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Transformational Fisheries Development



***Simplified Steps for Partnership
Development***

THE USAID OCEANS AND FISHERIES
PARTNERSHIP

ABOUT THE USAID OCEANS AND FISHERIES PARTNERSHIP



The USAID Oceans and Fisheries Partnership (USAID Oceans) is a five-year activity that works to strengthen regional cooperation to combat illegal, unreported, and unregulated (IUU) fishing and conserve marine biodiversity in the Asia-Pacific region. USAID Oceans is a partnership between the U.S. Agency for International Development (USAID), the Southeast Asian Fisheries Development Center (SEAFDEC), and the Coral Triangle Initiative for Coral Reefs, Fisheries and Food Security (CTI-CFF) that works with public and private sector partners across Southeast Asia to develop and implement electronic catch documentation and traceability systems, improve sustainable fisheries management using an ecosystem approach to fisheries management, address human welfare and gender equity concerns, and develop public-private partnerships in support of these efforts.

For more information, visit www.seafdec-oceanspartnership.org or contact info@oceans-partnership.org.

THE USAID OCEANS AND FISHERIES PARTNERSHIP Simplified Steps for Partnership Development

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The views expressed in this document do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

Illustrations by Donald Bason

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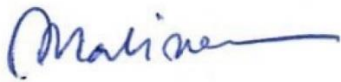
ACRONYMS AND ABBREVIATIONS

AP2HI	Asosiasi Perikanan Pole & Line dan Handline Indonesia (Indonesian Pole & Line and Handline Fisheries Association)
ASEAN	Association of Southeast Asian Nations
BFAR	Bureau of Fisheries and Aquatic Resources
BOGI	Blue Ocean Grace International
CDT	Catch Documentation and Traceability
COR	Contracting Officer's Representative
CSR	Corporate Social Responsibility
CTI-CFF	Coral Triangle Initiative on Coral Reefs Fisheries and Food Security
DOF	Department of Fisheries
DQA	Data Quality Assessment
EAFM	Ecosystem Approach to Fisheries Management
eCDT	Electronic Catch Documentation and Traceability
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
GDA	Global Development Alliance
GDST	Global Dialogue on Seafood Traceability
GFTC	Global Food Traceability Center
GSI	Global Standards One
IPNLF	International Pole & Line Foundation
IUU	Illegal, Unreported and Unregulated
KDE	Key Data Element
M&E	Monitoring and Evaluation
MDPI	Yayasan Masyarakat dan Perikanan Indonesia
MOU	Memorandum of Understanding
MSC	Marine Stewardship Council
MSUNFSTDI	Mindanao State University Naawan Foundation for Science and Technology Development, Inc.
NGO	Non-Government Organization
NOAA	U.S. National Oceanic and Atmospheric Administration
PPP	Public-Private Partnerships
RDMA	[USAID] Regional Development Mission for Asia
REO	[USAID] Regional Environment Office
RPA	Rapid Partnership Appraisal
SEAFDEC	Southeast Asian Fisheries Development Center
SFFAI	Socskargen Federation of Fishing and Allied Industries, Incorporated
SIMP	Seafood Import Monitoring Program
USAID	United States Agency for International Development
USAID Oceans	USAID Oceans and Fisheries Partnership
USD	US Dollar
VMS	Vessel Monitoring Systems
WWF	World Wide Fund for Nature

FOREWORD

To strengthen regional cooperation to combat illegal, unreported, and unregulated (IUU) fishing, promote sustainable fisheries, and conserve the marine biodiversity in the Asia-Pacific region, the U.S. Agency for International Development and the Southeast Asian Fisheries Development Center (SEAFDEC), have collaborated under the Oceans and Fisheries Partnership (USAID Oceans). USAID Oceans supports ASEAN Member States (AMS) to implement electronic catch documentation and traceability (eCDT) systems for fish and fishery products—also engaging the diverse groups involved along the supply chain, e.g. from catching at sea, landing at port, selling to buyers, transportation, processing, until the points of exportation/importation. Given the complexity of seafood supply chains and the establishment of traceability within them, industry engagement is critical to implementing an effective, robust eCDT system, and ultimately meeting regulatory and market requirements.

Accordingly, private sector engagement has been a core focus of the USAID Oceans program. The program's experiences in identifying potential high-value partners and implementing regional, national, and local partnerships to advance traceability has been a hallmark of the program and a key area of interest to AMS. This guide seeks to capture lessons learned from the program's implementation, both regionally and in its program learning sites, to provide further guidance to AMS seeking to more fully engage with private sector members for mutually beneficial, supportive partnerships. It is therefore the utmost desire of SEAFDEC, as regional partner of USAID, that this publication may support AMS partners in their journeys to full-scale, "bait to plate" electronic traceability, particularly eCDT practitioners working to deploy systems to ensure the sustainable utilization of fishery resources in the future.



Malinee Smithrithee
Secretary-General of SEAFDEC



CHAPTER I: INTRODUCTION

I.1 Overview

Southeast Asia is home to some of the world's richest fisheries that account for more than half of the world's marine capture fisheries production. However, illegal, unreported, and unregulated (IUU) fishing practices greatly threaten the region's marine resources and livelihoods. Most recent data indicate that annual losses attributed to IUU fishing in the Asia-Pacific region are estimated at 3.4 to 8.1 million tons of fish, valued at between 3.1 and 7.3 billion US Dollars per year. This is equivalent to roughly 7 to 16 percent of the reported 48 million tons of catch from the Pacific Ocean in recent years.¹ This devastation poses a grave threat to the food security and well-being of the region's more than 630 million people, as well as the global community, and requires coordinated fisheries management efforts that prioritize good governance, human well-being, and ecological resilience.

The USAID Oceans and Fisheries Partnership (USAID Oceans) was launched in 2015 to combat IUU fishing and conserve Southeast Asia's invaluable and unparalleled marine biodiversity. The program's approach is designed to achieve strengthened seafood traceability through electronic catch documentation and traceability (eCDT), advanced fisheries management planning through an ecosystem approach to fisheries management (EAFM), private sector engagement and public-private partnerships (PPPs), and improved human welfare and gender equity for a holistic approach to fisheries development. USAID Oceans supports the development of eCDT systems that engage private sector, government, and other partners to create fully-supported, mutually-beneficial, and sustainable systems that ensure that the region's fishery resources are legally caught and properly labeled.

USAID Oceans-supported eCDT systems enable key data elements (KDEs) to be captured and validated to verify a seafood product's legality and movement from "bait to plate;" that is, from the point of harvest, to buyers, processors, shippers, importers, distributors, and retailers that handle the product, all the way to the importer and end-consumer. To ensure successful and sustainable design, implementation, and scaling of eCDT systems, USAID Oceans engaged a variety of stakeholders involved in seafood industry as partners at the local, national, and international levels—including governments, regional institutions, seafood importers and processors, industry associations, fisher groups, technology and service providers, and non-profit or non-governmental organizations (NGOs).

USAID OCEANS defines eCDT as the ability to digitally record and share verifiable data and information related to a specific seafood product to demonstrate its legality and safety, with a transparent chain of custody throughout its movement in the supply chain. eCDT systems facilitate the collection and analysis of ecological, economic, and human-welfare data related to seafood products throughout the supply chain, from point-of-harvest to import into key markets.

SSG Advisors, LLC (d.b.a Resonance), a subcontracted partner organization, leads USAID Oceans' partnership efforts and has employed a series of tools and processes to identify high-value partners with the required resources, expertise, and motivation to achieve greater development and business impacts through collaboration. Drawing from this experience, USAID Oceans has developed this guide to provide its partners and other interested organizations with guidance on how to best engage the private sector and formalize high-impact partnerships.

Partnership Development Process

Shared value partnerships allow partners to share in the risks and rewards of co-created activities to achieve a common vision. Shared value partnerships are developed through two basic stages: the **design phase**, where

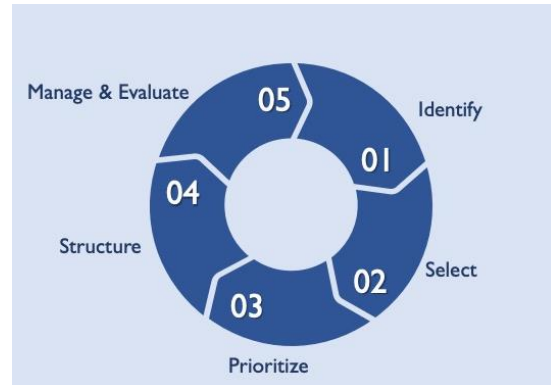
¹ Asia-Pacific Economic Cooperation, "Assessment of Impacts of Illegal, Unreported and Unregulated (IUU) Fishing in the Asia-Pacific," <https://www.apec.org/Publications/2008/11/Assessment-of-Impacts-of-Illegal-Unreported-and-Unregulated-IUU-Fishing-in-the-Asia-Pacific>, November 2008.

partnerships are identified, selected, and prioritized; and the **building phase** where partnerships are structured, managed, and evaluated (see Figure 1). In each stage, partners are encouraged to use a gender-integrated approach to ensure that the partnership development process is inclusive of women and men and that partnership impacts reduce, rather than contribute to, gender inequalities which are prevalent in the current environment. This document provides guidance on navigating the design and building stages, including real-world examples from USAID Oceans’ experiences.

During the design phase, practitioners:

- **Identify Opportunity** - Through a rapid partnership appraisal (RPA), practitioners begin by developing a problem or success statement to establish an understanding of what partnership success looks like. Then, a stakeholder map or list is developed to identify potential partners that fit the vision. Lastly, identified partners are interviewed to further explore the potential partnership.
- **Select** - Based on interview results, multiple partnership concepts are developed that align with both internal and the potential partners’ priorities and expectations.
- **Prioritize** - Partnership Prioritization Workshops are conducted to prioritize the partnership concepts that were developed in the previous stage. Each partnership concept is scored based on four priority criteria: development value, business value, government value, and risks and transaction costs. Partnership concepts that score highest are moved to the next phase.

Figure 1. Partnership Development Process



During the building phase, practitioners:

- **Structure** - Due diligence memos are developed for the highest value potential partnerships and further discussions are held with identified partners to agree on resource contributions and proposed activities, and to develop a partnership concept note to formalize the partnerships. Concept notes (covered in Chapter 3) will include an action plan to chart out the partnership timeline and schedule.
- **Manage and Evaluate** - To ensure the action plan is implemented on time and within budget, performance indicators are established, and their progress regularly reviewed.

It is important to note that partnership development process is continuous and repeats itself overtime. For example, the “Manage and Evaluate” step not only enables the partnership’s progress and successes to be monitored and determined, but also helps to decide whether the partnership should be altered, discontinued, or extended. In this case, the design phase is revisited to map out the next phase, scale ongoing activities, or revise previously agreed upon activities.

How to Use This Guide

USAID Oceans has developed this guide as a capacity building tool for its regional partners, including those from national and local government agencies, and other interested development and non-governmental organizations. The guide documents essential program knowledge and experiences to equip readers with the necessary skills and tools to undertake partnership development beyond the life of the USAID Oceans program. USAID Oceans hopes that this guide will benefit and support regional institutions in their work with their respective member countries, as well as those working in other regions beyond Southeast Asia.

This guide has been designed for use by beginner-level practitioners who are not familiar with private sector engagement and partnership development. Readers are encouraged to follow each stage of partnership development and employ the tools provided when considering engagements with private sector partners. USAID Oceans has applied each of the methodologies contained within this guide, which were developed by

its implementation partner, Resonance, since the program's start in 2015. In addition to its work with USAID Oceans, Resonance has engaged governments, NGOs, and companies in over 60 countries to build and scale more than 300 multi-sector partnerships since 2005.

1.2 Why Partnerships are Important

Climate change, environmental degradation, human rights, and food security are ever-present issues as the global population charges toward eight billion people. Complex global challenges extend beyond the jurisdiction of a single government, company, or NGO, creating the need for partnerships among businesses, governments, and non-profits to develop interconnected economic, environmental, and social solutions that achieve sustainable results for clients and stakeholders alike. Although effective, aligning the private sector and government around shared objectives can be a major challenge.

Over the last decade, companies and investors have become more engaged in development solutions, largely through corporate social responsibility (CSR) and philanthropy initiatives toward issues affecting their “neighborhood,” such as clean water, better roads, or more efficient energy sources. These initiatives almost always benefit at least some employees and their families directly, and by extension, the company. However, as the private sector has gained development experience, a shift has occurred toward development efforts that create both business value and social good, such as promoting gender and social equity, which generate business and economic value while addressing key environmental and social issues.

As the private sector has become more involved in shaping the global development agenda across a wide range of sectors—food security, energy, environment, human rights, and governance—a holistic approach to addressing emerging issues and challenges is required, with participation from members across sectors and organizations. Global companies in a variety of industries recognize that they cannot work in isolation and are turning to PPPs.²

Partnerships multiply development impacts by unlocking the strengths of multiple stakeholders and harnessing their comparative advantages—such as their convening power, local or regional networks and relationships, influence over policy and legislation, credibility, resources and funding, technical expertise and services, access to supply chains and markets, technology, technical knowledge, and capacity for increasing buy-in and marketing. Partnerships can also promote equity and non-exclusivity, when designed appropriately, including in the partnership-building stage where both women and men should be involved. Partnerships can offer value to both public and private sector partners, including industry members, government agencies, and local communities, while concurrently increasing the long-term sustainability of development initiatives.

Status of CDT Partnerships in Southeast Asia

When USAID Oceans was launched in 2015, the concept of electronic seafood traceability had already been established, but with few best practice models for countries to look to for guidance. Electronic traceability had been documented as the most effective and low-cost way to combat IUU fishing, but technology to facilitate

Why Partnerships?

- Increased Scale**
 - Reach more people and places
 - Amplified outcomes
- Replicability & Sustainability**
 - Spark continued investments
 - Long-term interests
- Improved Effectiveness**
 - Increased impact
 - Unlock funding, build resource synergies
 - Risk sharing
- Better Efficiency**
 - Faster
 - Less government/development funds required
- Systemic Change**
 - Sustained fundamental changes (e.g. enhanced connectivity and infrastructure, providing insurance coverage)

² University of Virginia Darden, “Insights into Improving the Practice of Supply-Chain Public-Private Partnerships,” <https://ideas.darden.virginia.edu/insights-into-improving-the-practice-of-supply-chain-public-private-partnership>, February 5, 2019.

this progress was still emerging—often at high-price points and with barriers including connectivity, availability, and documented return on investment. Some of the key issues, challenges, and opportunities to designing and implementing eCDT systems, uncovered in USAID Oceans’ foundational research included:

- **Existing, basic compliance with paper catch documentation schemes for the EU market already present in major seafood processing and exporting countries in Southeast Asia, providing an existing foundation to build and improve upon.** Prior to 2015, several countries in Southeast Asia had instituted basic paper-based catch documentation systems in accordance to the EU’s Council Regulation (EC) No 1005/2008, *Establishing a Community System to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing*.³ The paper-based catch certification processes managed by the national governments set the framework for industry engagement and compliance with EU standards on IUU fishing. Members of the seafood industry had also instituted internal traceability systems primarily for food safety, although often on paper and with limited means of verifying the accuracy of KDEs and tracking events from the fishing vessel.
- **Limited connectivity and high cost of data collection at-sea were major barriers for implementing electronic catch reporting systems.** The availability and cost of communications at-sea and in remote landing sites remained an obstacle to enabling real-time electronic catch and trip reporting. The lack of cellular network service restricted fishing vessels’ use of digital communications within much of the coastal waters; and the cost of equipment and airtime for satellite services was seen by many in the fishing industry as prohibitive. These challenges limited consideration of electronic catch reporting and broader eCDT systems, especially for small-scale fisheries.
- **Multiple global programs, organizations, and companies were actively working on seafood traceability standards, interoperability, and industry engagement.** As of 2015, global traceability standards had not been clearly established or widely adopted in the seafood industry, though several industry and non-profit organizations were working to harmonize and advance common standards through the Global Dialogue on Seafood Traceability (GDST), and the United Nations Centre for Trade Facilitation and Electronic Business. These organizations included Global Standards One (GSI), the Global Food Traceability Center (GFTC), and the World Wide Fund for Nature (WWF).
- **The high number of small-scale fishers and seafood operators in Southeast Asia often have limited capacity or incentive to implement catch documentation and data collection systems.** Across the region, small-scale fishers and traders are responsible for a large share of the sector’s product volume but lack the systems and capacity to maintain accurate and detailed fishing and business operation records. While data collection systems for commercial fisheries operations existed prior to 2015, these were typically in the latter stages of the supply chain, with small-scale fishers and traders/brokers without systems in place and sometimes not required by national law to be licensed or provide catch data.
- **Identifying business models to fund and scale eCDT technology and systems across the seafood industry is vital.** Many organizations and companies interviewed raised questions regarding who will finance eCDT system implementation and its sustained use, especially from catch to landing. Processors and exporters hoped that the market, namely customers, would be willing to pay a premium to support eCDT adoption, but limited evidence existed to validate this assumption. Some companies voiced their



In its first year, USAID Oceans conducted over 100 interviews with multinational and national companies, business associations, development projects, NGOs, and government institutions across Southeast Asia and in the United States to better understand interests, issues, and challenges of potential partners vis-à-vis USAID Oceans’ objectives, and to begin to formulate possible partnership opportunities.

³ Council Regulation (EC) No 1005/2008 of 29 September 2008, <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:02008R1005-20110309&from=EN>, September 29, 2008.

willingness to invest in internal traceability systems and support training for their suppliers, but most expressed that they would not be able to fully fund eCDT system implementation through all steps of the supply chain—from “bait to plate.” Without adequate and proven financial incentives, fishers may choose to not participate in the system and sell to lower value markets that do not require traceability.

- **Stakeholders’ readiness and willingness to adopt eCDT technology and systems varied across the region.** Processors and canneries were perceived to be more “technology ready” as the administration staff already use computers and smartphones, manage databases, and conduct transactions online. Fishers and traders, on the other hand, were perceived to have less access to technology, as many do not own computers and/or smartphones. Some industry stakeholders were noted as being potentially unwilling or reluctant to adopt eCDT systems, unless required by the buyer or government.
- **Government budgets and capacity to implement eCDT systems were limited.** In the region, governments varied widely in their capacities, budgets, and experience in implementing CDT systems—both paper-based and electronic. Agencies typically had incomplete or non-integrated digital fishery information/database systems and were also found to be frequently understaffed with limited resources to verify data submitted data—an acute issue, especially for local government units, which are often responsible for managing and monitoring small-scale fish landing. In the limited cases where companies were deploying commercial/private catch reporting or traceability systems, such as electronic logbooks, they were unable to submit this data electronically to government systems due to lacking interoperable technology infrastructures and were still required to complete paper forms.
- **Human welfare-related data can be captured through eCDT systems, if designed accordingly and with increased stakeholder buy-in.** Human welfare data are crucial to trace and detect illegal activities in the seafood sector. However, the existing catch documentation schemes were not inclusive of human welfare data elements. IUU fishing could be exacerbated if these data elements remain untraced or undetected.

Role of Governments, Non-Governmental Organizations, and Donors

In USAID Oceans’ experience, building successful partnerships may require an external organization that serves as a partnership broker, convener, and/or manager. Donors like USAID and regional organizations can serve as catalysts for investment, collaboration, and co-creation between government, private sector, and NGO stakeholders. Organizations and government can engage the private sector to encourage action, increase investment, and address risks within value chains.

Host governments, multi-lateral institutions, donors, and philanthropists have a critical role in catalyzing investments—public and private—to solve global development challenges through thought leadership, advocacy, pilots, and strategic convening. For example, USAID Oceans’ partnerships with local technology and seafood companies to showcase cutting-edge traceability technology pilots have sparked continued investments in electronic traceability in Southeast Asia.

Governments also have a range of tools to help de-risk and leverage private capital, whether through PPPs for infrastructure investments, credit guarantees, or project preparation grants. In turn, the public sector can play a critical role in supporting the monitoring and evaluation of these investments, which are needed to ensure results are truly being achieved. For example, USAID uses a credit guarantee to de-risk commercial investors in the Sustainable Oceans Fund, a \$100 million fund that will invest in sustainable fisheries and low-impact aquaculture projects in Latin America, Africa, and the Asia-Pacific.

1.3 USAID Oceans' Partnership Approach

In developing its strategic approach, USAID Oceans recognized that in order for eCDT systems to be effective in tracing seafood through the supply chain, they must:

- be anchored in private sector, market, and government realities;
- help industry meet evolving regulatory and market requirements throughout the supply chain;
- be cost-effective and user-friendly; and
- provide a return on investment for businesses and other users.

To accomplish these criteria, the program sought to identify and establish public and private partnerships. USAID Oceans engaged a range of partners to support the complex needs of eCDT design and implementation, with various partners identified to support specific areas (Figure 2). Recognizing that no two countries are alike, USAID Oceans designed its program interventions to be conducted in three tiers—at the regional, national, and site-levels. To enhance the scale and sustainability of interventions by leveraging private sector resources and capabilities, partnerships must take different shapes and structures, including PPPs, partnerships with development organizations and projects, multi-stakeholder initiatives, public-private forums, and informal engagements.

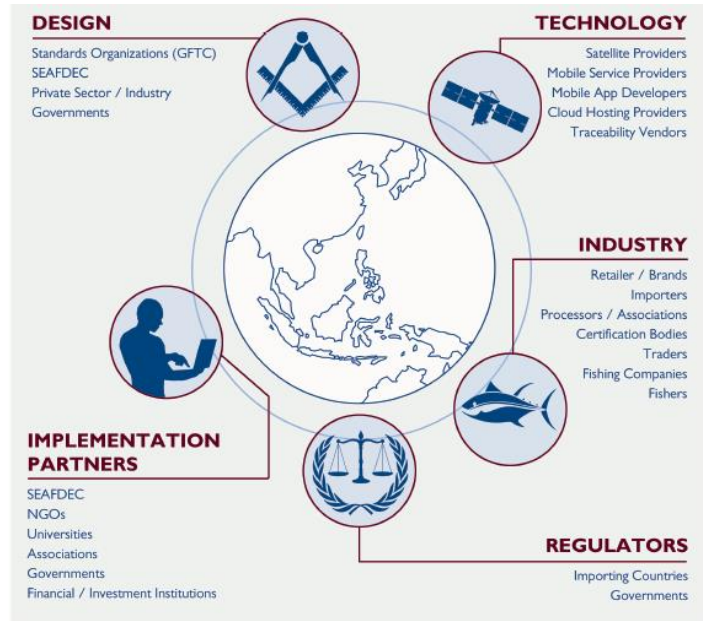


Figure 2. USAID Oceans' Partner Stratification

Regional Partnerships

At the regional-level, USAID Oceans focused its partnership development process on identifying **partners who could support the design, development, and technical architecture of the eCDT systems** and engaging **regional government** and **industry partners** (buyers, seafood companies, and standards organizations) to ground the system with national, regional, and international industry realities.

USAID Oceans conducted its work in partnership with the Southeast Asian Fisheries Development Center (SEAFDEC) and the Coral Triangle Initiative for Coral Reefs, Fisheries, and Food Security (CTI-CFF) to improve integrated and sustainable fisheries management through enhanced CDT. USAID Oceans also supported U.S. and regional efforts in Asia and the Pacific to promote sustainable fishing practices by collaborating with organizations and agencies such as the U.S. National Oceanic and Atmospheric Administration (NOAA), U.S. Department of the Interior, U.S. Department of State, the United Nations Food and Agriculture Organization (FAO), the Government of Sweden, and the Government of Japan through the Japanese Trust Fund.

National and Site-Level Partnerships

To support the development and demonstration of eCDT systems in USAID Oceans' two learning sites, USAID Oceans identified and developed partnerships with **seafood industry members, industry associations, and NGOs** in each of its learning sites. The program recruited "First Mover" industry partners to pilot the eCDT technology, thus supporting the collection of relevant data elements for target seafood products. The program also developed partnerships with **technology and internet communication**

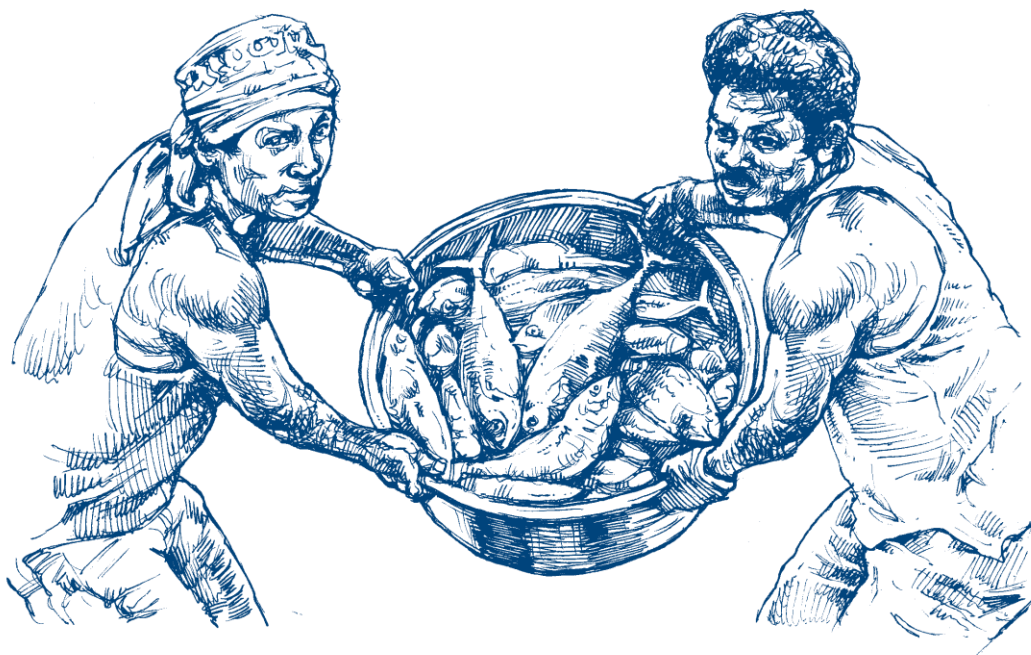
providers to design, customize, and test components of the eCDT system and develop mechanisms for eCDT integration with existing national and site databases. Recognizing that regulations can be a key driver for adequate eCDT adoption and play a large role in ensuring the quality and authenticity of data in the eCDT system, USAID Oceans worked closely with its **government partners** to design, implement, and manage the system and its components. Government participation is critical to eCDT system development and implementation, as well as further national expansion and sustainability.

Partnerships for Expansion and Replication

To translate and disseminate lessons learned from learning site activities to its membership of regional member countries, USAID Oceans developed partnerships with strong **regional organizations**, such as SEAFDEC and CTI-CFF, and **national governments**. The program also established strategic **industry** partnerships amongst companies, fisheries, and supply chains operating in multiple countries to support the eCDT system's design and demonstration, as well as encourage expanded eCDT system adoption. By engaging buyers and seafood companies, suppliers were further motivated to adopt and scale the systems across multiple countries and fisheries in the Asia-Pacific region, as many companies source from and operate in multiple countries.

Lessons Learned:

- Engaging multinational buyers and seafood companies early in the design of the eCDT system was essential to motivate suppliers to adopt and scale the eCDT system across multiple countries and fisheries in the region.
- Partnerships with NGOs and industry associations are valuable in facilitating the development of a common industry voice on traceability standards and requirements.
- Collaboration with regional private sector organizations and NGOs helped USAID Oceans raise awareness, generate buy-in, and encourage participation from a broader group of stakeholders to champion eCDT adoption, sustainable fisheries management, and fair labor practices.



CHAPTER 2: IDENTIFY, SELECT, AND PRIORITIZE

2.1 Identify

Partner identification is the first phase of the partnership development process and can be facilitated by **rapid partnership appraisals (RPA)**, which enable the lead party to develop a comprehensive overview of potential partners and the landscape they are working within. RPAs consist of desk research and stakeholder mapping, in which a database of relevant companies and organizations is created, and subsequently interviews that are conducted with priority companies and organizations.

USAID Oceans conducted RPAs to identify partners to support the design and implementation of its supported eCDT systems and complementary program interventions. As a result, the program engaged buyers, seafood companies, and organizations working on seafood traceability to assess the interest, challenges, and opportunities that intersected with USAID Oceans' goals and activities. From 2015-2019, USAID Oceans conducted a total of four RPAs—its initial program RPA in 2015-2016 and three country-specific RPAs for its member country partners (Vietnam in 2017-2018, Thailand in 2017, and Malaysia in 2018).



Defining the Problem and Vision for Success

The first step in an RPA is defining the problem in a short paragraph and the vision for success in another. The first paragraph should establish the specific development problem the organization wants to solve, and the imagined success linked to the problem. The vision for success should indicate the ideal outcome and what the impact of the potential partnership will be.

To facilitate this exercise, interviews should first be conducted with the organization's internal staff who will be involved in partnership identification, relationship building, and activity implementation.

Possible interview questions include:

- Is there a “partnership leader” position in your organization?
- What systems are in place to reach out and respond to the private sector and other partners?
- What current partners (if any) are strategically important in ongoing initiatives?
- How are the organization's most important partners currently being engaged?
- What programs and processes are currently used to develop partnerships?
- Are formalized systems for due diligence already in place?
- What private sector engagement skills are present in your team? What skills need to be developed?



Lessons Learned:

Defining the problem and success should be a high-order challenge showing how addressing the problem will help the organization meet its goals. For example, a problem statement may be “advancing electronic traceability implementation to increase market access.”

Desk Research and Stakeholder Mapping

To successfully design and implement eCDT projects, it is critical to engage various types of stakeholders, including government agencies, NGOs, and members of the private sector from seafood, technology, and

other supporting industries. This active engagement is essential for successful eCDT development, implementation, and adoption. To understand the full range of potential stakeholders and identify which are appropriate to engage with, desk research and stakeholder mapping should be conducted for the current landscape. Typically, desk research allows practitioners to map out a preliminary list of stakeholders. Informational interviews with key stakeholders can help add crucial information to the stakeholder map. A good place to start these exercises is by assessing the country’s seafood supply chain (Figure 3) to:

1. identify each node of the supply chain;
2. determine key private sector players and government agencies at each node; and
3. discover key insights or challenges specific to the country’s context.

Figure 3. Example of a seafood supply chain



During the desk research and stakeholder mapping stage, practitioners will develop a map of potential partners that organizes stakeholders by sector, company and organization, location, and areas of alignment with internal agency/organizational priorities and goals, such as improving traceability, sustainable fisheries, and human welfare/labor dimensions in the seafood supply chains. Practitioners are encouraged to not only map potential stakeholders in their geographic area, but also include regional and international bodies. The resulting stakeholder map will provide a comprehensive view of potential partners, which can help to achieve the vision for success. Table I shows examples of different types of organizations that government agencies can consider when developing the stakeholder map for eCDT projects. A stakeholder map template can be found in Annex I. After the stakeholder mapping exercise, practitioners are encouraged to work with their team to analyze and test their initial findings and designate each organization as “High,” “Medium,” or “Low” priority for interviews.

Table I. Types of Relevant eCDT Project Partners by Sector

Sector	Types of Organizations
Information and Communications Technology	<ul style="list-style-type: none"> – Networking, mobile, tablet, radio frequency identification (RFID), and wireless product developers and service providers – Mobile network and satellite operators – Open source coders and application developers, and enterprise software providers – Traceability technology and hardware vendors
Seafood and Fishing Industry	<ul style="list-style-type: none"> – Retailers, hypermarkets, and food service companies – Importers, seafood buyers, traders/brokers, and pet food companies – Seafood processors and associations – Fishing companies, associations, and fisher groups – Social enterprises and small and medium enterprises
Finance and Investment	<ul style="list-style-type: none"> – Banks, impact investors, and debt/equity investors – Development banks and the Development Credit Authority – Public-private public sector funds
Government	<ul style="list-style-type: none"> – Relevant ministries and offices – Regional and international intergovernmental organizations – Public-private partnership platforms and centers
Non-profit	<ul style="list-style-type: none"> – Environmental and conservation organizations – Labor and livelihood non-profits – Gender and women’s groups – Civil society organizations

	<ul style="list-style-type: none"> – Universities and research institutes – Community groups
Donors	<ul style="list-style-type: none"> – Donor organizations, bilateral USAID missions and regional ASEAN projects, other donor projects and private foundations

Analysis and Ideation

Analysis, ideation, and desk research are interlinked. Assessment team members should meet with the broader technical team to analyze and test initial research findings, assumptions, and hypotheses. This helps the team to internally brainstorm the types of partnership models that might work for their organization. A variety of tools are available to support these analyses, including:

Situation-Complication-Question Analysis. This analysis is a simple approach to understanding what challenges the organization is facing, and to identify and pin-point the core question that will guide the partnership engagement. Statements are developed for each of the following cues:

- **Situation:** Describe the context by developing a self-sufficient/standalone, fact-based, incontrovertible, and non-problematic problem statement that sets a stage no one can argue with.
- **Complication:** Complete the context by summarizing the disruption or need to change. The statement should isolate a single or dynamic key factor or disturbing event.
- **Question:** Develop a key question that captures scope and essence of the context. Avoid being vague, making too many assumptions, or being too solution driven. Key question are often more detailed variations of: Why isn't what we are doing to solve X working? In X situation, what should we do? Should we do what we're considering? How should we do what we are considering?

Key Issue Analysis. The goal of key issue analysis is to generate a testable hypothesis, decompose the problem, and determine what steps/analyses/frameworks or information are needed to test the hypothesis. This analysis should directly link to the project work plan, and lead to hypotheses as described below.

Many of the tools above help build potential models for partnership engagement, or at least key questions that need to be answered—and narrowed down—to move forward. Based on the desk research and analysis, the RPA team should identify concrete partnership hypotheses or models before the interview stage. Partnership hypotheses should focus on a solution to the problem statement rather than any specific partner.

A **hypothesis** should revolve around a concept statement that clearly outlines the actors and outcomes:

By doing _____, this partnership will help _____ with _____, leading to _____.

Example:

By bringing together a satellite vessel tracking provider, a seafood processing company, fishing vessels, government fisheries agency departments, and USAID Oceans, the partnership supports the implementation of private sector vessel monitoring technology, provides market benefits to processing companies and savings for fishing companies, and improves the fisheries department's ability to track illegal fishing activity, leading to a reduction in illegal fishing.



The RPA team can also focus on higher-level items such as lines of inquiry or key questions to test assumptions or find opportunities.

Example:

Is a specific existing eCDT solution currently having impact? Can this impact be scaled? Are current partners interested in scaling? Are other companies?

Interviews and Engagements

After developing a stakeholder map and potential partnership models, conduct informational interviews with the potential partners identified previously (i.e. local, national, regional, and international private companies, key non-profits, business and trade associations, and other government entities). These interviews serve as a way to understand each organization’s objectives, commercial or operational challenges, and existing corporate social responsibility or other activities related to eCDT objectives.



Over 2015-2016, the USAID Oceans’ team met with and interviewed representatives from over 100 organizations, including 76 private companies and industry associations, and engaged all relevant regional stakeholders and national government counterparts to seek input on partnership and industry engagement priorities. During the RPA, USAID Oceans attended key events, including:

- *Fish 2.0 Seafood Business Competition Finals, September 2015*
- *Future of Fish Designing Change: Toward Better Traceability in the Seafood Supply Chain Workshop, January 2016*
- *North American Seafood Show, March 2016*
- *Information Session on the U.S. Seafood Traceability Program, April 2016*
- *5th International Coastal Tuna Business Forum and 2nd Bali Tuna Conference, May 2016*

Develop an interview or question guide prior to conducting the interviews that is customized to capture information pertinent to the assessment. Annex II provides a question guide, with sample questions for eCDT-related RPA interviews. Practitioners should also develop short organization profiles before conducting the interviews that describe the organization and its goals, challenges and risks, and resources. These profiles ensure the potential partners’ strategic objectives and immediate drivers for resource mobilization are well understood by the interviewing team and those involved in making partnership decisions.

In addition to interviews and meetings with the potential stakeholders identified in the mapping process, practitioners should consider attending industry conferences, meetings, and high-level events to increase networking opportunities with potential partners and gather additional inputs to the RPA process.

2.2 Select

Following interviews and fieldwork, each potential partnership should be assessed to ensure it is:

- 1) in line with internal organization/agency priorities;
- 2) rooted in private sector interests, as explored through the RPA fieldwork; and
- 3) practical and feasible for the practitioner and its potential private sector or NGO partners.

Through its RPA process, USAID Oceans initially developed over 20 potential partnership opportunities; 13 of which moved to the prioritization stage. Table 2, below, shows USAID Oceans’ identified partnership opportunities, development values, and potential partners to support each.

Table 2. USAID Oceans’ High-Level Partnership Opportunities Map

Partnership Concept	Potential Partners
CDT Design	
<p>Global Traceability and Data Standards - Support the design and demonstration of the eCDT system by incorporating global traceability and data standards, aligning with emerging traceability requirements, and leveraging resources from global initiatives in key markets, including the U.S. and EU.</p>	<ul style="list-style-type: none"> • GFTC (lead) • Moore Foundation (funding partner) • 17 sponsors (i.e., Global Cold Chain Alliance, Global Standards I (GSI) US, Walmart, Wegmans Food Markets)

Partnership Concept	Potential Partners
<p>CDT Technical Advisory Group - Form a CDT Technical Advisory Group of key NGOs and technical experts to support flexible eCDT design and demonstration. Member partners must have advanced technical knowledge and expertise, and practical experience related to the technical aspects of eCDT system design and implementation.</p>	<ul style="list-style-type: none"> • Future of Fish • Marine Stewardship Council (MSC), ThisFish, Fishwise • Monterey Bay Aquarium Seafood Watch • Yayasan Masyarakat dan Perikanan Indonesia (MDPI), International Pole and Line Foundation (IPNLF) • International Sustainable Seafood Foundation • WWF
<p>CDT Technologies</p>	
<p>Open Source eCDT System Prototype Development - Build a technology partnership consortium in Singapore to develop an open source eCDT system minimum viable product and potential software components to be deployed in multiple countries, including capture applications for catch, logbooks, and traceability using smart mobile devices.</p>	<ul style="list-style-type: none"> • AddValue Technologies (lead) • Economic Development Board-Singapore (funding) • Mimos Malaysia • Inmarsat and other software and hardware developer partners
<p>Satellite Wireless Supporting Small Vessel Connectivity - Address connectivity issues at sea, in remote landing areas, and in communities, enabling data collection needed for traceability and fisheries management. Optimize mobile applications used for electronic data capture and verification using existing low-cost technologies as a proof of concept for eCDT data capture.</p>	<ul style="list-style-type: none"> • Iridium (lead) • Application developers • Mobile network providers • Local channel partners
<p>Satellite Wireless Supporting Commercial Vessel Connectivity - Provide on-the-water connectivity for commercial fishing vessels by adapting current Vessel Monitoring Systems (VMS) to support CDT and fisheries data collection at sea.</p>	<ul style="list-style-type: none"> • Inmarsat • Skywave • Orbcomm • Local and original equipment manufacturer device partners
<p>Mobile and LTE/4G for Fishing Communities - Address connectivity issues in learning sites and other remote areas. Provide cost effective and scalable connectivity solutions to fishers and other key value chain players while improving technological literacy and data collection. Demonstrate interoperability among cellular to satellite networks.</p>	<ul style="list-style-type: none"> • Qualcomm (lead) • Indonesia SmartFren • XL • Device manufacturers/makers
<p>World-Class Backbone and Multi-Site Connectivity - Provide technology, training, software, funding, and expertise on wireless networking technology, data storage, and cloud services needed to create world-class connectivity at several ports and sea.</p>	<ul style="list-style-type: none"> • Cisco Systems • Lintasarta
<p>Data-Driven Applications for Small-Scale Fisheries - Adapt and apply suite of tools, developed by the Smithsonian Institution, to support the implementation of eCDT systems. Provide technical assistance for digital registration and potentially ongoing genetic monitoring of target species.</p>	<ul style="list-style-type: none"> • Smithsonian Institution (lead) • MDPI • Local companies
<p>CDT Implementation</p>	
<p>eCDT System Demonstration in General Santos City, Philippines - Bring together the tuna industry in collaboration with government to establish a common vision and roadmap to develop and implement an enhanced, collaborative CDT system.</p>	<ul style="list-style-type: none"> • SOCCSKSARGEN Federation of Fishing and Allied Industries, Inc. (SFFAI) • BFAR-12 • Possible companies: Citra Mina, PhilBest, MGTR, Gen Tuna and Frabelle

Partnership Concept	Potential Partners
<p>Indonesia Sustainable Coastal Tuna Alliance - Build a common industry voice on traceability and sustainability standards and requirements in Indonesia. Streamline the existing catch documentation system, supporting the Indonesian Government in obtaining catch documents and related paperwork. Integrate industry traceability and catch reporting systems with government platforms through eCDT system implementation in three to four sites where AP2HI members operate.</p>	<ul style="list-style-type: none"> • IPNLF • Indonesian Pole & Line and Handline Fisheries Association (AP2HI) • MDPI • Future of Fish • Marine Change
<p>Industry and Multi-stakeholder Dialogues</p>	
<p>Global Seafood Industry Traceability Champion - Demonstrate traceability, environmental, and social leadership by facilitating industry dialogue and engaging governments to support the implementation of eCDT system; demonstrate and test eCDT implementation to trace Thailand fishery catches to U.S., Asian, and European markets; and link labor issues with eCDT to demonstrate that eCDT system can provide actionable data on labor and human welfare issues.</p>	<ul style="list-style-type: none"> • Thai Union (lead) • Thai Union suppliers • Humanity United • Project Issara • Thai Sustainable Seafood Taskforce • Royal Thai Government
<p>North American Seafood Buyer Alliance - Engage Monterey Bay Aquarium Seafood Watch’s major corporate partners (especially the Food Service Roundtable) to support eCDT adoption and the collection of relevant data elements for target seafood products; aid small-scale and community fisheries in eCDT implementation and enhanced fisheries management; and build a platform for engagement that facilitates improved environmental performance of fisheries in the Asia-Pacific region based on Seafood Watch’s “Best Choice” and “Good Alternative” standards.</p>	<ul style="list-style-type: none"> • Seafood Watch • US Food Service Industry (Aramark, Compass Group, Santa Monica Seafood, Service Systems Inc., and Sea to Table) • Mars Petcare • Implementing NGOs in Southeast Asia
<p>WWF and Global Dialogue on Seafood Traceability - Build on existing WWF programs working to combat IUU fishing and improve fisheries management by strengthening and harmonizing CDT policies and practices across the Asia-Pacific region. Pilot test IUU traceability technologies in project sites in Thailand, Indonesia, Vietnam, and the Philippines.</p>	<ul style="list-style-type: none"> • WWF • Moore Foundation (funding partner) • GFTC • GFTC industry partners

2.3 Prioritize

After the RPA is completed, partnership prioritization follows to identify partnership opportunities that should be further considered for engagement. The partnership prioritization exercise is typically conducted via a one-day workshop attended by key representatives from the practitioners’ organizations and allows the group to review and provide recommendations on prospective partnerships, deciding whether each opportunity should continue to the next stage of development. At the workshop, attendees “score” each partnership opportunity using a prioritization scorecard (included in Annex III) and recommend actions and next steps for each. Next, all potential partnerships are assessed to determine the additional business, government, and development values they offer, as well as the risks and transaction costs.

Objectives of the prioritization exercise are to:

- 1) review RPA results and initial partnership opportunities;
- 2) determine partnership priorities and values; and
- 3) prioritize partnerships for planning and next steps.

The prioritization workshop agenda may open with an overview of prioritization workshop goals followed by discussing the importance of partnerships, explaining the partnership scorecard, and reviewing potential partnership opportunities.

Group Exercise: Partnership Scoring and Report Out

In this exercise, each identified partnership opportunity is scored according to four priority criteria: development value, business value, government value, and risks and transaction costs. Specific guidance on the scoring criteria for each can be found in Table 3. Providing this guidance to workshop participants can ensure all groups are scoring partnership concepts in a consistent manner, which is critical since scores will later be analyzed comparatively.

SCORING CRITERIA

1. Development Value

To be successful, partnerships need to add value to traditional donor investments and implementer activities. The following development value considerations should be used to score each partnership:

- **Demonstrated relevance:** Would the partnership be relevant to the organization's core activities, and will the partnership help the organization achieve its objectives?
- **Increased scale:** Would the partnership help the organization scale its impact, reaching more people or covering new areas?
- **Improved effectiveness:** Would the partnership make the organization's work smarter and more effective?
- **Improved efficiency:** Could the partnership enhance the efficiency of the organization's activities (e.g., increasing development impact for dollar spent)?
- **Increased sustainability:** Could the partnership increase the likelihood for long-term sustainability of the organization's development impact?
- **Systemic change:** Could this partnership create system-wide changes for long-term and substantial development impact?

2. Business Value

In addition to development value, partnerships should also address the core business interests of potential private sector partners. By considering these interests, the likelihood of significant private sector resource contributions into the organization's activities can be increased and the chances for long-term sustainability of the organization's investments improved. The following questions can help ensure partnerships consider business value:

- **Business challenge:** Would the partnership help the company address a significant bottleneck to success or growth?
- **New market/investment:** Would the partnership lead to market entry or new lines of business for partner companies (e.g. targeting specific consumers such as for women, men, youth, vulnerable groups)?
- **CSR/image:** Would the partnership improve a company's reputation or brand?

3. Government Value

Government buy-in and participation is critical to each step of the partnership development process. With this in mind, partnerships should be scored upon:



USAID Oceans held a Partnership Prioritization Workshop in May 2016, attended by 21 participants from the USAID Oceans team, SEAFDEC, and technical experts from the USAID Regional Development Mission for Asia. Participants were divided into four groups, wherein each group reviewed and scored four to five partnership opportunities. Each partnership then received aggregated totals for all factors, enabling comparative value analysis.

- **Increased capacity:** Would the partnership build the government’s capacity to meet its own objectives?
- **Increased resources:** Could the partnership lead to increased resources for member state government agencies?
- **Enhanced systems:** Would the partnership help enhance government systems (e.g., for traceability or fisheries management)?

4. Risks and Transaction Costs

While partnerships offer value to donors, implementers, businesses, and governments, they can also be burdened by risks and transaction costs. These factors need to be carefully weighed when deciding whether partnerships are worth the investment:

- **Risk:** Does a potential partner have reputational risks that could jeopardize the collaboration?
- **Staff intensity:** Will the partnership require a large amount of staff time and effort? If so, is the potential impact worth this expected investment?
- **Time horizon:** How long will partnership development and implementation take, and does it align with the larger project timeline?

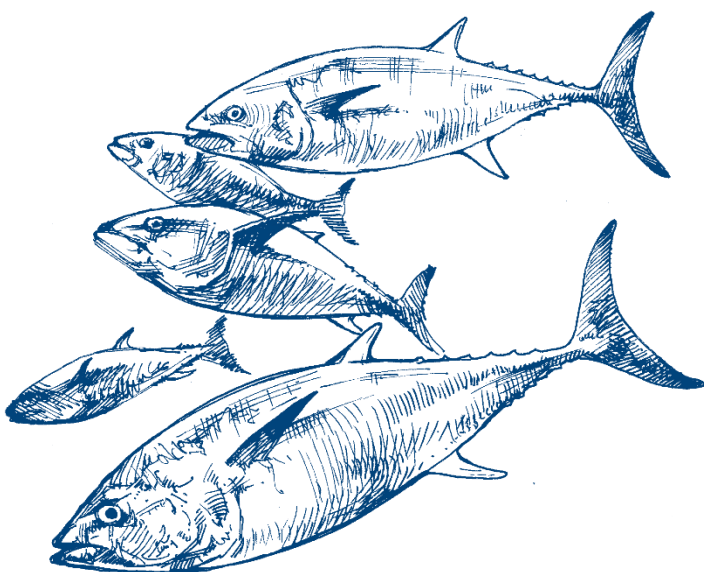
Table 3. Sample Partnership Prioritization Criteria

	Factor	Notes	Low (1)	Medium (2)	High (3)
Development Value	Demonstrated relevance	Helps achieve project objectives	Unclear connection to project goals	Some connection to project goals	Strong connection to project goals
	Increased scale	Increases number of beneficiaries and/or impact	Limited potential to increase impact (i.e., one-time intervention)	Moderate potential to expand	Strong potential to grow/replicate beyond initial investment
	Improved effectiveness	Improves quality of development results	Results and reach not enhanced	Moderate increase in results and reach	Strong increase in project results and reach (multiple times greater)
	Improved efficiency	Increases development value for each donor dollar spent	Partnering does not save the project financial resources	Partnering saves the project some financial resources	Partnering saves the project significant financial resources
	Increased sustainability	Increases likelihood that development impact extends beyond donor funds	Impact limited to life of project	Some expansion/continuation beyond project	Partnership outcomes continue far beyond project
	Systemic change	Addresses/alters the nature of the problem	Does not alter fundamental nature of the problem	Changes nature of the problem somewhat	Solves or fundamentally changes the nature of the problem (e.g. erases an industry challenge)
Business Value	Business challenge	Address business bottleneck	Approaches challenge superficially; moderately addresses bottleneck	Tackles a significant component of bottleneck	Sets in motion elimination of bottleneck
	New market/ investment	Make possible new market entry or new investment	Does not offer new market potential	Leads to limited new market potential	Offers a significant opportunity for new market/investment

	CSR/image	Improves company reputation (low importance)	Little awareness raising	Basic awareness raising	Large-scale awareness raising
Government Value	Increased capacity	Helps build government capacity	Does not build government capacity	Moderate government capacity improvements	Strong improvements in government capacity
	Increased resources	Brings additional resources (e.g., technology) to government	Contributes few resources to government	Contributes some resources to government	Contributes significantly to government resources
	Systems integration	Integrates CDT or traceability into government systems	Little/no integration with government systems	Moderate integration with government systems	Full integration with government systems
Risks & Trans. Costs	Risk	Minimizes developmental and reputational risk	Potential partner engages in controversial practices (<i>High risk</i>)	Potential partner has mixed reputation (<i>Medium risk</i>)	Potential partner not involved in controversial/risky operations or practices (<i>Low risk</i>)
	Staff intensity	Effort needed from staff or partners (including government and partners staff)	Requires significant staff effort or new hires	Requires moderate additional work for staff	Little added effort needed from staff
	Time horizons	Partnership timeframe to achieve results/complete activities	Partnership may take longer than the project lifespan	Partnership will mature during the project's second half	Partnership will show strong results during project timeframe

Next Steps

Following the prioritization workshop, practitioners will be equipped with a list of high-value partnerships. Using this list, further discussions can be scheduled with prioritized partners on resource contributions, proposed activities, any issues or challenges identified in the prioritization exercise, and finally developing partnership concept notes (detailed in Chapter 3).



Tip:

Don't discontinue partnership scoping activities once partnerships are prioritized. Some partnerships identified through the appraisal process will progress to be launched, but others may not come to fruition.

CHAPTER 3: STRUCTURE, MANAGE, AND EVALUATE

3.1 Structure

There are several mechanisms to engage a partner, depending on specific circumstances and each partner's requirements and objectives, including subcontracts, grants, and concept notes. This section focuses specifically on formalizing partnerships through a concept note as well as how to weigh benefits and risks of a potential partnership through a due diligence investigation.

Concept Notes

Following the prioritization exercise, a partnership concept note is developed to formalize the partnership and clearly document its objectives and terms, including commitments, roles, and timelines. While partners can have informal partnerships where they agree on objectives and key activities to meet them, formalizing a partnership via a concept note or memorandum of understanding (MOU) is encouraged as it allows both partners to establish trust and commitment to implementing joint-partnership activities.

A concept note is a non-binding agreement that serves to align objectives and effectively coordinate activities among partnering organizations. The most important aspect of a partnership concept note is the process of developing it, as it lays the foundation for the working arrangement and is one of the first collaborative activities. This joint process requires iterative communication among the partners, wherein all parties co-design and agree upon each element of the concept note. Although the concept note is non-binding, the development process enables all parties to have a dialogue and convert their ideas into concrete actionable steps. The resulting, signed agreement serves as confirmation that partnering organizations agree on partnership objectives and activities. A typical partnership concept note includes:

- 1) Background information on each partner
- 2) Partnership rationale
- 3) Partnership objectives
- 4) Proposed activities and an associated timeline
- 5) Each partner's roles and responsibilities
- 6) Resources to be allocated by each partner
- 7) Strategies for sustainability and gender equality
- 8) Tools for monitoring & evaluation (M&E) of agreed partnership activities (more details Section in 3.2)

Concept notes are usually three to five pages long, and once agreed upon, is signed by either the heads of each organization or the projects' points-of-contact. Annex V provides a sample partnership concept note template.

PARTNER ENGAGEMENT MECHANISMS –

Subcontracts are best used to tackle relatively simple problems with clear deliverables and are ideal for short-term or one-time tasks which need to be legally binding.

Grants' main purpose is to build local partners' capacity such that they can continue to work on the development issues that the organization aims to solve beyond the life of the project. Grant deliverables are generally more focused on development value and are less specific than subcontracts.

Concept notes allow partners to work on a common set of activities and outputs by sharing skills, technical knowledge, and resources. While they are legally not binding, they have a potential for high impact and scale.

Due Diligence

While the partnership concept note is being finalized, and before it is signed, due diligence investigations on potential private sector partners should be conducted to fully evaluate and document the risks and benefits of working with the partner(s). Due diligence reduces the likelihood that unpleasant surprises related to partner business practices may arise that reflect poorly on other partners. During this process, a “due diligence memorandum” is developed, in which practitioners provide input and recommendations, including whether the partnership should continue to be pursued or be terminated (template provided in Annex IV).



In the case of USAID Oceans, due diligence memorandums were developed by the USAID Oceans partnership team, cleared by project leadership, and shared with USAID for final concurrence.

The due diligence memorandum consists of five areas:

- 1) Corporate image
- 2) Social responsibility
- 3) Environmental accountability
- 4) Financial soundness
- 5) Policy compatibility

Information can be gathered from various sources including news articles, company reports, web searches, interviews with company staff, and discussions with local and international NGOs, associations, government agencies, and other relevant local representatives.

3.2 Manage and Evaluate

M&E indicators should be developed and used to ensure partnership activities are being implemented on time and within budget, allowing partners to measure, evaluate, and incentivize engagement for optimal impact and sustainability. Indicators should be developed during the concept note development process, beginning with partners identifying both the tangible and intangible impacts of their partnership. Then, a small set of targets and/or indicators, as well as a data collection plan, can be jointly developed to monitor progress towards the partnership’s planned high-priority impacts. Some examples of appropriate partnership indicators for eCDT projects are: number of new innovations, technology adoption rate, value of new private investment/resource contribution, or number of new partnerships.




Tip:

When conducting due diligence, USAID Oceans recommends the following checklist to mitigate reputation risks:

- ✓ Assess the extent to which the prospective partner is committed to globally recognized labor, social responsibility, and environmental standards; has set clear and measurable CSR goals; and has made progress to meet and transparently report on these targets.
- ✓ Explicitly define the development value the prospective partner brings to the partnership.
- ✓ Verify that the partnership has been structured so that it may expand and be replicated.
- ✓ Clearly understand and document the nature of business relationships between the potential partner and other companies or partners with due diligence concerns. Update due diligence memorandums annually.

To ensure data quality, partners should intentionally select a manageable number of indicators, establish precise definitions for each indicator, and use an indicator management tool such as a Performance Indicator Reference sheet (see Annex VI). These reference sheets are particularly useful when developing each indicator and ensure that partners consistently understand and interpret the indicator's definition, unit of measurement, data source(s), reporting frequency, as well as any potential limitations related to data quality issues.

Partners should agree upon how often partnership progress will be monitored and should hold regular (monthly) check-in meetings to review activity progress, plans, and any challenges. Typically, progress towards M&E indicators is updated continuously throughout the year, with a quarterly review conducted to revisit indicator targets and put forward recommendations to facilitate adaptive management, if needed.



The private sector is a key focus of USAID Oceans, particularly to build the business case for eCDT and supporting financing mechanisms. Therefore, USAID Oceans employs two indicators to closely monitor its private sector engagement and progress toward achieving expected results:

Indicator 1: Value (in cash or in-kind contributions) of public and private sector investments in sustainable fisheries and coastal and marine ecosystem conservation.

Target: US \$4 million in industry and government contributions to sustain the eCDT systems.

Indicator 2: Number of new US Government-supported PPPs formed.

Target: At least 14 sustainable partnerships formed with regional partners, industry, and other non-government organizations on shared solutions to combat IUU fishing through the eCDT systems.

USAID Oceans' M&E Specialist leads quarterly and annual reviews to monitor progress toward indicator targets; annual internal evaluations to measure the effectiveness of USAID Oceans' interventions; and annual strategic reviews of M&E findings to inform annual work plans.

CHAPTER 4: CASE STUDIES

USAID Oceans' partners include a diverse range of private sector companies and organizations at the international, regional, national, and local levels, engaged through subcontracts, grants, and concept notes. As of August 2019, USAID Oceans had developed 12 formal partnerships, and was engaging informally with 27 additional companies and organizations. USAID Oceans leveraged these partners' resources, innovations, and capabilities to catalyze investment toward shared interests, with over US \$3.5 million leveraged in in-kind public and private sector contributions from 2015 to August 2019.

The following case studies share examples from USAID Oceans' shared-value partnerships with private sector companies, highlighting their multi-stakeholder nature, activities involved, and the benefits partners have realized as a result. More information on each case study can be found at USAID Oceans' website, www.seafdec-oceanspartnership.org.

Anova Food, LLC. – Enhanced Traceability Capabilities and Operational Efficiencies

In 2017, Anova joined USAID Oceans’ network of partners working to establish full-chain “bait to plate” traceability for tuna products harvested in Southeast Asia and imported into the United States by documenting the seafood’s journey from its point of catch to its point of sale. To establish full chain traceability, partnerships are required throughout the seafood supply chain, from the fishers who catch the fish, to the importers—like Anova—that import and distribute the product to end consumers in the destination country. In 2018, USAID Oceans, together with its partner and grantee, [Yayasan Masyarakat dan Perikanan Indonesia \(MDPI\)](#), recruited small- and large-scale industry partners in USAID Oceans’ learning site of Bitung, Indonesia to test USAID Oceans’-supported seafood traceability technology and track seafood products through the seafood supply chain.

Anova sources its seafood from an Indonesia tuna processor and USAID Oceans “First Mover” partner, Blue Ocean Grace International (BOGI). In February 2017, BOGI began using the traceability application, [TraceTales](#), which allows processors to electronically track their inventory as it moves through the processing factory—from receiving, to filleting, to packaging, to freezing and shipping. [TraceTales](#), developed by MDPI, enabled BOGI to convert their previous paper-based recording system to a fully digital, computer-based system that allows them to electronically capture, store, and manage product data.

PARTNERSHIP BENEFITS

USAID Oceans:

- Opportunity to demonstrate eCDT technology proof of concept
- Progress toward program indicators for tracked seafood
- Lessons learned from technology implementation
- Leverage of in-kind and financial resources

Partner Organizations:

Anova:

- Increased assurance in meeting import requirements
- Greater ability to meet customer requirements
- Enhanced efficiency and business intelligence

BOGI:

- Increased accuracy and efficiency in operations and data management
- Reduced product recalls and waste
- Increased capacity for data analysis and business decision making
- Reduced operational costs

PARTNER PROFILE

[Anova Food, LLC.](#) is a top, sushi-quality tuna company in North America that leads the industry in the global sourcing of wild caught and sustainably harvested tuna. Anova imports over 12 million pounds of frozen tuna products to the U.S. each year, for sale by retailers including Walmart and US Foods. The company sources its seafood from several countries in the Western and Central Pacific Ocean, with 40 percent of its seafood harvested from the rich waters of Indonesia. Anova has a core commitment to social and environmental responsibility and works to deliver sustainable seafood to ensure a healthy supply of fish for future generations.



At BOGI, tuna is prepared, packaged, and shipped for export—all while being tracked with TraceTales.

PT Nutrindo – Enhanced Traceability Capabilities and Business Bottom-Lines

Similar to Anova, in 2017 Nutrindo joined USAID Oceans’ network of partners to establish full-chain eCDT for tuna products harvested in Southeast Asia that are imported into international markets with seafood traceability requirements, like the U.S. and Japan. USAID Oceans and MDPI recruited Nutrindo to test “bait to plate” seafood traceability technology to track products from the point of catch to the point of sale.

Nutrindo both catches tuna and purchases tuna from small-scale fishers to supplement the product that the company catches itself. In June 2018, Nutrindo began using *Pointrek Vessel Monitoring System (VMS)* technology, customized through USAID Oceans’ support to enable at-sea capture and transmission of seafood traceability data and allow two-way ship-to-shore communication. With Pointrek, Nutrindo can communicate with and track its fleet, reduce manual data entry and unreliable radio-based communications, and comply with national and international regulations. The company traces the tuna it sources from small-scale fishers and the fish suppliers, who act as brokers between the fishers and Nutrindo, using another USAID Oceans-supported mobile application, called *Trafiz*, that automatically shares data with Nutrindo.

PARTNER PROFILE

PT. Nutrindo Fresfood Internasional

(Nutrindo) is a tuna fishing and processing company, established in 2002 in Bitung, North Sulawesi, Indonesia. Nutrindo processes several types of tuna products, from fresh sashimi tuna, called “Saku” to ultra-frozen sashimi tuna. Saku is processed and packed as a ready-to-eat sashimi product, sold daily at international super markets, including in the United States and Japan. The company supports one-by-one caught tuna fishing—the most sustainable method of fishing.



USAID Oceans and Nutrindo’s partnership not only establishes at-sea traceability, but also enables ship-to-shore communication for crew members.

PARTNERSHIP BENEFITS

USAID Oceans:

- Opportunity to demonstrate eCDT solutions for both small-scale and commercial-scale vessels
- Opportunity to study a business’ return on investment as a result of eCDT technology
- Built a foundation for other programs to further enhance traceability work
- Lessons learned from technology implementation
- Leverage of in-kind and financial resources

Partner Organization – Nutrindo:

- Increased communication for fleet and plant management
- Reduced staff reporting time
- Enhanced ability to manage and record raw materials received from small-scale fishers
- Increased ease in complying with national and international market requirements
- Enhanced captain and crew experience
- Reduced operational costs

Thai Union – Enhanced Traceability Capabilities and Crew Communication

In March 2017, USAID Oceans and Thai Union signed a partnership agreement to advance traceability, further the development of regional data standards and explore the human benefits of traceability technology. In the same year, Thai Union launched a pilot program to test the usability and scalability of eCDT technology for at-sea data collection and improved crew communications. The pilot was conducted in cooperation with the Thailand Department of Fisheries (DoF), Mars Petcare, technology partners Inmarsat and Xsense, and USAID Oceans, implemented on four vessels between May and December 2017 in Ranong and Pattani, Thailand.

The pilot employed Inmarsat's *Fleet One VMS* technology with two-way communications, an eLogbook, and a mobile phone application developed by Xsense. At sea, the Inmarsat Fleet One VMS enabled the vessel captain and crew to capture and transmit KDEs through broadband connectivity and an eLogbook application. The eLogbook application, used onboard through a tablet, allowed real-time reporting of catch data to be transferred to Thai Union's existing, internal traceability systems that capture data throughout the supply chain. The mobile crew communication application, called Hi-Chat, enabled ship-to-shore crew communications so that workers at sea could communicate with family members and emergency personnel.

PARTNERSHIP BENEFITS

USAID Oceans:

- Opportunity to demonstrate at-sea catch reporting and crew communications
- Built a foundation for other programs to further enhance human welfare work
- Lessons learned from technology implementation
- Leverage of in-kind and financial resources

Partner Organization – Thai Union:

- Streamlined business operations with quicker sales, higher product quality
- Enhanced crew communication and morale
- Simplified data collection

PARTNER PROFILE



[Thai Union Group PCL.](#)

was founded in 1977 and since has grown into an international business with a large global portfolio of popular consumer brands that serve the United States, Asia and Europe. In 2016, Thai Union announced a [U.S. \\$90 million strategy](#) to ensure that a minimum of 75 percent of its branded tuna is sustainably sourced (i.e., from environmentally and socially responsible sources) by 2020 in order to ultimately achieve 100 percent tuna traceability. In 2017, the company also committed to the [Tuna 2020 Traceability Declaration](#), which supports the United Nations' 14th Sustainable Development Goal on marine conservation.



The National Network on Women in Fisheries in the Philippines, Inc. (WINFISH) – Enhanced Environment for Gender Equitable Interventions and Actions

In 2016, USAID Oceans partnered with Philippines-based organization, WINFISH, to conduct a gender analysis of the tuna fisheries' value chain in General Santos and Sarangani Bay Area, the Philippines. Outputs from the gender analysis provided key insights in the development of USAID Oceans-supported guidelines, recommendations, sustainable fisheries management plans, and eCDT system design requirements. Following, in 2018, USAID Oceans awarded WINFISH a grant to raise awareness of gender equity and empower women for sustainable fisheries management, addressing gender issues and opportunities found during the gender analysis through policy development, capacity building, and identification and empowerment of sector champions. Through the grant, WINFISH has further leveraged commitments from a network of local partners to support their work. WINFISH has built partnerships, strengthened collaboration, and consolidated efforts among stakeholders to integrate gender-sensitive approaches into fisheries management and promote gender equity.

PARTNER PROFILE



WINFISH is a Philippines-based NGO, whose vision is a gender-fair society and a gender-responsive fisheries sector. It is headquartered at the University of the Philippines Visayas in Iloilo City, and has members from all over the country. WINFISH's mission is to recognize, utilize, and enhance women's potential and capabilities in the fisheries sector for sustainable and equitable development. Its goals include recognizing women's role in nation-building through their participation in fisheries-related activities; organizing women in the fisheries sector for advocacy and networking activities; and providing focused direction for fisheries-related activities of women, in partnership with men.

Through the partnership, WINFISH has been able to engage government, private sector, non-government, academe, and civil society partners to strengthen the activity. USAID Oceans has also benefitted from WINFISH's existing partnerships with key stakeholders, such as the Bureau of Fisheries and Aquatic Resources (BFAR) Department of Agriculture, the Philippine Council for Aquatic and Marine Research and Development, Department of Environment and Natural Resources, the University of the Philippines Visayas, Local Government Units, and the Mindanao State University—General Santos.

PARTNERSHIP BENEFITS

USAID Oceans:

- Integrated evidenced-based gender dimensions into activities to address gender equity issues
- Documented application of the USAID Gender Domains Framework and Gender-Responsive Value Chain Analysis Framework for replication and capacity building
- Established leadership in gender integration with technology development and fisheries management
- Achieved M&E targets related to gender in fisheries

Partner Organization – WINFISH:

- Expanded reach and shared knowledge on gender in fisheries through collaboration with a regional project and international organizations
- Gained additional experience and lessons learned in implementing non-research interventions with a diverse array of stakeholders
- Obtained more in-depth knowledge of eCDT and EAFM to apply to organizational capacity
- Formed partnerships with local stakeholders (government, non-government, private sector, academe, civil society) to expand the WINFISH network in Mindanao and in the fisheries sector
- Identified opportunities for capacity building and advocacy on gender in fisheries

Yayasan Masyarakat dan Perikanan Indonesia (MDPI) and Mindanao State University Naawan Foundation for Science and Technology Development, Inc. (MSUNFSTDI) – Improved Fisheries Management through Use of eCDT Data

In 2019, USAID Oceans awarded grants to MDPI and MSUNFSTDI to leverage eCDT data for improved fisheries management in Indonesia and the Philippines, respectively. Specifically, the grant focused on supporting the implementation of management measures, particularly in regard to data collection, availability, connectivity, and user understanding and application of the data. The partnership focused on developing a data analytics tool and building stakeholder capacity to use the tool for management purposes. It is envisioned that through better access to and better understanding of data, management responses can address activities identified as IUU fishing.

MDPI and MSUNFSTDI identified available data sources and KDEs to be used in the data analytics tool, using the EAFM. Using the tool, fishery management personnel will be able to use eCDT data to make data-driven, real-time fisheries management decisions. The data analysis tool will also be shared with stakeholders beyond USAID Oceans' learning site for national scaling and expansion.

PARTNERSHIP BENEFITS

USAID Oceans:

- Gained firsthand knowledge and developed proof of concept for CDT data's use for EAFM planning
- Built technical capacity of local fishery managers to use eCDT systems for management and regulatory decision making
- Established technological innovation, enabling eCDT data to be used for real-time fisheries management decision making

Partner Organizations – MDPI and MSUNFSTDI:

- Expanded the scope of traceability work for future funding opportunities
- Developed a track record of successfully piloting cutting-edge technology and strengthened capacity to engage in additional initiatives, including the MDPI's One-by-One Tuna Alliance

PARTNER PROFILE

MDPI is an Indonesia-based NGO formed in 2013. MDPI has extensive experience in fisheries traceability, with extensive supply chain knowledge, deep-rooted industry partnerships, and first-hand experience in the development and implementation of traceability systems. MDPI is a member of the One-by-One Tuna Alliance, a consortium of organizations focusing on small-scale handline and pole and line fisheries. The Alliance aims to improve the sustainability of small-scale handline and pole and line fisheries in Indonesia.

MSUNFSTDI was founded in 1992 as a non-profit and non-government organization, specializing in resource and environmental management. The NGO supports sustainable fisheries and biodiversity conservation in the Philippines through research and development projects, and is funded by a range of institutions, from national government agencies to NGOs, and the private sector. Through a long-established relationship with BFAR, MSUNFSTDI has extensive experience in conducting research and implementing projects in marine resource management and has been able to leverage relevant data and knowledge gained from these projects in the development of fisheries management plans for both ecological and socioeconomic purposes.

CHAPTER 5: CONCLUSION

Once partners have executed agreed upon activities and/or have reached the end of the partnership timeframe, the parties should start a review process in order to assess the partnership's success to date and determine next steps. During this step, the partnership concept note and M&E indicators should be referenced to understand whether partnership objectives and outputs have been achieved. Based on the review findings, partners can discuss next steps, determining if the partnership is complete, or if activities will be considered for renewal and scaling.

Partners should renew their partnership when there are remaining objectives and outputs that both partners still want to achieve and both partners are willing to contribute more time and resources to achieve them. In this situation, partners should revisit the partnership concept note and revise the existing partnership model, activities, and resources, to extend the partnership timeline.

If partners want to scale or expand partnership activities, opportunities should be identified for consideration, e.g., into a different industry or geographical area. Then, the next phase of the partnership can be mapped out, with a new set of objectives, expected outputs, activities, timeline, and resources. Whether a partnership is completed, renewed, or scaled, partners should always recognize, celebrate, and learn from their joint achievements. Best practices and lessons learned should be documented throughout the course of each partnership to build institutional capacity, as well as add to the sector and region's growing field of knowledge.

ANNEX I: STAKEHOLDER MAPPING TEMPLATE

Organization	Location(s)	Short Description
Seafood Processors and Fishing Companies		
Industry Associations		
Technology companies (IUU, traceability, and data collection)		
Retailers/Brands/Importers		
Industry-oriented NGOs and Networks		
Environmental NGOs		
Labor and Social Rights NGOs and Foundations		
Foundations and Donors Addressing IUU Fishing		
Standards Bodies (Non-Government and Government)		
Finance and Advisory Organizations		
Intergovernmental Organizations and Donors		

ANNEX II. PARTNERSHIP INTERVIEW GUIDE

Notetaker Name		Organization Name	
Other Interviewers		Organization Interviewee(s)	
Meeting Date		Organization and Description	
Organization Address			
Website Address		Industry	
		<input type="checkbox"/> Fisheries & Agriculture <input type="checkbox"/> Technology <input type="checkbox"/> Finance <input type="checkbox"/> Other (please indicate) _____	
Organizational Reach		Organization Size	
<input type="checkbox"/> Local <input type="checkbox"/> Regional <input type="checkbox"/> National <input type="checkbox"/> International		<input type="checkbox"/> 0 – 50 people <input type="checkbox"/> 51 – 100 people <input type="checkbox"/> 101–1,000 people <input type="checkbox"/> 1,000+ people	
Organization Type			
<input type="checkbox"/> Corporation <input type="checkbox"/> Small or medium enterprise <input type="checkbox"/> NGO/Non-profit <input type="checkbox"/> Government <input type="checkbox"/> Academia (university, think tank)			
Employee breakdown by gender			
Top-level management:		# male employees: _____	# female employees: _____ M/F ratio: _____
Mid-level management:		# male employees: _____	# female employees: _____ M/F ratio: _____
Low-level management:		# male employees: _____	# female employees: _____ M/F ratio: _____
Other (specify) _____		# male employees: _____	# female employees: _____ M/F ratio: _____
Goals		Challenges and Risks	
Question Guide			
Organization overview:			
<ul style="list-style-type: none"> • What is the organization profile (history, location, size, main products/services, partners)? • What are the organization’s primary interests and challenges? (Near-term and long-term) • Has the organization engaged with USAID or another donor project in the past? If so, how? • Does the organization have a good understanding of existing national and import regulations on sustainable fisheries, traceability, and labor welfare that may affect its business (e.g., EU, US SIMP, ILO Labour Conventions, ETI Base Code, UK Modern Slavery Act 2015, US Tariff Act 1930, US Trade Facilitation and Trade Enforcement Act of 2015, Seafood Slavery Risk Tool)? 			
Current work			
<ul style="list-style-type: none"> • Does the company have specific strategies and activities related to eCDT? Sustainable fisheries management? Gender equity and empowerment? Community development and human welfare? Worker training and improvement? • Does the organization work (or plan to work) with any certification schemes (e.g., MSC, Best Aquaculture Practices/BAP) or improvement programs for sustainability or social responsibility? 			

- Does the organization participate (or plan to participate) in any multiple stakeholder engagement/partnerships related to eCDT, sustainable fisheries management, or social responsibility?
- [If a company] Does the company have corporate social responsibility or community development activities?

Drivers and challenges

- What does the organization perceive as the drivers and value for eCDT implementation? Sustainable fisheries management? Promoting gender equity and human welfare?
- What does the organization perceive as challenges/gaps/issues in eCDT implementation? Sustainable fisheries management? Promoting gender equity and human welfare?

Next steps

- What kind of support does the company need in order to implement eCDT?
- What is the company’s eCDT implementation timeline?
- What kind of support does the company need in order to promote gender equity, women’s empowerment, and human wellbeing?
- When is the next available time to discuss the partnership opportunity?

Post-interview Assessment				
Opportunity: Probability level to move partnership forward				
Low probability	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	High probability
Alignment: The degree to which partner interests align and overlap with your goals and objectives				
Low degree	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	High degree

ANNEX III. PARTNERSHIP PRIORITIZATION SCORECARD

Scoring Guide

Break workshop participants into small groups. Each group will review and evaluate 4 or 5 partnership opportunities by scoring each priority factor as high, medium, or low.

- For development value, business value, and government value:
 - High value = 3 points
 - Medium value = 2 points
 - Low value = 1 point
- For risks and transaction costs:
 - High risks and transaction costs = 1 point
 - Medium risks and transaction costs = 2 points
 - Low risks and transaction costs = 3 points

Combine the score for each category as well as the total score for all four categories to compare and prioritize partnership opportunities.

PARTNERSHIP: _____		
Priority Type	Priority Factor	Score
Development Value	Demonstrated Relevance	
	Increased Scale	
	Improved Effectiveness	
	Improved Efficiency	
	Increased Sustainability/Replication	
	Systemic Change	
	Total Development Value	
Business Value	Business Barrier/Challenge	
	New Market/Investment Opportunity	
	CSR/Image Value	
	Total Business Value	
Government Value	Increased Capacity	
	Increased Resources	
	Systems Integration	
	Total Government Value	
Risks and Transaction Costs	Risk	
	Staff Intensity	
	Time Horizon	
	Total Risk/Transaction Cost Value	
TOTAL		

While filling out a scorecard, groups should discuss each partnership opportunity in depth and write a brief overview of the partnership concept and an explanation for each sub-score. After scoring each partnership, the groups should reconvene to compare all scorecards. Based on the comparison, the group can recommend whether to engage, hold, or drop each partnership opportunity. There is no specific guide for deciding whether or not to move forward on a partnership opportunity based on aggregated scores. However, USAID Oceans experience suggests engaging a potential partner with a total score of above 35, putting the partnership opportunity on hold (while continuing to explore the fit further) if the total score is between 31 - 34, and dropping the partnership if the total score is less than 30.

ANNEX IV. PARTNERSHIP DUE DILIGENCE TEMPLATE

DUE DILIGENCE MEMORANDUM

Drafted by: _____
Title, Organization: _____
Date: _____
Re: Due Diligence Report on _____
(company name)

Description of potential partner:

I. Introduction

Organization history with potential partner, including current discussions
Type of potential partnership (i.e., grant, MOU, informal partnership)

2. Summary of key issues for consideration

Risk to the organization posed by the concerns that have been identified in the due diligence findings in Section 3

3. Summary of due diligence findings

Corporate image
Efforts towards, and difficulties associated with, social responsibility
Efforts towards, and difficulties associated with, environmental accountability
Financial soundness
Policy compatibility
Summary of positive and negative performance issues

4. Conclusion/Recommendation

Recommendation of whether or not to proceed with the partnership, as well as anything that should be done to address the issues raised in Table 2.

CLEARANCE PAGE FOR ACTION MEMORANDUM on Due Diligence of (Company Name)

Clearances: _____
(Name, Title, Organization)

Date: _____

ANNEX V. PARTNERSHIP CONCEPT NOTE TEMPLATE

[Organization Names] Partnership Concept Note

About [Organization A]

--

About [Organization B]

--

Partnership Rationale and Objectives

Partnership Rationale:
Partnership Objectives <ul style="list-style-type: none">•••

Activities and Timeline

Activity	Organization lead	Timeline
•		
•		
•		
•		
•		
•		

Roles & Responsibilities

[Organization A] will: <ul style="list-style-type: none">••
[Organization B] will: <ul style="list-style-type: none">••

Resource Allocation

Resource	Organization A	Organization B
TOTAL	USD	USD

Monitoring & Evaluation Indicators

Indicators	Unit	Reporting frequency	Accountable organization
•			
•			

We jointly accept this partnership concept note.

Accepted by:

Accepted by:

(signature)

(signature)

Name: _____

Name: _____

Title: _____

Title: _____

Organization: _____

Organization: _____

Date: _____

Date: _____

ANNEX VI. SAMPLE PERFORMANCE INDICATOR REFERENCE SHEETS

The following Indicator Reference Sheets are samples of indicators used under the USAID Oceans program.

<p>Indicator: Value in cash or in-kind of public and private sector investments in sustainable fisheries and coastal and marine ecosystem conservation</p>
<p>Definition(s): The development, adoption, and sustainability of the electronic catch documentation and traceability (eCDT) system will depend on a range of governmental and non-governmental partners including the private sector. Technology and fishing industry private sector stakeholder investment in and uptake of the eCDT system will be critical to its success and the overall adoption rate as will government commitment of human, financial, and material resources. The amount of investment by public and private sector stakeholders in the eCDT system’s development and implementation will be seen as a measure of trust and commitment to the eCDT system.</p> <p>This indicator captures the total value of cash and in-kind investment by the public and private sector including commitments made through formal partnerships by the private sector partner(s) or “resource partner(s).” In addition, the type and value of each partners’ contribution can be disaggregated.</p> <p>Cash contributions are the value of the cash contributed to the partnership, while in-kind contributions are defined as valuable resources that may include time, support, or increased effort. Valuation of in-kind contributions will be based on average commercial prices applicable in a country or a region and will be measured in and converted to USD. Conversions will use the most recent currency exchange rate during the contribution period.</p> <p>A partnership is considered “formed” when there is a clear agreement, written and signed, to work together to achieve a common objective. This is often in the form of a memorandum of understanding (MOU), a cooperative agreement, and/or a contract but can include a letter of agreement, co-signed concept note, purchase order, or other expressed commitment where the partners agree to combine resources and expertise to achieve key development objectives and mutually determined results. Only partnerships formed in the reporting year should be counted. Any partnership that was formed in a previous year should not be included.</p> <p>“Private sector” refers to private businesses, financial institutions, entrepreneurs, investors, philanthropists, foundations, and other for-profit and not-for-profit non-governmental entities. This indicator considers both public and private sector entities that have formally partnered with USAID Oceans or USAID, and not third-party beneficiaries.</p> <p>“Investment” means both the cash and in-kind contributions made by the public or private sector partner(s) and the USG partner. This value is normally determined when each partner signs the MOU, letter of agreement, or purchase order based on expected expenditures (e.g., labor hours, travel costs, equipment procurement). Contributions from U.S. government agencies or implementing partners under the public-private partnership (PPP) should be included as a USG contribution, not a private sector investment.</p>
<p>Type of Indicator: Input</p>
<p>Unit of Measure: U.S. Dollars (USD)</p>
<p>Disaggregated by:</p> <p>Value of cash (in USD) public or private sector partner(s) investment Value of in-kind (in USD) public or private sector partner(s) investment Type of partner (e.g., technology partner; industry partner; government, NGO) Country/region</p>
<p>Rationale or justification for indicator:</p> <p>This indicator will capture the contributions of public and private investment to the eCDT system’s development, including formal PPPs for biodiversity conservation, promotion of an ecosystem approach to fisheries management, and combatting illegal, unreported, and unregulated (IUU) fishing and seafood fraud.</p>
<p style="text-align: center;">PLAN FOR DATA COLLECTION</p>
<p>Data Source: Copies of documents reflecting cost share amounts, including signed cost share of leveraged resources allocation forms; MOUs; formal partnership agreements; or other documents indicating public and private sector investment in the eCDT system’s development.</p>

Indicator: Value in cash or in-kind of public and private sector investments in sustainable fisheries and coastal and marine ecosystem conservation
Data Collection Method and Flow: The PPP Specialist and other staff as identified will be responsible for collecting and submitting data to the Monitoring & Evaluation (M&E) Specialist. Before submission to M&E Specialist, the PPP Specialist will provide or review the method of calculating in-kind contributions (in USD) as an attachment along with the data source. The M&E Specialist will collect and collate data and lead data quality assessment (DQA) and reporting efforts.
Reporting Frequency: Quarterly
Individual(s) Responsible at Implementing Partner: M&E Specialist
Individual(s) Responsible at USAID: Contract Office Representative (COR) and Regional Environment Office (REO) Strategic Information Specialist
Location of Data Storage: USAID Oceans' Management Information System
DATA QUALITY ISSUES
Dates of Last Data Quality Assessments and Name of Reviewer: N/A
Date of Future Data Quality Assessments: By September 2017
Known Data Limitations (if any): Subjective nature of calculating the value of in-kind contributions and determining which elements count towards the in-kind contribution.
Actions Taken or Planned to Address Data Limitations: The Activity will provide guidance to partners to enable consistent definition and calculation of in-kind contributions.
TARGETS AND BASELINE
Baseline timeframe: Baseline is 0.
Rationale for Targets: Targets based on USAID Oceans' Rapid Partnership Appraisal. USAID Oceans anticipates that by 2020, the amount of \$4M; (\$0.5M in FY17, \$1.5M in FY18, \$1M in FY19, and \$1M in FY20) in industry and government contributions will be raised to sustain the eCDT systems. This indicator will be tracked on a quarterly basis.

Indicator: Number of new USG-supported public-private partnerships (PPPs) formed
Definition(s): Number of PPPs formed during the reporting year, regardless of duration of partnership. A partnership with multiple partners should be counted as a single partnership. However, an operating unit may form more than one partnership with the same entity and each partnership should be counted separately. A partnership is considered "formed" when there is a clear agreement, written and signed, to work together to achieve a common objective. This is often in the form of an MOU or, more formally, as a cooperative agreement, and/or a contract in which the partner(s) and the USG agree to combine resources and expertise to achieve key development objectives and mutually determined results. Only partnerships formed in the reporting year should be counted. Any partnership that was formed in a previous year should not be included. Count both Global Development Alliance (GDA) partnerships and non-GDA partnerships for this indicator. There must be either a cash or in-kind contribution to the effort by all partners. A USG entity must be one of the public partners, though often USG-entities are represented in the partnership by implementing partners. Private partners can be for-profit enterprises, NGOs, a private company, community group, or a state-owned enterprise which seeks to make a profit (even if unsuccessfully). A public entity can be national or sub-national government as well as a donor-funded implementing partner. It could also include non-profit state enterprises. The development, adoption and sustainability of the eCDT system depends on a range of governmental and non-governmental partners, including the private sector. Technology and fishing industry private sector stakeholder investment in and uptake of the eCDT system and will be critical to its success and the overall rate of adoption. The number of private sector stakeholders involved in the development and implementation of the eCDT system will be seen as a measure of trust and commitment to the eCDT system. Partnerships are counted towards targets when they are formally launched (e.g., MOU signed, activities initiated). The indicator should only measure the new partnerships in each reporting year.
Type of indicator: Input
Unit of Measure: Number of partnerships

Indicator: Number of new USG-supported public-private partnerships (PPPs) formed
Disaggregated by: Country and type (technology or industry)
Rationale or Justification for indicator: This indicator will capture the contributions of PPPs to biodiversity conservation, EAFM promotion, and combatting IUU fishing and seafood fraud.
PLAN FOR DATA COLLECTION
Data Source: Copies of signed MOUs, letters of agreement, or contracts/grants that include identified resource contributions (cash and in-kind) of partners.
Data Collection Method and Flow: The PPP Specialist and other staff as identified will be responsible for collecting and submitting data to the M&E Specialist. The M&E Specialist will collect and collate data and lead DQA and reporting efforts.
Reporting Frequency: Quarterly
Individual(s) Responsible at Implementing Partner: M&E Specialist
Individual(s) Responsible at USAID: COR and REO Strategic Information Specialist
Location of Data Storage: USAID Oceans Management Information System
DATA QUALITY ISSUES
Dates of Last Data Quality Assessments and Name of Reviewer: N/A
Date of Future Data Quality Assessments: By September 2017
Known Data Limitations (if any): Partnerships may be curtailed or suspended by either party based on the inability to meet expectations or for other reasons. As a result, a target may be counted as achieved even though the objectives of the partnership will not have been fully met.
Actions Taken or Planned to Address Data Limitations: USAID Oceans will undertake extensive risk analyses for each partnership and extensive planning and negotiations with prospective partners. Agreements will be structured to ensure success to the extent possible.
TARGETS AND BASELINE
Baseline timeframe: Baseline is 0.
Rationale for Targets: Targets based on preliminary Rapid Partnership Appraisal. Eight partnerships will be formed over the life of the activity. Two new partnerships will be established annually between FY17 to FY20.

The USAID Oceans and Fisheries Partnership
www.seafdec-oceanspartnership.org