SEAFOOD ALLIANCE FOR LEGALITY AND TRACEABILITY (SALT)
September 29, 2017 to September 28, 2023
YEAR 5 WORK PLAN

SALT
SEAFOOD ALLIANCE FOR
LEGALITY & TRACEABILITY

This document was produced for review by the United States Agency for International Development (USAID). It was prepared by FishWise for the Seafood Alliance for Legality and Traceability (SALT). Cooperative Agreement # AID-OAA-A-17-00020

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1. Summary of Year 5 Activities

SALT's Year 5 will focus primarily on the Comprehensive Traceability Principles and the Pathway to the Principles. SALT will apply the Principles and Pathway in different country contexts; learn from Principles application to (from verification to scaling and social responsibility); and adapt the Principles to improve successful traceability programs.

SALT Year 5 Activities	
Collaborations & MOUs	Global Dialogue on Seafood Traceability (GDST)
	World Bank Coastal Fisheries Initiative Challenge Fund
	Others (GTA, FiTI, etc.)
SALT Governance Coordination	Coordination & Advisory Committee
Event or Forum Participation	Virtual or in-person events
Principles & Pathway	
Full Application: Grants to Support Principles Application	Tanzania
	Peru
Basic to Moderate Application: Direct Consultation to Countries for Better Knowledge of eCDT	FAO Blue Ports
	Vietnam
	Indonesia
	Latin America and Caribbean (Mexico, Ecuador)
	Canada
	Sweden
Principles Learning and Improvement	Refining & Adapting Principles
	Scaling
	Verification
	Social Responsibility
Learning Efforts	Government Digitization
	Evaluation Framework
	Ongoing Learning: Philippines Follow-Up
	Ongoing Learning: Belize Follow-Up
General Communications	Social Media, Newsletters, Campaigns
Website Management	Maintenance, Customization, Seascape
New Products	Story Hub, etc.

Table 1: SALT Year 5 Activities

2. Introduction and Background

2.1. Introduction

This document represents the SALT Year 5 work plan and reflects programmatic shifts with the one-year extension. This document outlines how SALT has progressed heading into the fiscal year 2022 with the overarching strategies. Finally, specific work plan activities per SALT's strategic approaches are outlined with timelines and which SALT staff will lead each activity.

2.2. Background

On August 30, 2017, the United States Agency for International Development (USAID) awarded FishWise a five-year cooperative agreement to be the implementing partner for SALT. Cooperative Agreement #AID-OAA-A-17-00020 became effective September 29, 2017. SALT is a global alliance for collaboration and learning to promote legal and sustainable fisheries through improved transparency in seafood supply chains. SALT brings together the seafood industry, governments, and nongovernmental organizations (NGOs) to accelerate learning and support collaboration on innovative solutions for legal and sustainable seafood—with a particular focus on traceability, the ability to track the movement of seafood through supply chains. SALT is a response to policy, industry, and technological developments that create opportunities to address sustainable fisheries management as a key issue for development and biodiversity conservation. It brings together the resources, relationships, and experience of USAID; the Packard, Moore, and Walton Family Foundations; and FishWise to create a global, multi-stakeholder network for collaboration and learning. This network is capable of accelerating innovation and identifying and scaling emerging best practices.

Illegal, unreported, and unregulated (IUU) fishing represents one of the most complex issues confronting the world today. Complex systems are dynamic by nature and made up of interdependent parts. This is true in ecological systems, market systems, and social systems. To change or transform a system requires more than individual or unilateral action. Complex systems' problems require collaboration and coordination to achieve positive change. Addressing IUU fishing, associated labor and human rights abuses, and inadequate fisheries management will contribute to improving security, economic prosperity, and food security for the millions of people who depend on fisheries for their livelihoods.

To counter IUU fishing, stakeholders worldwide recognize the importance of more transparent seafood supply chains. One of the tools governments, private industry, and NGOs have leveraged to create more transparency is digitally tracking seafood products as they change hands throughout the supply chain via electronic catch documentation and traceability (eCDT).

Catch documentation and traceability programs need to be available, widely used, and enable industry to monitor and self-regulate to achieve results. Ideally, such programs are electronic or can move from paper-based to electronic early on in supply chains. Seafood producing countries need to improve their capacity to manage fisheries and implement reform while detecting and deterring IUU fishing. That

requires catch documentation and traceability programs to be in place and for the data within those programs to be shared by industry with seafood producing countries for sustainable management of fish as critical inputs into supply chains.

Defining the terms associated with eCDT is important to distinguish between a system and a program. An eCDT system is a network of technologies that have the potential to improve operational efficiency and responsiveness of supply chains, identify sources of risk, and streamline reporting and compliance processes for participating companies. An eCDT program collects and analyzes data from eCDT systems, and when implemented at the government or regional fisheries management level, those data can benefit other users in multiple ways. By using data from systems related to seafood products, governments can strengthen the effectiveness of fisheries management; identify and prevent illegal, unreported, and unregulated (IUU) and mislabeled products from entering domestic and international markets; and support legal and equitable human welfare conditions for seafood workers. Using data captured from eCDT programs to support ecological, economic, and social objectives is called a 'comprehensive' approach. For the purposes of this document, 'eCDT' will be used to primarily signify the broad spectrum of work of a program—from consultation and design to capture and sharing data in the interest of implementing a holistic program.

For SALT's approach, ecological well-being includes improved fisheries management as an essential element of healthy ocean biodiversity and profitable seafood supply chains. Effective management of fisheries, both large and small-scale, is important to food security and the livelihoods that depend upon fish and seafood. Successful fisheries management ensures social and economic benefits can increase while maintaining sustainable yields, protecting and securing fishery resources, and conserving biodiversity and ocean resilience in the face of climate change.

Progress in the traceability field has been slowed by what should be interrelated work occurring in isolation. There is interest in and work happening on eCDT globally, but no single entity has a place for learning and collaboration around it. USAID and the partner foundations developed SALT to fill that gap. Central to SALT's work is uniting these disparate conversations and work streams into one coherent dialogue, captured by a wide-ranging knowledge management system. SALT aims to catalyze solutions that transform how the seafood industry and governments collect, share, verify, and, ultimately, use data for sustainable and socially responsible fisheries. SALT focuses on collaboration and learning for traceability by engaging diverse stakeholders across seafood supply chains, maintaining and expanding an online resource and learning platform, and creating resources that capture and synthesize information around existing eCDT efforts to support knowledge sharing on traceability generally and to support specific seafood producing country needs. For the purposes of this document, electronic catch documentation and traceability or "eCDT" will be used to signify the broad spectrum of work from capturing and using data to the entire traceability system where SALT will engage; "comprehensive" eCDT systems are those that address ecological, social, and economic well-being.

SALT promotes network building and knowledge exchange to enable action and change for comprehensive eCDT. SALT's key results include the development of principles for comprehensive

eCDT and the incorporation of those principles into existing or new eCDT programs. The SALT Monitoring, Evaluation, and Learning (MEL) plan contains additional details.

There is interest in and work happening on eCDT globally, but no single entity has a place for learning and collaboration around it. USAID and the partner foundations developed SALT to fill that gap. SALT draws upon elements of collective impact theory, with FishWise playing the role of a backbone organization. At the end of this project, SALT envisions a dynamic community of stakeholders worldwide who access, share, and apply traceability knowledge and best practices to create comprehensive traceability programs—programs that are effective and scalable to support ecological, economic, and social well-being overall.

Over time, SALT aims to achieve four main objectives:

1. Expand accessible, interoperable, and electronic catch documentation and traceability programs for wild capture fisheries and aquaculture.

2. Increase the capacity of seafood producing countries to adopt catch documentation and traceability programs to strengthen fisheries management and verify fisheries data.

3. Increase incentives and capacities for the seafood industry to adopt electronic traceability to ensure the legality of wild-caught fisheries products in their supply chains.

4. Identify ways in which the implementation of eCDT can support human and labor rights for all seafood workers, food security, livelihoods, and well-being.

Under the cooperative agreement, this document presents the Year 5 work plan for SALT. Any necessary adjustments to MEL plans and other documents, as a result of Year 6, will be made in the coming months.

3. SALT Extension

USAID requested that SALT submit a revised program description and budget to extend the project by one year, which was approved for an end date of September 28, 2023. The additional one million dollars in funding and one-year extension of the performance period allows SALT to apply the Traceability Principles and Pathway this fiscal year. The work plan describes robust application activities as a result of the extension.

4. SALT Year 5 Themes and Audience

4.1. Seafood Producing Country and Industry Focus

For implementation, audiences are the targets of proposed activities intended to receive tailored information or support. Stakeholders are groups or individuals who are directly impacted by the activities or have a vested interest. Stakeholders can be more general and include the target audience(s) of an activity and expand beyond that group.

SALT's audiences will stay largely the same as prior years with a primary focus on seafood producing developing countries and industry broadly.

- Seafood producing countries - SALT wants to increase capacity for seafood producing countries, and particularly developing countries (and those where USAID and SALT's partner foundations work), to adopt eCDT programs. Seafood producing country stakeholders include groups from fishers to government and industry and those who support them, including NGOs. Most challenges lie at the fisher or government level in developing countries because of insufficient capacity. SALT will work through NGOs and others working with seafood producing country governments when appropriate. SALT will build networks with those stakeholders and see what they need and how SALT can assist. SALT will leverage USAID contacts with missions and linkages to seafood producing country governments. Given the additional capacity issues identified, governments of seafood producing developing countries have more needs than other producer countries and align with SALT's partner and programmatic objectives.

- Industry - The seafood industry is an essential stakeholder in the uptake of eCDT. In Year 5, those industry stakeholders from a range of countries who have strong interest and leverage in seafood producing developing countries will be of particular focus through application of the Principles. To identify those groups, global alliances that represent industry, like the Global Tuna Alliance and Global Dialogue on Seafood Traceability, will be tapped to leverage the commitments those global actors have already made.

Notably, efforts by consumer countries to implement traceability programs have increased in the past three years, including the European Union's (E.U.) commitment to an electronic program and Japan's work on seafood traceability. SALT will monitor this important progress and engage consumer countries through the Advisory Committee and information sharing. SALT will also aggregate relevant information about these countries' efforts to serve seafood producing countries and industry audiences.

4.2. Latin America and Caribbean Focus

For the fiscal year 2022, the Latin America and Caribbean (LAC) Bureau has contributed $250,000 for insights and learning into issues related to seafood traceability in the region. Overall, the LAC Bureau contributed $500,000 for two years of support. Given interest from countries like Belize, Peru, and Mexico and ongoing IUU fishing issues in Ecuador and Chile, LAC is a region of interest. See the Latin America and Caribbean Plan 2021 for more details.

4.3. Focus on Disenfranchised Groups

SALT acknowledges that the humans in supply chains must be a focus of any work to improve biodiversity conservation. SALT works to serve disenfranchised populations including those subject to human and labor rights abuses in seafood supply chains and minority groups including women and girls, ethnic and racial groups, persons with disabilities, LGBTQI+ people, displaced persons, migrants, Indigenous Peoples and communities, youth, older persons, religious minorities, people in lower castes, and people of diverse economic class and political opinions.

4.3.1. Human Rights and Social Responsibility

Human rights and trafficking issues exist in seafood supply chains, with varying levels of risk depending on the complexity, geographies, and practices of each supply chain. Forced labor and human trafficking issues have been considered in the design of SALT, as these are known threats that impact sustainable fisheries and work in the seafood sector. With the support of FishWise's Social Responsibility Division and the newer connections SALT has made with human rights experts, SALT can access expertise in social responsibility and social inclusion issues related to fisheries and aquaculture sites.

Human rights and labor abuses, and trafficking are serious issues to be addressed within SALT and the broader seafood sustainability community. Within the past year, there was the update and relaunch of FishWise's Roadmap for Improving Seafood Ethics (RISE), Conservation International's Social Responsibility Assessment Tool for the Seafood Sector, and Fishery Progress's Human Rights and Social Responsibility Policy. Efforts to improve human and labor rights in seafood go beyond NGO projects as well. The U.S. government continues to increase the number of products blocked upon import due to an association with forced labor. In Europe, the resolution on Mandatory Human Rights Due Diligence will require increased supply chain due diligence. As the focus on integrating human rights into existing traceability and fisheries efforts continues to grow every year, it is important for SALT to recognize that need and implement projects accordingly.

The social responsibility work through SALT will primarily focus on advancing human and labor rights for seafood workers and may opportunistically include additional social responsibility priorities from the

Monterey Framework.[1] The main ways that social responsibility will be realized in Year 5 is through the application of the Comprehensive eCDT Principles, promotion of traceability data for social benefits, and increased awareness of social responsibility (section 6.1.6.).

4.3.2. Gender Integration and Social Inclusion

As part of its strategy, SALT will continue to leverage opportunities to support human and labor rights for all seafood workers and integrate gender considerations within SALT's work. Social inclusion work will continue to expand through SALT by intentionally including all voices in SALT processes and work—especially those usually disenfranchised, including considerations for women and girls, ethnic and racial groups, persons with disabilities, LGBTQI+ people, displaced persons, migrants, Indigenous Peoples and communities, youth, older persons, religious minorities, people in lower castes, and people of diverse economic class and political opinions.

As an intentional part of SALT's focus on equity in supply chains, SALT is uniquely positioned to address gender visibility issues by integrating gender into its program activities and subsequently raising awareness of women's participation and leadership in global eCDT efforts. SALT has the opportunity to set a standard for gender and social inclusion in the comprehensive eCDT space through its role as a convener and enabler of collaboration to promote improved transparency in seafood supply chains. Better understanding of gendered roles at each segment of the value chain can lead to creative solutions for enhanced data capture of seafood products and empowerment of seafood workers through increased transparency and value-add along the supply chain. In particular, social inclusion will be part of SALT's work by:

- Featuring less represented groups as experts at learning events and supporting participation of those groups, ensuring their voice and perspectives are heard by asking key questions:
  - What seafood stakeholders have gender on their agenda specifically related to traceability and supply chain transparency?
  - How can SALT make underrepresented groups feel more comfortable attending and sharing at convenings (virtual and in-person)?
  - How can SALT make virtual convenings and tools more accessible to underrepresented groups?
- Sharing important stories of those less represented. SALT can use the knowledge-sharing platform to encourage traceability efforts to support human and labor rights for all seafood workers and tell stories around gender, economic status, etc.

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[1] RISE, Social Issues in Seafood (2019)

o   Where are there gaps in the seafood community of stories being shared, and how can SALT help leverage the messages of those groups?

o   How can SALT share these stories in a way that is accessible and easily understood by a wide audience?

o   Where can SALT leverage existing relationships to highlight ongoing gender work in fisheries?

FishWise has also launched a Diversity, Equity, and Inclusion Committee to incorporate equitable concepts and best practices into both organizational processes and global practices. This added perspective on race and gender equity can provide additional insights for how SALT can best support holistic social inclusion and gender integration.

5. SALT Strategic Approaches and Activities

5.1. Network Building for Traceability Collaboration and Learning

As a key element of SALT, FishWise seeks to bring stakeholders together to promote more effective progress through collaboration. SALT will continue intentional engagement with its community and use these networks to further the learning and knowledge management goals of the project.

SALT's activities for this strategic approach include virtual collaboration and learning events that convene diverse, broad stakeholders across seafood supply chains and host specific events that target seafood producing country stakeholders to promote site-based or location-based change. The SALT community is an essential part of sustaining and expanding knowledge and action around eCDT globally. SALT also must continue to pursue additional support from broader audiences to make the case for traceability globally.

5.1.1. Collaborations and Memorandums of Understanding (MOUs)

SALT will continue to collaborate with large, global efforts to further the message of comprehensive traceability. Efforts like the Global Tuna Alliance, Fisheries Transparency Initiative (FiTI), the Global Dialogue on Seafood Traceability (GDST), and others support the broad changes in transparency in

seafood that SALT seeks. SALT will continue to identify opportunities to forge key partnerships with international bodies or alliances with similar goals and objectives. The multiplying power of this sort of engagement would support broader and faster uptake of comprehensive eCDT knowledge and awareness.

SALT will continue to engage closely with World Wide Fund for Nature (WWF) on behalf of the GDST in Year 5 under the SALT-WWF MOU. The purpose of the MOU is to promote and further the cooperation between SALT and the GDST. This strategic collaboration helps to promote the growth and effective implementation of interoperable and comprehensive eCDT programs by a variety of stakeholders, in support of natural resource conservation and social and economic well-being around the world.

SALT will collaborate on the learning effort from World Bank [Coastal Fisheries Initiative - Challenge Fund (CFI-CF)](). SALT will sign a Letter of Collaboration (LOC) to collaborate on the implementation of the World Bank's Coastal Fisheries Initiative - Challenge Fund (CFI-CF) Global Knowledge Competition implemented by Resonance and Future of Fish.

The Competition seeks innovative solutions from coalitions that address overfishing, focusing on coastal fisheries in four countries: Cabo Verde, Ecuador, Indonesia, and Peru. Proposed solutions must seek to reduce overfishing and address the tragedy of the commons through improved coordination among fishers and increased collaboration across stakeholders.

SALT will participate as a core partner contributing in-kind support critical to one or more elements of the Competition, such as acceleration, coaching, and mentoring to competitors during the Competition and/or to winners during post-competition; encouraging coalitions and organizations to apply; and supporting awareness building and knowledge sharing of winning solutions and coalitions post-competition. More details will be available once the final letter is signed.

5.1.2. Event or Forum Presentations

SALT will participate in relevant international and domestic meetings on fisheries management and seafood traceability to share information about SALT and its approach, gather inputs from key audiences for SALT's products, and further SALT's goals. In particular, SALT may participate in:

- World Fisheries Congress

- Seafood Expo North America and/or Global

- Our Ocean Conference

- Food and Agriculture Organization of the United Nations (UN FAO) Committee on Fisheries (COFI)

- The Economist World Oceans Summit

- GDST Dialogue Advisory Group

- Other forums as appropriate

5.1.3. SALT Committee Coordination

SALT will continue its commitment to learning and collaboration throughout implementation by carrying out the program in a collaborative way. For instance, SALT will continue to facilitate the Advisory Committee. In addition, the Coordination Committee will work to facilitate relationships by connecting people. SALT will use this approach in country applications as well.

6. Knowledge to Enact Comprehensive eCDT

6.1. Principles and the Pathway

The Comprehensive Traceability Principles and Pathway represent the best practices that governments in seafood producing countries should consider when embarking on designing, implementing, or improving their comprehensive electronic traceability programs. A comprehensive eCDT effort should capture and utilize ecological, economic, and social data related to seafood products to support and strengthen effective fisheries management, identify and prevent IUU and mislabeled products from entering markets, and support legal and equitable human welfare conditions for seafood laborers.

SALT identified the need for shared guidance that identifies the minimum level of best practice for the design and implementation of seafood eCDT programs within producer regions that address economic, social, and ecological goals, including fisheries management. The Comprehensive eCDT Principles Consultative Committee—which was formed of key experts on this topic as well as parties that are interested in applying these Principles to their own work in eCDT—and SALT's supporting organizations identified a need for Principles to specifically support seafood producing country governments' eCDT adoption and institutionalization.

The Principles are applicable to government representatives working to implement eCDT at a variety of scales (e.g. artisanal and/or industrial) and apply whether they are seeking to launch a large national eCDT program or a small regional pilot. The Principles were created as core themes to keep in mind throughout the process of designing, implementing, or improving a traceability program. They all hold equal importance and should all be considered throughout the entire process of creating or improving a

traceability program. The Principles are accompanied by the Pathway to the Principles, which has three phases for applying the Principles – initiate, design, and implement. The Pathway phases may be applied differently depending on how far along a government is in implementing an eCDT program.

Seafood producing country governments are the primary target for the Principles, as they have the authority and responsibility to implement policies for reducing risks to workers and for the ecological and economic management of their fisheries. While some nations have more developed institutional capacities and greater access to resources than others, the ability to regulate makes governments capable of institutionalizing traceability programs that are lasting and comprehensive in scope. Other stakeholders from seafood producing countries, such as fishers, government, and industry, are also target audiences for SALT.

The SALT project will focus all of its strategic approaches and work on facilitating stakeholder acquisition and application of the Comprehensive Traceability Principles and the Pathway to the Principles. The strategic approaches will be focused on the Principles and learning from their application, including:

- Improving global reach and knowledge of the Principles

- Increasing resources available for the Pathway to implement the Principles

- Creating country learning products based on Principles and eCDT application

- USAID learning and grant design support for further eCDT work

- Applying the Principles in three major traceability efforts (at a producer country or global alliance level). Supporting countries or global alliances in the application of the Principles could take several forms:

    o Working with country governments (or their partner organizations) or global alliances based on their needs to support the implementation of comprehensive eCDT via the Principles and Pathway

    o Connecting with experts and SALT staff to offer guidance on the application of Principles and Pathway or link to SALT's strong network for expertise needed

    o Coordinating with NGOs and local partners who work with governments on traceability

    o Hosting learning events to convene key stakeholders to support collaboration and better execution of comprehensive eCDT

6.1.1. Application of the Principles

SALT promotes network building and knowledge exchange to enable action and change for comprehensive eCDT. SALT has graduated in its evolution in the knowledge management cycle (Figure

1). The first few years of SALT activities centered around the first three steps of the knowledge management cycle: generation, capture, and dissemination of traceability knowledge. In Year 5, SALT will focus activities on the final two stages of the knowledge cycle: continued dissemination and application. This focus on the latter part of the knowledge management cycle will be sustained for the remainder of SALT and will focus on the Comprehensive Traceability Principles.
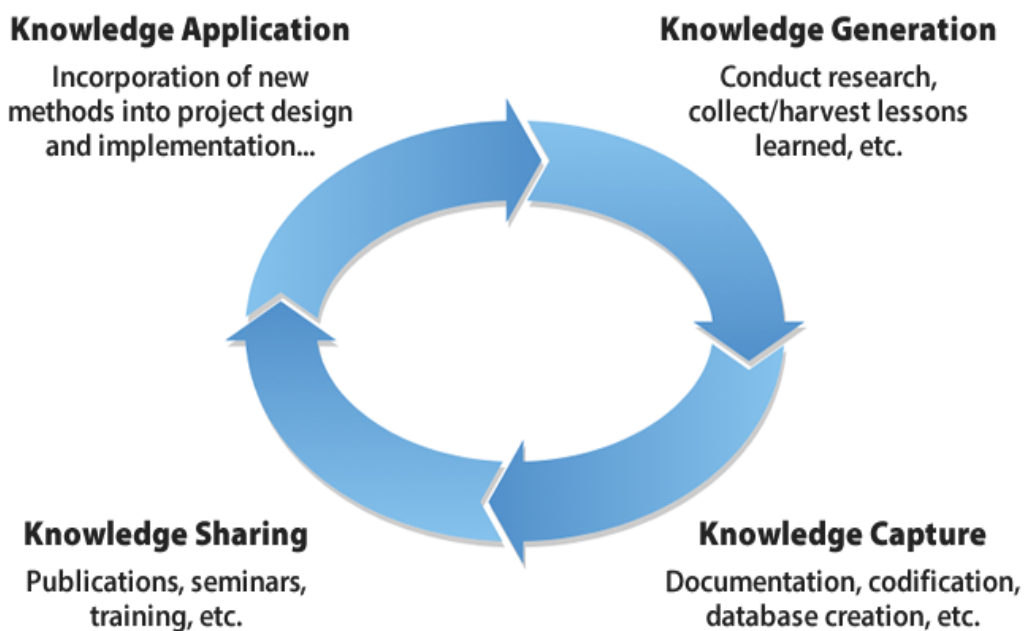
Figure 1: Knowledge Cycle

SALT has emphasized an equal and mutually beneficial use of collaboration and learning as its guiding approach. While both elements will continue to be an important part of SALT, learning will take more primacy as a main function to support knowledge management. SALT acknowledges that knowledge management seeks to get the right information to the right people at the right time and in the right format. Complex work on global systems cannot survive sustainably without knowledge management. The knowledge management cycle is a process of transforming information into knowledge, which explains how knowledge is captured, processed, and distributed. Most importantly, it includes how knowledge is applied within a system.

In order for SALT to apply its Principles to learn and improve the product, the team borrowed from the learning site strategy to develop a criteria for identifying application sites. SALT will select application sites ideally based on the following criteria understanding that key stakeholder groups and availability and access to sites will be a key determinant. Additional criteria could include:

- Key stakeholder groups - Countries where SALT can work with prioritized stakeholders including producer countries and industry.

- Geographic diversity - SALT is a global project that should reflect a broad geography of learning in order to share best practices and knowledge to promote change.

- Access to site, people, and operational support - Conducting learning trips takes substantial time and effort and SALT needs willing participants. Since FishWise does not have an existing presence in these countries, SALT will rely heavily on partners and existing projects in the learning sites, including USAID and partner foundation projects. The ability to identify support and expertise is a key factor for SALT.

- Comparable context - In order to promote cross-learning and best practices, learning sites must reflect the broad set of needs from different stakeholders. However, comparing industrial fleets' use of eCDT versus fishing communities is not ideal for learning about best practices for either context. SALT seeks to learn from each of these groups but the contexts for learning must be similar to do it effectively.

- Unique gender/disenfranchised/marginalized groups represented - SALT will work in a way that includes disenfranchised groups whenever possible.

- Contributions to sustainability of SALT's work beyond the life of the project (per the SALT Sustainability Plan, section 10.).

- Other factors will play into application site selection as well including the ability to tell a unique story with a replicable approach. Work that is early in the adoption of eCDT that could be tracked over time may be preferable as well.

Based on resources and time, SALT will propose a spectrum of application from basic to full in order to accommodate the widest possible application.

6.1.2. Full Application of the Principles and Pathway

SALT's work to apply the Principles are broken down into different levels of effort. A "full" application implies the most level of effort for staff. This advisor role can include strategy development, a few hundred hours of technical assistance, assessments, a learning event, and expanding the involvement of stakeholders. Given the funding and staffing, SALT will seek to contract with organizations with a local presence and expertise when possible to apply the Comprehensive Traceability Principles and Pathway. SALT may also partner with multilateral organizations like the Food and Agriculture Organization of the United Nations or others who may ensure the sustainability of the project. Two countries, Tanzania and Peru, have expressed interest in starting a national traceability program from the ground up. At the time of writing this work plan, they were selected as countries to invest the most staff time and resources to integrate the Principles into the country's program.

- **_Tanzania_**

SALT will partner with the Government of Tanzania's Ministry of Livestock and Fisheries Department to co-design a strategy for how to apply the Comprehensive eCDT Principles and Pathway in Tanzania in Years 5 and 6. SALT will collaborate with the USAID Mission in Tanzania and USAID Washington to determine the appropriate scope and alignment with USAID's global and national priorities.

Objectives:

- Apply the Comprehensive Traceability Principles in Tanzania with the support of the Tanzanian government and USAID Tanzania Mission to improve transparency through traceability.
- Apply the learning from the Tanzanian Principles application globally to improve the Comprehensive Traceability Principles & Pathway for future users.
- Improve engagement and involvement of women and youth in data capture.
- Improve government to government coordination.

Background

For the past several years, the Tanzanian government has been communicating with SALT with a strong interest in traceability. A government representative participated in a SALT Consultative Committee to develop the Comprehensive Traceability Principles. The Committee included 35 stakeholders from 18 countries. In September 2021, SALT began scoping this opportunity through a joint meeting between SALT, USAID, and the Tanzanian Ministry of Livestock and Fisheries Department. The request and scoping have set the stage for an initial application of the Traceability Principles in Tanzania over the next 14 months as a demonstration project for worldwide learning.

Approach

To support the creation of comprehensive traceability programs, governments need guidance on the best way to approach building them. This was the driving force behind the creation of the Comprehensive eCDT Principles. The Comprehensive Traceability Principles were created as core themes to consider throughout the process of designing, implementing, or improving a traceability program. They all hold equal importance and should all be considered throughout the entire process of creating or improving a traceability program.

To support the application of the principles, there is an online "Pathway to the Principles" that details the potential steps to put the Principles into practice. The Pathway to the Principles has three phases for applying the Principles – initiate, design, and implement. Each step connects users to guidance and resources to support their traceability work. The steps are tied back to one of the six principles. The Pathway phases may be applied differently depending on how far along a government is in implementing an eCDT program.

Integral to a successful application of the Principles in Tanzania, SALT and the Government of Tanzania will seek to empower underrepresented groups such as youth and women in the designing, initiating, and implementation of the traceability program, starting with co-design.

Activities

- SALT, USAID, and the Government of Tanzania will solidify a partnership by finalizing the scope of work.
- Once the scope is finalized, SALT will start outreach and awareness through:
    - A webinar focused on the region to introduce the Principles and Pathway with a particular focus on the potential with small-scale fishers. This event will start to sensitize stakeholders in Tanzania to traceability and SALT - as well as help identify interested parties.
    - Individual outreach and a request for proposals will be issued to identify potential partners in the octopus fishery.
- A co-design process will be used to jointly design the application of the Principles & Pathway to address the needs given the time and available funding.
    - Create a map of stakeholders for participation in the co-design process.
    - Facilitate a co-design event to establish common goals and design a strategy.
- Develop a Principles Strategy for design and implementation in Tanzania in partnership with the Ministry of Livestock and Fisheries Department.
    - Partner with a local organization/s to support initiation, design, and implementation.
    - Identify long-term sustainability and replicability options.

SALT will ensure all of the application work is aligned with USAID's Biodiversity Code by choosing a focus on marine protected areas along the marine coastal (mainland) ecosystem.

- *Peru*

Peru has interest in traceability programs from many different groups (foundations, NGOs, technology providers, and government agencies). As a result of this widespread and diverse interest, many initiatives are not sufficiently integrated, resulting in what some have dubbed a 'patchwork' of traceability efforts across the country. An initial Council Fire assessment determined a need to coordinate regional efforts to create a more aligned and comprehensive traceability program. SALT will support the ongoing traceability work in Peru via two methods: 1) fostering connections to collaborate and share learning, and 2) providing technical assistance to encourage the application of the Principles and Pathway.

While diving into traceability work in Peru, SALT has been exposed to the medley of overlapping initiatives, various agencies, and changes in government leadership. There are two primary Peruvian government agencies through which SALT's partners work, SANIPES and PRODUCE.

SANIPES is Peru's national fisheries health organization and is interested in creating a traceability program to better track the health and safety of seafood. They hired consultants to conduct a 'Sector Situational Analyses' to evaluate the traceability readiness in Peru. These consultants reached out to SALT after hearing about the Principles and Pathway and expressed interest in modifying the Pathway to match the Peruvian reality to create a roadmap to traceability implementation for SANIPES. SALT has supported their work by answering technical questions, providing resources, hosting additional meetings, and connecting them with other traceability experts in Peru. In particular, SANIPES expressed difficulty

around incentivizing fishers to participate in the traceability program and asked for examples of what other initiatives have done. SALT compiled numerous examples of fisher incentivization from literature, from site visits conducted in Years 2-4, and from FIPs. SANIPES also built off the initial roadmap created by the consultants to craft a gap analysis comparing every step of the Pathway to the Principles to their current plan for designing the traceability program, highlighting where their plan and the Pathway do not align and identifying what actions they could take to better incorporate the Principles. In Year 5, SALT will continue to provide technical assistance to the SANIPES consultants and provide feedback on the roadmap they craft. SALT has also offered to provide more direct collaboration to support their work.

In addition, SALT connected SANIPES consultants with WWF Peru, since they had been supporting the same government agency to create a traceability program but had never previously been in contact. SALT informed the overarching funder for both SALT and WWF Peru, the Walton Family Foundation, about the SANIPES progress and ensured that SALT was acting as a facilitator and connector to encourage collaboration and avoid redundant efforts.

The other government agency creating a traceability program in Peru is the Ministry of Production (PRODUCE). In Year 5, SALT may work alongside NGOs in Peru as part of an Interoperability Working Group to help establish interoperability guidelines for PRODUCE as part of their work on SITRAPESCA, the mobile version of their virtual platform that records fishing activities.

SALT has endeavored to facilitate collaborations throughout its LAC work by connecting stakeholders in the region working on similar projects. In Year 5, SALT will continue to play an essential role in fostering connections and encouraging partnerships between stakeholders working on traceability in Peru. SALT has been in contact with numerous traceability experts and NGOs working on seafood traceability in Peru, including WWF, Future of Fish Peru, and ProDelphinus.

6.1.3. Regional Application Efforts in Latin America and the Caribbean

Based on opportunities for engagement and impact in the Latin America and Caribbean (LAC) region and with the support provided by the LAC Bureau, SALT created an additional 2021 work plan with a focus on countries in Latin America, especially in Peru, Mexico, and Ecuador, where governments and partners are interested or currently working on traceability efforts in the seafood sector. LAC has growing work in traceability; according to the SALT Seascape Map on traceability efforts, the Caribbean has 65 active traceability efforts while Central America has 82 and South America has 79, as of August 2021 (Figure 2).
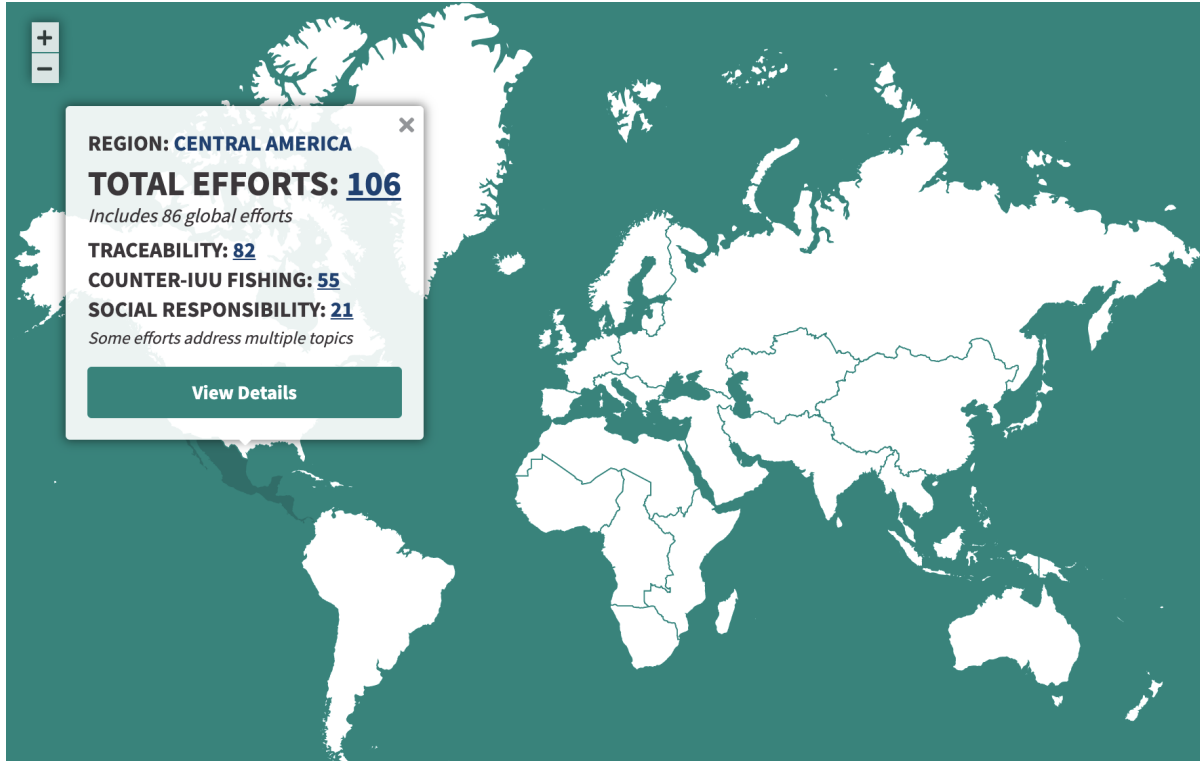
Figure 2: Central America Seascape Map Efforts

For Year 5, SALT will also update the work plan for the LAC region. Similar to the work plan for Year 4, SALT's Year 5 work plan (covered in more detail immediately below) will include the following categories of support: 1) create and share tailored knowledge products around eCDT in English and Spanish; 2) share and implement the Comprehensive eCDT Principles and Pathway with LAC stakeholders including governments, industry, and NGO implementers; 3) host regional learning events on comprehensive eCDT topics; and 4) support regional coordination between LAC NGOs, donors, Regional USAID Missions, and governments. The focus for Year 5 will be to engage with seafood producing country stakeholders based on their needs to support the implementation of comprehensive eCDT programs. However, SALT will continue to meet with stakeholders in the region to offer resources, connect other NGOs working on the ground with USAID staff, and discuss areas of need and opportunities for collaboration.

- ***SALT's Planned Activities for LAC Year 5***

  - Create and share tailored knowledge products around eCDT in English and Spanish

    - Update the summary created in Year 4 to reflect the regional progress made during Year 5 for the Peru traceability working group (an existing group of regional NGOs working on traceability improvements in Peru, currently facilitated by the Walton Family Foundation and Council Fire)

- ○ Work with USAID missions and LAC partners to identify critical information to be translated or potentially curated based on need (e.g., USAID IUU fishing documents, traceability pilot outcomes, blogs)

- ○ Refine resources featured on the Pathway based on conversations with LAC partners and translate SALT products if necessary

- ○ Use SALT's Story Hub to share key reports or blogs on topics that highlight regional efforts

- ● Share and implement the Comprehensive eCDT Principles and Pathway with LAC stakeholders including governments, industry, and NGO implementers

  - ○ Continue to promote the Comprehensive Traceability Principles and Pathway in Spanish with LAC stakeholders (via social media, promoting webinar recordings, etc.)

  - ○ Support the application of the Comprehensive Principles and Pathway in the region:

In the LAC region, SALT will conduct one full application of the Principles and Pathway in Peru (section 6.1.2.) and will work with other LAC partners to support less intensive applications as capacity allows. Stakeholders for partnerships will be selected based on interest, region, organization type, and potential for uptake. These are opportunities for SALT to facilitate access to its global network of experts and to bring lessons learned and tools from other regions. Additionally, all applications, regardless of the level of involvement, will support SALT's learning activities around the Principles. See section 6.1.5. for more information on how SALT intends to learn from application and improve the Principles and Pathway.

- ● Host regional learning event on traceability as a tool to combat IUU fishing in the LAC region

  - ○ SALT will host a three-hour virtual learning event to not only bring awareness to the Principles and Pathway, but also identify barriers to implementing eCDT programs in the LAC region. Ideally, SALT helps identify opportunities where the Principles can be implemented to support counter-IUU fishing efforts. The target audiences will be LAC Governments (especially Peru, Ecuador, and Colombia), multilateral/regional bodies, Regional Fisheries Management Organization delegates, and NGO participants. The general format will include an hour of SALT background and explanation of the Principles and Pathway; an hour hearing from panelists, who may be from other areas of the world, to share information re: successes and overcoming challenges from on-the-ground work; and an hour in a breakout group to discuss specific challenges in the LAC region.

  - ○ The event will expand USAID connections to government and NGO implementers in the LAC region.

- ● Support regional coordination between LAC NGOs, donors, regional USAID Missions, and governments

- ○ Host calls and learning exchanges with other country stakeholders, ad hoc (e.g. WWF Ecuador, Conservation International, government).

- ○ Support collaboration with relevant USAID efforts from Targeting Natural Resource Corruption and Strengthening Natural Resource Governance in Ecuador to any new programming under the USAID South America Regional Mission's Annual Program Statement (APS).

An estimated timeline for these activities will be included in SALT's LAC Year 5 plan.

- ● ***Basic to Moderate Application in LAC***

Basic and moderate applications of the Comprehensive Principles and Pathway include an introductory meeting, connections, resource suggestions, and a range of hours devoted to technical assistance that will allow SALT to customize its engagement based on the needs of LAC partners. SALT is currently establishing relationships with stakeholders that may result in basic or moderate applications of the Principles. These potential applications include but are not limited to:

Mexico

SALT has been in contact with several NGOs working on seafood traceability in Mexico, including Smartfish, Comunidad y Biodiversidad (COBI), the Environmental Defense Fund, and Oceana. Additionally, a representative from Smartfish was a contributor on the Principles Consultative Committee and expressed interest in applying the Principles to their work. SALT is currently promoting the Principles with these NGOs and assessing interest in their application from these stakeholders. In Year 5, SALT will continue to meet with these stakeholders and leverage the Principles and Pathway to help them meet their traceability goals.

In addition to working in Mexico, COBI aims to expand its catch documentation technology to Honduras, Colombia, and Ecuador. They intend to make the catch documentation technology interoperable with other traceability systems, and expressed interest in applying the Principles to their work. They have already cited it as a helpful resource and state they will create a written document outlining how they incorporate the Principles into their technology work on and in the creation of a potential future data cooperative. SALT will collaborate with them on this document, providing a basic level of technical assistance to ensure the Principles and Pathway are implemented as fully and effectively as possible.

Ecuador

Many stakeholders operating in Ecuador and the Galapagos Islands are interested in seafood traceability, and as a result, the work is burgeoning in this region. Stakeholders interested in this work include USAID Missions, Conservation International, WWF Ecuador, the Charles Darwin Foundation and the World Bank. Namely, there are ongoing pilots around traceability technologies for lobster and tuna and work both in the artisanal and industrial seafood sectors. SALT will keep abreast of these ongoing developments, identifying potential links to more regional traceability efforts where possible.

6.1.4. Application of the Principles and Pathway - Other Initiatives

The countries and initiatives outlined in this section have already engaged with SALT, and our support is expected to continue at various levels of effort.

● ***FAO Blue Ports Initiative***

During an engagement with the SALT Advisory Committee, Jose Estors Carballo from FAO introduced the new FAO Blue Ports Initiative (BPI) as an important place for support of electronic traceability.

The Blue Ports Initiative for Sustainable Value Generation is coordinated by FAO. COFI's recognition of the importance of sustainable and inclusive marine economies led to implementing the Blue Growth Initiative. This Initiative positions Blue Fishing Ports as 'hubs' for regional, national and local sustainable development in terms of value creation within ecological, economic, and social dimensions. These are a powerful way of promoting sustainable and inclusive development in marine and coastal areas under the consideration of their ecological, economic, and social impact.

The formulation of the BPI went through an open and participatory process that started in June 2019 and intends to finalize in 2021. This process has been enriched through workshops, bilateral meetings, and collaborative review of drafts that led to the formulation of the project. Therefore, after having received several expressions of interest and inputs from more than 15 ports authorities, fisheries sector administration and international and multilateral organizations, a final workshop was launched to continue with formulating developing contributions for the work plan.

After several meetings with FAO, SALT was invited to present at the final workshop. SALT presented to more than 80 people and more than 20 countries.

As FAO moves to crafting the work plan for BPI and planning the work, SALT will work with BPI to establish terms of engagement and consultative support. If appropriate, a more in-depth scope will be developed in fiscal year 2022 outlining the work.

● ***Indonesia***

For several years, Indonesia has been building its seafood traceability system. Investment from the government and private sector has helped build these systems. At this stage in development, Indonesia envisions harmonizing the traceability systems into a comprehensive traceability program. This requires consolidating the proliferation of traceability systems with a streamlined, backbone traceability program such as STELINA (Ministerial Decree No 29/2021). In their current road map, the Ministry of Marine

Affairs and Fisheries (MMAF) will continue to build stronger interoperability and connectivity with a wide variety of systems both within government and with industry. The First Movers group will launch this year to help build a cohesive program that leverages public and private sector partners. Concurrently, MMAF will continue to strengthen catch data reporting through expanding logbook and e-logbook compliance by making it a prerequisite for licensing renewal.

Furthermore, government and industry partners are now capturing better data within their traceability program by focusing on data verification and a comprehensive approach; meaning the traceability program impacts the triple bottom line—realizing ecological, economic, and social benefits. The Traceability Principles and Pathway can serve as a guide to address these new opportunities for seafood traceability in Indonesia.

As such, SALT will continue to provide high-level technical assistance for leveraging the Principles and Pathway in Indonesia in existing and future work, like the First Movers group. SALT will continue to liaise with the MMAF, Indonesian Pole & Line and Handline Fisheries Association (AP2HI), Yayasan Masyarakat dan Perikanan Indonesia (MDPI), Global Fishing Watch, consultant Farid Maruf, and other stakeholders to ensure SALT provides high-level support to Indonesia's traceability program in Year 5.

- ### *Vietnam*

SALT will continue working with the previous small grant recipient, the Center for Marinelife Conservation and Community Development (MCD), a Vietnamese NGO focused on stakeholder engagement to support Vietnam's most vulnerable coastal communities. Over the past several years, MCD worked closely with the Directorate of Fisheries of Vietnam (D-Fish) to build technical guidelines for the co-management of fisheries resources. With D-Fish endorsement, MCD has facilitated the introduction of electronic innovation to tackle IUU fishing and reform Vietnam's fisheries management. As a non-state actor, MCD has experience leading, facilitating, and convening stakeholders, ultimately moving the dialogue on comprehensive eCDT program development forward.

In Year 4, MCD conducted learning events and collected lessons from traceability projects in Binh Dinh and neighboring provinces. The information gathered was used to evaluate gaps in implementing an eCDT program in fisheries. The work will culminate with a multi-stakeholder consultative workshop in the first quarter of Year 5. The workshop's goal is to share their experiences and to finalize the National eCDT Guidelines and Roadmap. Opportunities to incorporate the Principles and Pathway into the guidelines will be addressed.

In Year 5, SALT will continue to liaise with D-Fish and other stakeholders to provide high-level support through a local subrecipient to continue informing Vietnam's National eCDT Guidelines and Roadmap. At the close of Year 5, it is expected that the Principles will be incorporated, as appropriate, into Vietnam's National eCDT Guidelines and Roadmap. SALT will leverage what's learned from Vietnam's traceability work to improve and update the Principles and Pathway.

- **Canada**

In Year 4, SALT met with members of the Ecology Action Centre (EAC) who are preparing a report in response to the Canadian government's [Blue Economy Strategy](). Initial meetings discussed how the Comprehensive Traceability Principles can inform EAC's report and act as a guide for developing national traceability governance. FishWise and SALT attended a workshop hosted by EAC to discuss how seafood traceability could be incorporated into the Blue Economy Strategy. The Principles and Pathway were highlighted prominently in the workshop summary that was shared with the Canadian government. Future engagement with EAC in Year 5 can include follow-up meetings and a review of their full report once it is finalized.

- **Sweden**

Through SALT's Advisory Committee member, the Fisheries Transparency Initiative, SALT was introduced to colleagues at the Swedish Agency for Marine and Water Management, Department of Fisheries Management. In particular, SALT and the Swedish representatives met to share information regarding the economic benefits of government transparency in fisheries management, particularly around traceability programs. In Year 5, SALT will continue to share the Principles and Pathway with a specific focus on the topic of comprehensive return on investment, connect Swedish colleagues to SALT resources through the Pathway, and make network connections. When appropriate, SALT will share lessons learned from the E.U./Swedish implementation of traceability in the seafood chain.

- **Foundations**

SALT will continue to share the Principles with interested partners from the Coordination Committee partners Packard, Moore, and Walton Family Foundations and their grantees.

6.1.5. Learning and Improvement

SALT created the Principles and Pathway to align with principles of human-centered design. Human-centered design 'is a way of thinking that places the people you are trying to serve and other important stakeholders at the center of the design and implementation process.' An essential component of human-centered design is returning after a project is completed to evaluate how well the project met the user's needs and identify further 'updates' that are needed. As such, SALT will refine and expand the Comprehensive eCDT Principles over time.

SALT will strive for a dynamic approach, including tracking key learning questions and adjusting 'on the fly.' FishWise will employ a variety of methods in its efforts to capture lessons and apply them in a timely

fashion to the project via adaptive management. Internally, to ensure SALT maximizes the learning and adapting potential of the Principles and Pathway, the team intends to be systematic and intentional in our approach to learning, leveraging the following potential activities:

- Google Analytics to identify which Principles pages are viewed most often and least often, determine if there are anomalies, and identify why. Additionally, determine which resources are downloaded most often and least often, flag if updates to resources should be made, and monitor the number of downloads

- Baseline/post application survey

- Pop-up survey on Principles pages

- Survey of SALT community

- Feedback from the Principles Consultative Committee

- Require funded local partners to outline issues and achievements

- Visit sites of application and/or conduct interviews to assess Principles and Pathway achievements and challenges

- ***Refining SALT's Existing Tools***

The existing online Principles and Pathway tools will be updated and improved throughout Year 5 based on learnings from the methods outlined above, additional insights gleaned from the work of the SALT community, and new and relevant resources created by other stakeholders.

- ***Filling Knowledge Gaps***

To address critical knowledge gaps within the Principles and Pathway, SALT will use insights gleaned from the methods outlined above and from the Year 1 co-design and previous conversations with the SALT community and Principles Consultative Committee. To encourage uptake and utility of the Principles, SALT will create additional tools, guides, or translate documents as needed based on feedback from users. The medium for these products can be flexible to accommodate the target user's needs (e.g., print, video, audio).

SALT hired consultants in Year 4 to supplement the team's knowledge on two critical areas of the Pathway that were deficient in resources and internal knowledge: social responsibility integration and encouraging governmental digitization. SALT will take the understanding that the team has gained through these consultancies and create products to share takeaways with the broader SALT community. They are covered in more detail in the 'Expansion of Social Responsibility Work' and 'Governmental Digitization Considerations' sections below (section 6.1.6.-6.1.7.). Additionally, during the creation of the

Pathway to the Principles and the identification of resources to support users through the steps, the SALT team noticed considerable gaps in existing resources and information around verification and scaling. The concepts of verification and scaling are both prominently featured within the Principles (i.e., 'Address data and verification needs across fisheries and supply chains' and 'Build a lasting and scalable program'), and so filling these knowledge gaps is critical to the successful application and implementation of the Principles. To fill these gaps, SALT will create knowledge products for the community in collaboration with the Communications workstream.

Verification

Electronic traceability should never be the end goal. It is a crucial step to shining a light on supply chains and illuminating ecological or social risk. Still, electronic traceability in and of itself does not identify or address those risks. Instead, electronic traceability is simply a tool that creates the framework from which users of the program can identify data gaps or potential risks. As put by Francisco Blaha, "it is important not to confuse traceability, which is a system, with verification, which is an action." [2]

A common data management saying is 'garbage in, garbage out', referring to the fact that the quality of data entered into a system directly affects the utility of any analysis or output. If not quality controlled and verified, data cannot be used to identify risk or be leveraged for decision-making. Data quality protocols that call for regular data verification are essential to the reliability, and consequential utility, of that data. The importance of verification is called out both as a Principle (i.e., 'Address data and verification needs across fisheries and supply chains') and within the Pathway. As framed in a recent SALT Story Hub blog, "There is a critical need to ensure verification goes hand in hand with electronic traceability systems; they can—and should—happen in parallel." Yet, there has been little focus on verification from case studies and tools published by the greater SALT community. Much of the dialogue is stuck on how to design a traceability program. Little has been devoted to discussing how to make sure the programs created are accurate and therefore useful. In collaboration with the Communications workstream, SALT will create a knowledge product to fill this gap and will determine the medium for this product (e.g., Story Hub blog post, PDF resource, video, podcast) that would best suit the target audience's needs. To complete this product, SALT will enlist the technical knowledge of the Traceability Division at FishWise.

Scaling

Scaling a traceability system to other fisheries, supply chains, or expanding the Key Data Elements (KDEs) collected is complex and requires forward-thinking. Although dozens of ongoing traceability pilots exist across the globe, very few have been successfully scaled. There is a dearth of case studies about attempts to scale seafood traceability and few useful resources to guide stakeholders through

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[2]https://www.salttraceability.org/story-hub/the-truth-about-electronic-traceability-lessons-learned-from-working-with-the-seafood-industry/

common challenges and considerations. SALT noticed this lack of existing resources during the team's literature review, and experts on the Principles Consultative Committee also flagged this need.

As highlighted in the Principles, building a lasting and scalable program is critical to achieving long-term success, whether that success is measured ecologically, economically, or socially. To fill this critical knowledge gap, SALT, with the help of an external consultant, will create a resource for the seafood traceability community to alleviate some of the questions around scaling. Namely, this new knowledge product will identify and assess 1) what approaches or tactics have yielded the most benefits within the seafood realm and in other sectors; 2) what standard best practices are for scaling; and 3) how to incorporate best practices for scaling into all three phases of a traceability program implementation (i.e., 'Initiate', 'Design', and 'Implement'). Creating this knowledge product will make the Comprehensive Principles and Pathway more robust and valuable to SALT's key audiences. In collaboration with the Communications workstream, SALT will determine the medium for this product (e.g., Story Hub blog post, PDF resource, video, podcast) to best suit the target audience's needs.

6.1.6. Expansion of Social Responsibility Work

As noted above in section 4.3.1., the main ways that social responsibility will be realized in Year 5 is through:

- Applying the Comprehensive eCDT Principles - As SALT works with governments to implement the Principles and Pathway, social responsibility expertise will be needed to assess and design programs. In Year 4, SALT acknowledged that for the eCDT Principles to be both truly comprehensive and usable, they must identify realistic ways to capture and use social data to support legal and equitable conditions for seafood workers. The integration of social responsibility into SALT's work will be supported by asking these questions during activity scoping:

  - Supporting government efforts to integrate social responsibility practices into their seafood traceability programs:
    - If government officials who are not fisheries experts do not know how to best address human rights abuses in fisheries, what connection points can SALT provide to share learning across government silos and highlight the urgency?
    - Is more education needed on traceability practices and fisheries data to stimulate work to combat human rights abuses in the seafood industry?
    - What can SALT learn from human rights and traceability work from governments in other industries that may apply to fisheries?

  - Refining and filling the resource gaps for the Comprehensive eCDT Principles and Pathway around social responsibility

    - What additional resources can SALT provide users that exist already that could be drawn from other supply chain experiences?

- How can SALT make existing social responsibility resources more useful?
- What different needs do ecological and social implementing bodies have? How can SALT support these bodies (e.g., Department of Fisheries, Labor) to align and communicate to improve enforcement?
- How can SALT increase buy-in for the Principles and provide more detail for the Pathway through engagement with key human rights and labor organizations?
- What additional information, research, evidence and examples need to be collected to better understand barriers to acting upon (through enforcement or other means) data received through comprehensive eCDT efforts?
- How and where can human rights experts and government representatives be prioritized in project design processes and SALT events (virtual and in-person)?

- Increasing the accessibility of social responsibility guidance:
  - What key social responsibility-focused traceability resources would benefit SALT's target geographies?
  - Which of the key SALT geographies would benefit from translations of social responsibility guidance? What providers can SALT collaborate with to translate their resources for key audience groups?
  - How can SALT utilize cross-posting of resources on other FishWise platforms and resources?

- Utilizing traceability data for social benefits - To build additional capacity for social responsibility in fisheries, SALT hired a social responsibility expert to identify overlapping risk KDEs (i.e., KDEs that are already captured for ecological/economic objectives that could also be leveraged to assess human welfare/identify areas of risk for human and labor rights within supply chains) in Year 4. Although the consultant shared their research findings via a webinar to the SALT community, in Year 5 SALT will make their conclusions more available and accessible by developing a resource and supporting dialogue.

  - Creating a resource to raise awareness of KDEs that can be leveraged for ecological and social improvements. The written resource will include, but is not limited to, the larger considerations around social responsibility data collection raised by the consultants (e.g., it is only beneficial for worker welfare if there is verification and action); stakeholder engagement (e.g., workers, advocacy organizations) regarding KDE use; suggested KDEs and which complementary data collection standards or protocols they overlap (e.g., GDST or Seafood Import Monitoring Program); responsible practices for program governance and KDE management; and finally the consultant's recommendations for additional KDEs that should be collected. These product(s)—which may include public reports, position papers, and one-pagers to support implementation—will be crafted by leveraging the expertise within FishWise's Social Responsibility Division and in collaboration with the Communications workstream.

  - The consultants suggest SALT convene and facilitate a conversation with human rights and social responsibility organizations that are not frequently engaged in the traceability

space but can provide useful guidance regarding enforcement of human and labor rights. SALT will engage these stakeholders to solicit their feedback on the next phase of traceability-related data collection and methods of implementation that could reap social benefits.

- Increasing awareness of social responsibility.

  - Interviews that could be featured on a SALT podcast to raise awareness about social responsibility in seafood supply chains.

  - Engaging governments in learning events when possible ensuring their perspectives and recommendations are included.

  - Make SALT webinars from important social responsibility stakeholders public.

  - Socialize social responsibility information through blogs and conference sessions.

6.1.7. Governmental Digitization Considerations

In Year 4, SALT hired consultants with expertise in governmental digitization to strengthen the uptake of the Comprehensive Principles by filling in critical gaps in the expertise of the SALT team. The consultants built knowledge and capacity of the SALT team on three topics: 1) encouraging policy adoption of data digitization/digital government practices in a particular industry at multiple phases; 2) interfacing new digital systems with existing national programs, leveraging experience from the Seafood Import Monitoring Program; and 3) how to identify and overcome barriers between government agencies. The consultants produced reports that contained background information, a summary of best practices and recommendations, and applied examples of the topics of interest in practice. In Year 5, SALT will take their reports and translate them into more accessible, public-facing resources. In collaboration with the Communications workstream, SALT will determine the ideal format, tone, and level of detail for the target audience.

6.1.8. Integrating the Comprehensive eCDT Benefits Evaluation Framework

The past decade has seen a significant uptick in the adoption of traceability programs within the seafood sector; however, as a whole, fisheries and the seafood industry tend to lag other sectors in their ability to capture and share robust data on the journey of products from water to plate. This is especially true for governments—few countries have advanced integrated, holistic electronic fisheries data programs that can realize the benefits of faster, more accurate data collection and analyses for decision-making and improved management.

While a number of factors contribute to this lag, Future of Fish, along with colleagues from the Ocean and Seafood Markets Initiative (FishWise, WWF, and Global Food Traceability Center), identified in 2016 that a lack of demonstrated benefits, including return on investment (ROI), is a significant barrier to accelerating uptake and implementation of electronic traceability. Several different tools have tried to address this information gap, however, most have focused almost exclusively on financial ROI, with far less attention paid to the ecological and social returns that may result from eCDT adoption.

Understanding the benefits of comprehensive eCDT is thus critical to increasing its adoption; yet, the evidence with which to evaluate and prove benefits remains limited, due to the nascent state of most eCDT projects. What data should be collected, and how to collect this information, remain open questions, further adding to the challenge.

The Comprehensive eCDT Benefits Evaluation Framework was developed in Year 4, by SALT and their small grantee Future of Fish, to meet these data gaps and support governments and relevant stakeholders in evaluating the benefits of eCDT programs. The Benefits Framework was designed for government officials engaged in Comprehensive eCDT implementations, and practitioners supporting these initiatives. In Year 5, SALT will share the Benefits Framework broadly with their network by linking it and a practitioner's guide to the Principles and Pathway. This will help to begin to help fill the current gap in evaluating comprehensive eCDT program benefits.

Further, SALT will pilot the Benefits Framework in one of the Principles and Pathway applications. SALT will engage directly with government officials working on eCDT programs and practitioners supporting these initiatives to use the Evaluation Framework. The goal will be to evaluate the ecological, economic, and social benefits of a comprehensive eCDT program and use this data to build the case for eCDT for those interested but waiting for proof of demonstrated benefits.

6.2. Ongoing Learning

SALT conducted knowledge captures in Year 2 and 3 of the project. In order to continue learning from those site visits, SALT will maintain contact and learning from relationships developed during the original site visits.

6.2.1. Philippines

What happens to a seafood traceability program after the pilot phase ends? Case studies and recommendations on tested approaches to scaling traceability programs are largely absent. In 2020, USAID Oceans closed, and the project in the Philippines lost continuous financial support. In Year 4, SALT performed an informal check on the project status in rolling out the Philippines eCDT program nationally and other fisheries or other ports. SALT followed up with government officials and organizations supporting the project (i.e., Futuristic Aviation and Maritime Enterprises and WWF

Philippines) and found that the pandemic significantly influenced the operations and development of the traceability programs. The pandemic disrupted their traceability progress, from impeding travel and making technology installation difficult, to placing some of the gender work in fisheries on hold. The influence of the pandemic made it challenging to infer or glean lessons about scaling or maintenance from this pilot. In Year 5, SALT will conduct an additional informal check on the progress of the national eCDT program to help SALT learn about the challenges of scaling and maintaining traceability pilots and identify any future opportunities for storytelling.

6.2.2. Belize

What happens to a lobster fishery in a country when ~70% of its lobster landed is involved in a traceability pilot and also in a Fishery Improvement Program (FIP)? The progress made in the Belize lobster fishery on traceability now involves the two lobster cooperatives (co-ops)—National and Northern—which account for nearly 70% of the country's lobster that retailers like Red Lobster and Costco purchase. While co-designing the FIP, which came after the traceability pilot, The Nature Conservancy managed to convince the second co-op of the value of traceability, not only to improve operational efficiencies, but to also improve fisheries management and secure a premium price for a product harvested sustainably. The Nature Conservancy collaborated with ThisFIsh, Future of Fish, and Vericatch to create a nearly complete verified traceability system (with VMS data) that allows landing data to be fed directly into the Belize Department of Fisheries database with the click of a button (and the Storied fish to reach the customer through a QR code). The pandemic caused a massive set back to not only the Department of Fisheries that witnessed its budget slashed in half and illegal fishing activity increase, but also to the fishers who weathered a huge drop in lobster demand (lobster tail prices went from $35/lb to $12/pound). In addition, funding to fully integrate traceability into the second co-op disappeared as projects closed before money could be spent during the pandemic. The Nature Conservancy made a huge pitch to the buyers to convince them to invest in these FIPS, and Red Lobster and Costco complied. Now, the focus is on funding the last bit of work to connect a full-chain bait to plate pilot that informs real time fisheries management, and empowers the fishers through data ownership. SALT will continue to follow and support the progress of this traceability project when possible. SALT will share their successes and challenges with the LAC region.
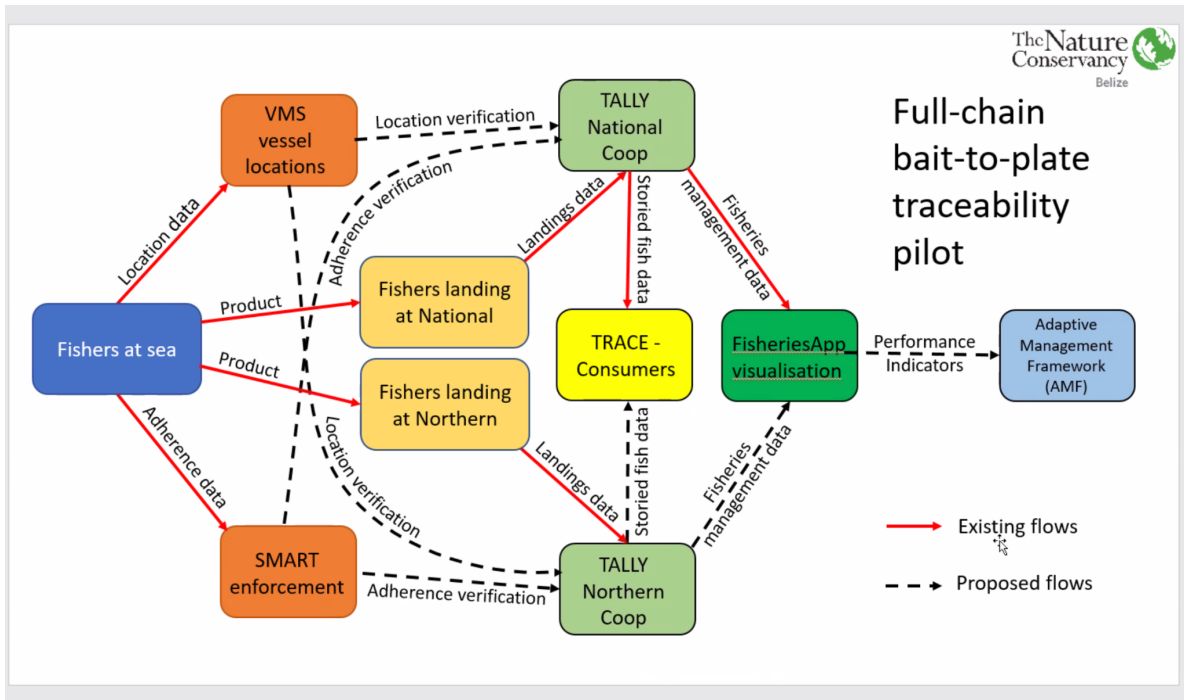
Figure 3: Full-chain bait-to-plate Traceability Pilot

7. Communication Management

7.1. General Communications

Communication is essential to SALT's mission. In addition to stoking participation in events, the Communication workstream aims to expand SALT's network through online and in-person communication and share relevant information through the SALT website. SALT's cornerstone is the online resource and learning hub that houses SALT resources, both created and curated, to exchange knowledge from around the world. Ultimately, SALT wants website visitors to better understand what SALT does and learn from others.

Additionally, communication is integral to the knowledge management cycle; it supports knowledge generation, dissemination, and the action that occurs as a result. SALT will go beyond its community and cross-pollinate with other FishWise divisions to leverage expertise and seed and grow SALT's knowledge base.

Communication during SALT's fifth year will focus on broadly sharing the Principles and associated resources, and relay how real-world projects are incorporating this body of work. Additionally,

communication priorities will include products to address information gaps in the Principles and Pathway, events to share lessons, and updates to our website to meet the knowledge needs of our community.

7.1.1. Social media

SALT will continue to consistently leverage social media to circulate critical information to support those working to address seafood traceability challenges, provide insight into sustainable seafood work worldwide, increase awareness of and engagement with SALT, and drive traffic to the SALT website. In Year 5, SALT will shift its social media operation from daily posts to weekly posts. During Year 4, SALT conducted several campaigns to assess the community's interest level on different topics. Since SALT's original content (e.g., Principles highlights and updates from SALT's small grantees) had a higher engagement rate and drove more traffic to the website, SALT concluded that the community is keen to learn more about the Principles and its applications. Thus, SALT will focus more on creating original content and storytelling in Year 5 to strengthen engagement with the community.

SALT will maintain its presence on Twitter and LinkedIn by aiming to post at least one Principles-related original content per week and circulating community updates such as electronic traceability-related achievements, articles, resources, and events.

In previous years, SALT also managed the SALT Community Group on LinkedIn, designed to encourage discussions and resource sharing between SALT participants. With SALT's LinkedIn profile gaining more followers and active engagement observed on its daily posts, SALT decided to merge the Community group's function into SALT's profile page.

7.1.2. Newsletter

In addition to social media, SALT will continue to produce specific updates, including:

- Site updates - Established in Year 3 to keep the SALT community informed of additions to the SALT website, including new resources, blogs, and events. SALT will continue this work but shift from monthly updates to more opportunistic updates to deliver timely and resourceful content.

- Quarterly newsletters - Established in Year 3, this newsletter provides SALT updates in addition to spotlighting news, upcoming events, projects, and resources from the SALT community and partners. In Year 5, SALT aims to add 'Principles Spotlight,' which focuses on communicating important takeaways of the Traceability Principles.

For all SALT projects that need to be externally communicated, a communication template will guide project leads on 1) establishing audience; 2) framing important messages; 3) distinguishing the project

from similar, already-established projects; and 4) assessing whether thought is built-in for a two-way street of learning (i.e., how does SALT know the product is helping the intended audience).

In previous years, SALT's social media platforms focused on uplifting the community's work on seafood traceability. In Year 5, communications will focus more on sharing the Principles and associated resources and relay how this body of work is being incorporated into the actual project. To do so, SALT will develop Principles campaigns (section 7.1.3.) to support the application of the Principles (section 6.1.) and share the learnings from the applications to the broader audience through SALT's communication platforms.

7.1.3. Principles Campaigns

Although many stakeholders highly value SALT's work on facilitating and advancing the global conversation around seafood traceability, community members expressed a need for more shareable and palatable pieces about SALT and its Traceability Principles. As SALT continues its work in Year 5 to apply the Principles in the target countries, the communication team will work closely with the country activity lead to identify the additional communication products needed to help stakeholders navigate the Pathway to apply the Principles. The communication products may include but are not limited to: Principles 101 webinar, video interview, self-assessment, flow-chart, and/or infographic.

7.1.4. Other Multimedia Outreach

Throughout Year 5, as SALT meets with those eager to work to integrate SALT's Principles, opportunities will arise to highlight stories in a different medium other than written. Emphasis will be on audio podcasts to showcase interviews, particularly in the human and labor rights realm to help connect the dots to traceability. Short videos will be produced to enhance social media campaigns or promote our bigger events (i.e. from Traps and Triumphs).

7.2. Website Management

Running the SALT website is essential but requires a lot of capacity. Website management includes daily/weekly updates to SALT website pages, compiling a media library, logging and fixing WordPress bugs, and creating and managing content for all pages and tools. Monthly analytics will continue to inform the team of any trends. Aside from monitoring users and their geographic locations, SALT can analyze search terms to determine whether the information collated is useful, or what else is needed to create or collate. For instance, if multiple keywords searches do not return any resources or organizations, SALT can assess what resources might fill that gap. SALT can monitor whether certain pages or stories

are receiving more attention (and note the users' region if possible) to direct what to promote or alter during the small website update.

7.2.1. Maintenance and Expansion of SALT Resources

In Year 5, SALT will continue to curate its library of traceability resources. Resources include topics related to the value of traceability, eCDT overviews, and fisheries management that will be leveraged to share the critical lessons learned while implementing increased traceability across stakeholder groups. In addition to regular maintenance, all of the primary sections of the website are continually updated:

- SALT Dive Deeper - SALT has been collecting useful resources that have been developed by other organizations on topics related to eCDT, counter-IUU fishing, and combating human and labor rights abuses in the seafood industry. In Year 5, SALT will continue to inventory and aggregate resources on these topics so they are available in one place on the SALT website. The resources will be categorized in a way that makes the information easily accessible to the user, striving for an increase in uptake of these important tools. These resources will be widely applicable to all stakeholders, with a particular focus on governments and stakeholders in seafood producing countries as well as the seafood industry. This includes some resource translation.

- SALT Seascape Map - To promote understanding and collaboration amongst global seafood traceability, counter-IUU fishing, and human rights efforts, SALT developed an online, interactive map of these efforts. In Year 4, SALT conducted an online survey to gather inputs from the community. Based on the feedback, SALT will update some of the features on Seascape Map in Year 5 to meet the community's demand (section 7.2.2.). SALT will continue expanding the collection of global efforts to foster connections and collaborations by adding new organizations and initiatives and soliciting the community for new efforts and vetting suggestions. Additionally, SALT staff will remove or archive any efforts that have closed out.

- SALT Story Hub - SALT will showcase traceability work from SALT and its global community through published blogs. Stories shared on the website include case studies, community stories, and key takeaways from convenings as it relates to traceability within the supply chain. SALT will continue to highlight stories approximately two times/month in Year 5 to encourage knowledge sharing. It may include other formats such as video and audio.

- SALT Calendar - Currently, the SALT website curates a global event calendar featuring conversations around electronic traceability in seafood supply chains and counter-illegal fishing activities. Due to the increasing number of webinars and virtual events in the past few years, similar initiatives have been observed in the community. Instead of maintaining up-to-date information about conferences and meetings on the website, SALT will shift the calendar feature onto its social media and newsletter in Year 5 and continue supporting virtual stakeholder engagement.

7.2.2. Website Customization

SALT will hire an external web development vendor to incorporate workable ideas derived from information gathered since SALT's website launch. That includes what SALT learns from the survey results from Year 4, an internal audit, feedback from the community and SALT's advisory members, along with several internal meetings. It will address such things as layout for learning, and automated features, such as "What's new on the website." SALT will select a developer team until the end of the project to integrate website changes, and will also explore the best ways to ensure the longevity of the website and its tools.

- **_Updated Seascape Map_**

In response to priorities identified in SALT's online survey of the Seascape Map, the map will be updated to include information on counter-IUU fishing policies. In Year 4, SALT began compiling information on seafood importing countries (i.e., United States, European Union, Japan) and their counter-IUU policies. The findings from this activity will provide the foundational information to create a 'new layer' on the Seascape Map. SALT will work with a web developer to improve the design of the Seascape to improve user experience and facilitate better connections across our user base. Currently, the way the topical efforts are listed makes it difficult to visualize and navigate. The goal is to create layers, similar to Google Earth or ArcGIS maps, that allow the user to activate various layers of the map and zoom in by region and topic. Other tools that were identified as priorities, although lower than the policy filter, that SALT can consider include the ability to post and interact with others who share questions, collaboration opportunities, or open solicitations. However, special consideration will have to be given to the design of an interactive tool in order to meet the sustainability needs of the Seascape Map. One possible way to meet this need is to have the user assign dates to their post, during which the post will be live online and available for others to respond to. However, once the end date is reached, the post will be archived and taken offline.

In Year 4, SALT reviewed all efforts currently listed in the Seascape Map to identify outdated initiatives or projects that are no longer active. These efforts will be archived and will no longer be active on the Seascape.

7.3. New Communication Products

In Year 5, SALT will apply the Traceability Principles in several countries, from basic assistance to a full effort. Information or story content will be curated or created for the Story Hub when these country efforts have enough substance for a story or reach enough progress. Whether it's how the Principles need refinement for a particular country or how a country learned from another system, or even how

the process works for SALT as an advisor, SALT will seek out different angles of SALT's work to share with the broader SALT community, while showcasing actual examples of seafood producing countries applying the Traceability Principles.

In addition, SALT will identify supplemental communication products to help stakeholders navigate the Pathway to apply the Principles (section 7.1.3.). Together with the refined Traceability Principles (section 6.1.5.), these case studies and supplemental communication products will continue to promote SALT's work beyond Year 6. The new communication products may include:

- Products from the Principles Campaign (section 7.1.3.)

- Stories from SALT's direct country work (not limited to blog format)

- New products from earlier work (section 6.1.6. - 6.1.8.)

8. Management and Operations

As the COVID-19 pandemic continues, SALT planned many of the activities for Year 5 with remote work and a gradual shift to potential in-person work and travel. As the disease surges in communities globally, the availability of stakeholders may shift accordingly. Further, as restrictions ease in places where the burden of the COVID-19 pandemic is lessening, SALT is prepared to accommodate that shift, heeding all public health guidance. With the unpredictable nature of pandemics, communication is vital; therefore, SALT will continue to keep an open line of communication with USAID and foundation partners should there be an impact to SALT's proposed work in Year 5.

Management of staff and resources is an important part of implementing a USAID cooperative agreement. To be effective in technical implementation and operational compliance, staff management must be a priority. SALT will operate as a cohesive unit to implement the program. While staff is in California, Colorado, North Carolina, and Washington, D.C., SALT will ensure that frequent and consistent communication systems are in place.

8.1. Staffing

For SALT's implementation to be a success, the SALT team will continue to work together to build on their shared vision for the project. In Year 5, the SALT team will continue to be led by the FishWise CEO and SALT Chief of Party with support from four full-time staff and two part-time staff. The SALT team will also receive support from the FishWise Controller and garner expertise from other FishWise Divisions, see Figure 4: SALT Organizational Chart.
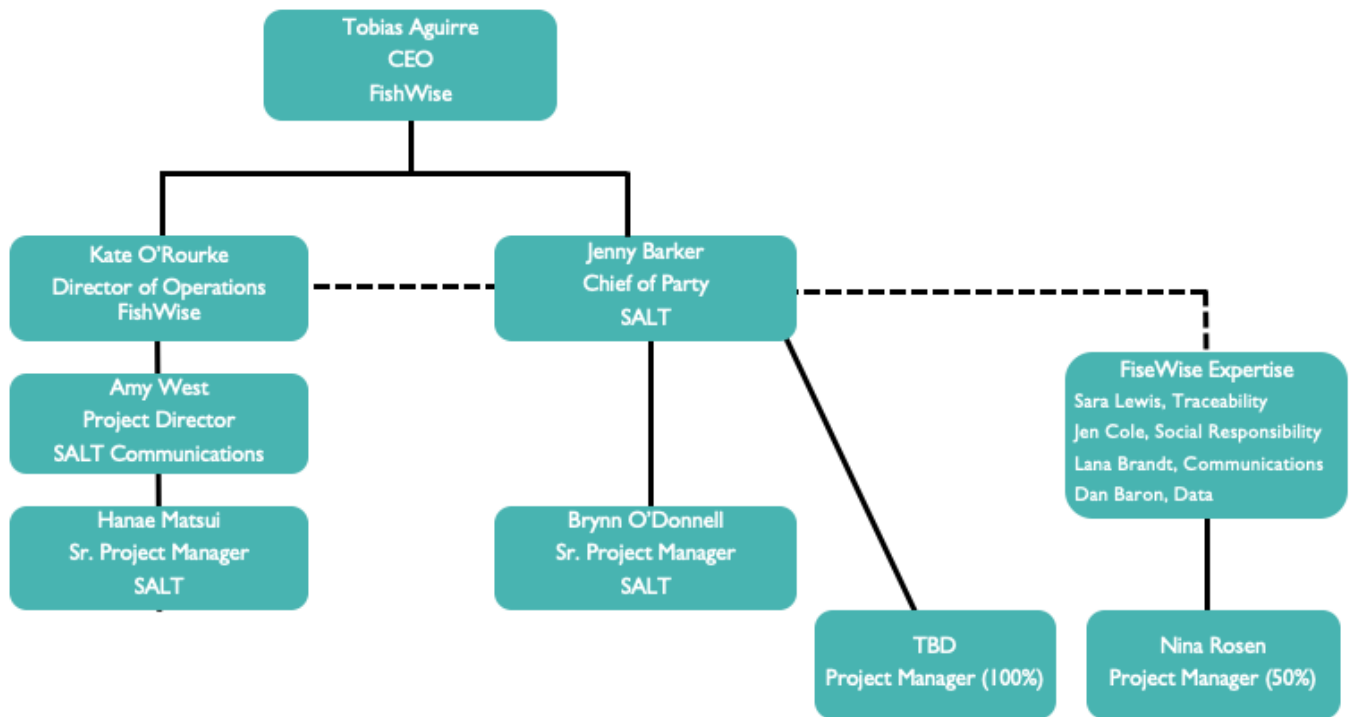
Figure 4: SALT Organizational Chart

FishWise has also developed a separate, more thorough Staffing Plan with job descriptions to ensure roles and responsibilities are clear. Due to the cross-cutting nature of the SALT workstreams, staff have been assigned leads of activities. Table 2 provides the lead for each Year 5 activity.

8.2. Governance

Though led by FishWise, SALT is managed collaboratively through committees and consultation with donors, and stakeholders.

8.2.1. Coordination Committee

One of the most promising aspects of SALT is the opportunity to bring together the collective resources and expertise of USAID (and other U.S. Government agencies) and the philanthropic community. The David and Lucile Packard Foundation and the Gordon and Betty Moore Foundation joined the Walton Family Foundation for this project, forming a Coordination Committee. The Coordination Committee will continue to focus on advising SALT strategy and work.

SALT will leverage Coordination Committee fieldwork and country-based projects where appropriate to capture and share stories about comprehensive eCDT efforts and help share best practices. FishWise will assist with Coordination Committee meeting scheduling, agenda development, and follow-up. The Coordination Committee will seek out stakeholder and participant perspectives, particularly from traditionally underrepresented groups in high-level international multi-stakeholder initiatives (section 4.3.2.).

8.2.2. Advisory Committee

SALT transitioned the Co-design Advisory Committee to an Advisory Committee for the remainder of SALT. SALT has consistently added relevant groups to the Advisory Committee. In particular, SALT will continue to seek seafood producing country governments and industry to ensure SALT's primary audiences have regular input.

The Advisory Committee will continue to play a critical role through the recruitment of participants and required expertise. The Advisory Committee will assist in actively building trust, facilitating dialogue, and exploring possible mutual gains. The Advisory Committee may elect to organize by sub-committees to focus on their expertise or find an alternate way to engage meaningfully.

8.3. Knowledge Management and Internal Communications

To practice the SALT approach, FishWise will be intentional about its project knowledge management and learning. While some of this information is available in the MEL plan, it is worth noting here.

SALT will use an internal knowledge management system for project management using Google Drive and Slack to promote better project management and feedback loops with online collaboration. The SALT team will use other management tools, including Zoho's Customer Relationship Management (CRM) tracking system and ticketing system.

SALT meets weekly to review work as a team and meets more frequently based on discrete projects. Monthly, SALT holds a Reflection and Connections meeting with rotating leadership to take time to do team-building and learn something new about traceability or how the team does their work. Blogs or other methods of capturing information will be a required part of participation in any external event (by one staff member) and encouraged as staff learning moments happen. Annually, SALT will host a Big Picture Reflection in order to do a thorough review of data and design the strategy for the coming year.

8.4. Operations and High-level Timeline

With a full SALT team for Year 5, FishWise is poised to execute on the vision of SALT. In order to successfully build cohesion of the team, SALT must establish team norms to make individuals' work experience productive and positive. SALT will use different work planning mechanisms like RACI (responsible, accountable, consulted, and informed), Gantt charts, and other management tools to manage workflow. Staff will develop their own work plans and timelines as appropriate to manage the tasks linked to the high-level activities.

The Gantt chart below gives a high-level timeline and the lead for each activity implementation per major activity in each workstream, understanding that these estimations may be adapted due to changes in priority or new information.

ACTIVITY NAME	ACTIVITY LEAD	QUARTER			
		1	2	3	4
Network Building for Collaboration & Learning					
Collaboration & MOUs	Jenny Barker				
Event & Forum Participation	Jenny Barker				
SALT Committee Coordination	Jenny Barker				
Knowledge to Enact Comprehensive eCDT					
Traceability Principles & Pathway					
Application of the Principles – Full Effort					
Tanzania	Jenny Barker				
Peru	Brynn O'Donnell & Amy West				
Application of the Principles – Basic to Moderate Effort					
FAO Blue Ports	Jenny Barker				
Indonesia	Sara Lewis				
Vietnam	Amy West & Hanae Matsui				
LAC Region	Brynn O'Donnell & Amy West				
Canada	Nina Rosen				
Sweden	Kate O'Rourke				
Ongoing Work – Belize, Philippines, & Other	Brynn O'Donnell & Amy West				
Learning and Improvement					
Pathway – Verification	Lindsay Jennings				
Pathway – Scaling	Brynn O'Donnell				
Expansion of Social Responsibility Work	Jen Cole				
Governmental Digitization Considerations	Brynn O'Donnell				
Integrating the Evaluation Framework	Kate O'Rourke & Sara Lewis				
Communication Management					
General Communications					
Social Media & SALT Newsletter	Hanae Matsui				
Principles Campaigns	Hanae Matsui				
Other Outreach: Podcasts, Video	Amy West				
Website Management					

Maintenance & Expansion of SALT Resources	Hanae Matsui	▓	▓	▓	▓
Website Customization	Amy West	▓	▓	▓	▓
Regional Focused Communications	Amy West	▓	▓	▓	▓
New Products from Principles Application Work	Amy West		▓	▓	▓
New Products from Year 4 Work	Amy West	▓	▓		▓
Management & Operations					
Finance, Operations, & Staffing	Kate O'Rourke	▓	▓	▓	▓
Coordination Committee	Jenny Barker	▓	▓	▓	▓
Advisory Committee	Jenny Barker	▓	▓	▓	▓
Monitoring, Evaluation, & Learning					
Monitoring, Evaluation, & Learning Data – Reporting	Brynn O'Donnell	▓	▓	▓	▓
Sustainability Plan					
Sustainability Plan	Jenny Barker	▓	▓	▓	▓

Table 2: Gantt of Activities and Activity Leads for Year 5

9. Monitoring, Evaluation, and Learning

All of the information provided above about the implementation of SALT will be monitored for enhanced performance and learning to ensure that SALT is achieving its key results and outcomes.

SALT will capture indicator information for all workstreams and activities primarily via two methods regularly updated by staff: CRM software and a Year 5 Tracker, which includes a Connections and Uptake Log. Using the CRM software, SALT will monitor relationships, networks, collaboration, and levels of engagement among the SALT community. The Connections and Uptake Log within the Year 5 Tracker will allow staff to track notable touchpoints and connections from meetings, personal conversations, and social media activities. The Tracker and Connections and Uptake Log will also allow SALT staff to track the sharing, application, and uptake of SALT resources, most notably how stakeholders engage with the Comprehensive eCDT Principles. Where possible, the Tracker will be integrated with the CRM to ease analysis and better allow for synthesis. SALT will monitor and leverage these data on relationships to further engagement and achieve SALT's objectives (e.g., to determine who SALT invites to take part in events).

SALT staff will also monitor indicators via the completion of SALT-led products, surveys, and website analytics. SALT will continue to conduct regular analysis of online activities (e.g., website interactions, resource downloads, and social media engagement) to ensure flexible management of SALT's online presence as needed. Specific activities per workstream are outlined in the MEL plan, and more details and indicators can be found there. All information collected will be used by the program for learning to improve the project and manage it adaptively.

In Year 4, SALT was awarded a program extension to continue the work for an additional year and take advantage of SALT's growing momentum. As a result, SALT will review the indicators and key results to

ensure those in practice are the most useful to meet the project's evolving needs. SALT will modify the Year 4-5 MEL Plan accordingly and update the end of project targets to account for the extended duration. SALT will provide a detailed annex of these changes via a modified Year 5-6 MEL Plan in late 2021 in a separate document with a more in-depth explanation.

10. Sustainability Plan

A Sustainability and Transition Plan intends to define the continuation of benefits from a development intervention after major development assistance has been completed[3]. USAID formally defines sustainability as "the ability of a local system to produce desired outcomes" after the end of its project, which the Agency may 'contribute to' by strengthening capacity in their respective realms. [4]

A transition plan is part of an effective strategy to ensure the long-term benefits of a program. As part of SALT, FishWise is charged with developing a Sustainability and Transition Plan. The Sustainability Plan outlines the best approach to ensure a successful transition of SALT products and program activities.

FishWise will seek to transition three main SALT products or services at the end of the project:

1. The SALT website and its tools, including the Seascape Map and Dive Deeper. This repository of information should be updated and maintained as it has been deemed a valuable resource for the community. The SALT community should be supported or maintained in some way, whether it is through online platforms or social media.

2. The Comprehensive Traceability Principles and Pathway were a significant deliverable filling a knowledge gap identified by the broader SALT community. SALT will seek to transition these to a larger multilateral institution for long-term maintenance and application.

3. SALT-supported fieldwork should be transitioned as is appropriate. SALT began more country-based work that will be embedded in the communities and supported through local organizations. Specific plans for this work will be designed in later scoping documents.

10.1. USAID Biodiversity Code

This project meets the USAID Biodiversity Code by setting an explicit objective that seeks to improve biodiversity conservation by reducing threats to marine biodiversity in the forms of IUU fishing and unsustainable fishing, as well as such drivers as associated criminality. Reducing these threats will improve

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[3] https://www.urc-chs.com/sites/default/files/urc-assist-sustainability-transition-guide.pdf
[4] https://www.sixdegreesnews.org/archives/28929/28929

marine biodiversity (including in biologically significant areas), food security, nutrition, fishing livelihoods, inclusive economic growth, cultural values, peace and security, and coastal protection. SALT was also designed based on analyzing the drivers and threats to biodiversity, has a corresponding theory of change, and monitors indicators associated with that theory of change (see the SALT MEL plan).

In addition, many of the site-based eCDT efforts from which SALT will capture and share learning are located in biologically significant areas. FishWise will also monitor other sites led by foundation partners. FishWise will make biodiversity a continuous theme at learning events and in SALT materials.

10.2. Environmental Compliance

The Initial Environmental Examination (IEE) for SALT, dated March 16, 2017, concluded that most of the program falls under a Categorical Exclusion. In Year 3, the IEE was updated to include the grant work, and the conclusion was again that the program falls under a Categorical Exclusion. The updated IEE was signed on August 10, 2020. SALT will update the IEE in Year 5 as needed for the Principles and Pathway application.

11. Leverage Resources and Cost-share Estimates

The Walton Family Foundation has committed a 1:1 funding leverage for Years 1-6. Through combined leverage from the Packard, Moore, and Walton Family Foundations, SALT is required to meet the GDA's 1:1 private sector leverage requirement over the life of the project. The commitment now includes the cost extension of one million dollars, making the full 1:1 leverage amount $6.2 million. Walton Family Foundation is on track to meet its $6.2 million leverage commitment by the end of the project.

Although the SALT cooperative agreement does not require cost-share, SALT included cost share in their call for small grants in Year 3. As a result, the grantees provided $14,000 in cost share to SALT. In Year 1, Walton Family Foundation contributed funds to support travel for SALT event participants whose travel cannot be funded by USAID.

SALT will continue to track leverage and cost-share in Year 5.

12. Annex: Year 5 LAC Plan

Based on opportunities for engagement and impact in the Latin America and Caribbean (LAC) region, the Seafood Alliance for Legality and Traceability (SALT) has created an additional Year 5 work plan with a focus on countries in Latin America, especially in Peru, Mexico, and Ecuador, where governments and partners are interested or currently working on traceability efforts in the seafood sector. The work plan includes the following areas of support: 1) Create tailored knowledge products around eCDT in English and Spanish, 2) Share and implement the Comprehensive eCDT Principles and Pathways with LAC stakeholders including Governments, industry, and NGO implementers, 3) Host regional learning events on comprehensive eCDT topics, and 4) Seek regional coordination between LAC NGOs, Donors, Regional USAID Missions, and Governments.

The LAC plan and supporting budget in Tables 1 and 2 outline SALT's planned activities for engagement at the country level and across the LAC region for Year 5.

SALT Background

SALT is a global alliance for knowledge exchange and action to promote legal and sustainable fisheries through improved transparency in seafood supply chains. SALT brings together the seafood industry, governments and nongovernmental organizations (NGOs) to accelerate learning and support collaboration on innovative solutions for legal and sustainable seafood, with a particular focus on traceability–the ability to track the movement of seafood through supply chains.

SALT provides space for global knowledge exchange and learning, facilitation, and collaboration to build electronic seafood traceability systems that address social, economic, and ecological well-being. SALT's roots sprung from the idea that fostering fruitful conversations between industry, government, and civil society encourages us to learn from one another. The alliance builds trust, sparks innovation, and accelerates progress together–rather than in silos.

SALT is a public-private partnership between USAID and the Walton Family, Packard, and Moore Foundations and is implemented by FishWise, a non-profit sustainable seafood consultancy.

SALT aims to achieve four main goals:

- Expand accessible, interoperable, and electronic catch documentation and traceability for wild capture fisheries and aquaculture.

- Increase the capacity of seafood-producing countries to adopt catch documentation and traceability systems to strengthen fisheries management and verify fisheries data.
- Increase incentives and capacities for the seafood industry to adopt electronic traceability to ensure the legality of wild-caught fisheries products in their supply chains.
- Identify ways in which the implementation of electronic catch documentation and traceability can support human and labor rights for all seafood workers, food security, livelihoods, and well-being.

At the end of this six-year project, SALT envisions a dynamic community of stakeholders from around the world who are accessing, sharing, and applying traceability knowledge and best practices to create comprehensive electronic catch documentation and traceability (eCDT) program – programs that are effective and scalable to support economic, ecological, and social well-being overall.

SALT held a mid-project pause and reflect in FY2020, resulting in a shift in SALT's fourth year to add a regional and country focus to the global program. Based on opportunities for engagement and impact in the Latin America and Caribbean (LAC) region, additional funding from the LAC Bureau at USAID, and more interest from specific countries, a focus on work at the seafood producing country level is warranted.

SALT's LAC Plan begins with a background on the work completed by SALT in the LAC region, followed by a summary of the general support services and products SALT will continue to provide in the region, and globally. The specific activities planned in the LAC region for Year 5 and a timeline for implementation are listed, supported by a matching budget.

Latin America and Caribbean (LAC) Plan

The LAC plan and supporting budget outline SALT's planned activities for engagement at the country level and across the LAC region for Year 5. In addition to the planned activities, SALT will continue to offer general areas of support. SALT will remain flexible and in close communication with USAID to incorporate necessary modifications and updates to this plan as opportunities arise or priorities shift.

I. Background: SALT's Latin America and Caribbean Focus

LAC region's work in traceability is growing. According to the SALT Seascape on traceability efforts, the Caribbean has 65 active traceability efforts while Central America has 82 and South America has 79 efforts, respectively. Given interest from countries like Belize, Peru, Mexico,

Ecuador, and Chile, and ongoing IUU fishing issues in the region, LAC is a region of interest for SALT. Thus far, SALT had the following engagement with stakeholders from the LAC region:

1. **Co-design Process** - SALT had representation from LAC during the SALT co-design process in 2017 including Comunidad y Biodiversidad in Mexico, representatives from the government of Mexico, etc.

2. **Knowledge Capture** - SALT conducted a knowledge capture visit to Belize in 2019 because an artisanal lobster fishery there had recently integrated new traceability technology into their supply chain. It presented a great opportunity to interview the stakeholders of this collaboration: technologists, fishers, processors, NGOs, and government. More information can be found on SALT's Story Hub.[5] In addition, SALT supported a south-south knowledge exchange by bringing representatives from the Belize fishery to South Africa to present at the 2019 ICT4Fisheries conference to share their experiences using traceability with small-scale fishers.

3. **Knowledge Products** - SALT developed a website that includes a map[6] of traceability work happening around the world, including in the LAC region. It includes important information about work that has been done by industry and governments around the world. Additionally, SALT has made multiple resources available in Spanish, including the website itself.

4. **Connecting with Experts** - SALT has a strong network of people who have implemented and are working on traceability in the LAC region. For instance, foundations who already work in Peru and Mexico are part of SALT's founding committee.

5. **Key Industry Connections** - SALT considers the seafood industry a key stakeholder and knows the value of their participation in making seafood traceability successful. For instance, SALT colleagues were in Peru in late 2019 presenting at the Seafood Show and researching the impact of the U.S. Seafood Import Monitoring Program on producers and exporters in Peru.

6. **Coordination with NGOs** - SALT supports a collaborative process to address issues around IUU fishing. SALT partners with and supports NGOs who work with governments on traceability. For instance, SALT has been in contact with several NGOs working in Peru, Ecuador, and Mexico including the World Wildlife Fund, Future of Fish, WildAid, Conservation International, and Smartfish. SALT has linked these NGOs with experts from Southeast Asia who implement traceability systems to complement their work.

7. **Sharing Regional Expertise** - SALT submitted a response to the USAID/Peru Regional IUU Fisheries Program request for information, to share knowledge on barriers

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[5] SALT, Trekking to the Tropics for Traceability (2020)
[6] SALT, Seascape Map (2019)

and opportunities in the LAC region including the potential application of the Comprehensive eCDT Principles and Pathway.

8. **Promoting the Comprehensive eCDT Principles and Pathway -** SALT translated the Comprehensive Principles downloadable resource into multiple languages, including Spanish, to increase its accessibility. SALT also hosted an informational webinar on the Comprehensive Principles and Pathway in Spanish. In Year 5, SALT intends to create a short animated video in Spanish about the Principles as well as sponsor the Seafood Connect conference to promote the Principles.

9. **Supporting the Implementation of the Comprehensive Principles -** SALT has begun to support key stakeholders with the application of the Principles to their work. In Peru, SALT has been in conversation with government representatives as well as in close communication with NGOs who are part of government working groups. SALT has also shared the Principles and offers to support their application with NGOs that work in Ecuador and Mexico.

II. Continuation of SALT's General Support

Building on SALT's previous areas of engagement noted above, SALT will continue to meet with stakeholders in the region to offer resources, connect other NGOs working on the ground with USAID staff, and discuss areas of need and opportunities for collaboration. SALT will also continue to engage with seafood producing country stakeholders based on their needs to support the implementation of comprehensive eCDT programs.

There are several ways SALT will remain available to engage with and provide direct consultation to stakeholders in the LAC region. SALT will continue to offer the following general areas of support:

1) Create tailored knowledge products around eCDT.
    a) Develop country-specific eCDT resource documents and learning briefs in English and Spanish.
    b) Use SALT's Story Hub to share key reports or blogs on topics that highlight regional efforts and translate resources where needed.
2) Share and build on opportunities to implement the Comprehensive Traceability Principles and Pathway to Implementation.
3) Provide continued consultation and coordination with eCDT stakeholders.
4) Support coordination between NGOs, donors, and USAID Mission staff and support future work on eCDT (e.g. Conservation International, World Bank Proposal).
5) Host a regional learning event on eCDT topics with subsequent follow-up meetings for additional discussions based on interest

III. SALT's Planned Activities & Timeline for Year 5

In addition to the general areas of support, SALT has focused on countries in Latin America, especially in Peru (Appendix 1), Mexico, and Ecuador, where governments and partners are interested or currently working on traceability efforts in the seafood sector. This is an opportunity for SALT to facilitate access to its global network of experts to inform these processes and to bring lessons learned and tools from other regions. SALT's planned activities are outlined in Table 1.

Table 1: SALT Activities & Timeline - Year 5

SALT LAC Activities Year 5	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept
1. Create and Share Knowledge Products												
Update the summary created in Year 4 to reflect the regional progress made during Year 5 for the Peru traceability working group (an existing group of regional NGOs working on traceability improvements in Peru, currently facilitated by the Walton Family Foundation and Council Fire)								▓	▓	▓		
Work with USAID missions and LAC partners to identify critical information to be translated or potentially curated based on need (e.g. USAID IUUF documents, traceability pilot outcomes, blogs). Materials will continuously be made publicly available.	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓
Refine resources featured on the Pathway based on conversations with LAC partners and translate SALT products if necessary	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓
Use SALT's Story Hub to share key reports or blogs on topics that highlight regional efforts	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓
2. Share and Implement the Comprehensive eCDT Principles and Pathway												
Work with the government of Peru to apply the traceability Principles and Pathway based on needs identified. *(See Appendix 1 - Peru Application)*	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓

Continue to promote the Comprehensive Traceability Principles and Pathway in Spanish with LAC stakeholders (via social media, promoting webinar recordings, etc.)													
Support the application of the Comprehensive Principles and Pathway in the region													
3. Host Learning Events													
Host a 3-hour virtual learning event on *Traceability as a Tool to Combat IUU Fishing in LAC (See Appendix 2):* • eCDT Principles and Pathways 101: Application for Producer Country Governments and the Private Sector • 3 Panelists speak about experience designing and/or implementing eCDT programs • Breakout groups to better understand regional challenges and successes													
Host a follow-up meeting to SALT's November LAC workshop to encourage stakeholders to continue conversations that were cut short													
4. Coordination with NGOs, Donors, and Regional USAID Missions													
Host calls and learning exchanges with other country stakeholders, ad hoc (e.g. WWF Ecuador team, Conservation International, Government actors).													

Support collaboration with USAID/TNRC, and other USAID regional initiatives, as needed.												
5. LAC Plan Development												
SALT Year 6 work plan development & Year 5 reporting												