019
Assessing Fisheries in a New Era: Extended Guidance for RAFMS (<i>draft</i>)	March 13, 2019
Sustainable Fisheries Management Plan (SFMP) for Fisheries Management Area 716 (North Sulawesi, Indonesia)	March 27, 2019
SFMP for the Sarangani Bay and Sulawesi Sea (Region 12, Philippines)	March 29, 2019
Trafiz Product Guide	March 29, 2019
FY19 Quarter Two Progress Report	April 29, 2019
Trafiz Product Guide (<i>final</i>)	May 13, 2019
(3) Partnership Appraisal Reports: Malaysia, Vietnam, Thailand	June 7, 2019
Thailand CDT Gap Analysis Report	June 20, 2019
SFMP for the Sarangani Bay and the Sulawesi Sea for Indonesia (<i>resubmission for final approval</i>)	June 20, 2019
The Fisheries Annex to the SFMP for the Sarangani bay and the Sulawesi Sea, Region 12 Philippines (<i>resubmission for final approval</i>)	June 20, 2019
SFMP for the Sarangani Bay and the Sulawesi Sea, Region 12 Philippines (<i>resubmission for final approval</i>)	June 20, 2019
SFMP for the Sarangani Bay and the Sulawesi Sea for Indonesia; The Fisheries Annex to the SFMP for the Sarangani bay and the Sulawesi Sea, Region 12 Philippines; SFMP for the Sarangani bay and the Sulawesi Sea, Region 12 Philippines (<i>final versions</i>)	July 11, 2019
FY19 Quarter Three Progress Report	July 24, 2019
Thailand CDT Gap Analysis Report (<i>final</i>)	July 25, 2019
Activity Report: CTI-CFF Workshop on CDT System Design and Development Based on the Ecosystem Approach to Fisheries Management	August 1, 2019
Workshop Report: Workshop to Review Available eCDT Technology Solutions and Advance Regional Guidance for Fisheries Traceability – Dili, Timor-Leste	September 19, 2019
Partnership Appraisal Reports (Malaysia, Vietnam, Thailand) (<i>final</i>)	September 19, 2019
FY19 Trip Reports (RFA 19-01, 14, 15, 22, 24, 27, 33, 34, 28, 38, 43, 45, 46, 48, 51, 53, 54)	September 21, 2019
FY19 Trip Reports (RFA 19-13, 26, 35, 44, 62)	September 23, 2019
Technical Guidance on the Design and Implementation of eCDT Systems in Southeast Asia	September 30, 2019
Transformational Fisheries Development: Simplified Steps for Public Sector and Industry Engagement	September 30, 2019