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SEAFOOD ALLIANCE FOR LEGALITY AND TRACEABILITY (SALT)

September 29, 2017 to September 28, 2022

YEAR 4 WORK PLAN



Resubmission Date: December 15, 2020
Cooperative Agreement #: AID-OAA-A-17-00020
Activity Start Date and End Date: September 29, 2017 to September 28, 2022
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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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I. Summary of Year 4 Activities

SALT starts its fourth year of implementation in fiscal year 2021 with a continuation of its main strategic approaches for improved electronic catch documentation and traceability (eCDT) using collaboration and knowledge management. The first few years of SALT were focused on co-design with knowledge generation, capture, and dissemination. Now, SALT is moving toward knowledge uptake and action as a key focus of its work. SALT’s model is collaboration in support of learning. This is an ideal way for SALT to leverage the power of its network (more than 1,000 people) to advance learning and action in support of traceability globally. To do that effectively, SALT will add a regional and/or country-based focus in the next year, supplementing its role as a global alliance and online hub of traceability knowledge and information.

SALT will target specific regions and countries to more deeply understand specific needs and contexts to support eCDT knowledge and utilization of the Comprehensive eCDT Principles in order to bring local learning back to the global context. Targeted engagement in fiscal year 2021 will include learning grants for Vietnam and Indonesia, direct consultation to Latin America and Caribbean (LAC) in countries like Ecuador, Peru, or Mexico, and learning from eCDT work in Southeast Asia. To support global learning, SALT will continue to produce information products and tools and host learning events in Year 4. SALT will also continue to build its online platform from the Seascope to Dive Deeper to original pieces. The tables below reflect this work.

Table I: New SALT Products and Services

FY2021 New SALT Products
Global Principles: Comprehensive eCDT Principles
Evaluation Framework: Tracking & Evaluating the Benefits of eCDT Systems
Story Map: Philippines eCDT system
Field Report: Tracking COVID-19 Implications for Traceability
Resource Guide: Compare EU/US/Japan Regulation & Policy
Review Article: U.S. Retail Traceability Trends
Blog: Traceability Across Sector & Commodities: Lessons Learned
Blogs: Tracking eCDT Efforts in Philippines
Infographic: Tuna Supply Chain Infographic

FY2021 New SALT Services
Country-based Grants to Support eCDT - Vietnam & Indonesia
Direct seafood producing country consultation for eCDT <ul style="list-style-type: none"> <input type="checkbox"/> Knowledge Products - New & Existing <input type="checkbox"/> Connecting with Experts <input type="checkbox"/> Key Industry Connections <input type="checkbox"/> Coordination with NGOs <input type="checkbox"/> Learning Events
Learning Events <ul style="list-style-type: none"> <input type="checkbox"/> Traceability Traps & Triumphs <input type="checkbox"/> MDPI Co-design of Traceability Technology <input type="checkbox"/> Country-Based Events

2. Introduction & Background

2.1. Introduction

This document represents the SALT Year 4 work plan and reflects programmatic shifts at the midpoint of the project. This document starts with the background and how SALT has progressed heading into fiscal year 2021. Next, the overarching strategies (audience, comprehensive eCDT focus) and shifts (regional or country-based approach, knowledge cycle) are explained due to programmatic reflections and new funding with geographic focus. 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 new 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 Walton Family, Packard, and Moore Foundations; and FishWise to create a global, multi-stakeholder network for collaboration and learning 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 in order 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 that depend on fisheries for their livelihoods. Helping fishers, governments, and enterprises to produce and trade in legal, sustainable, and labor-friendly products for global businesses is also a win-win for developing countries and American consumers, while sustaining biodiversity and putting developing countries on a path to self-reliance.

At the end of this five-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 CDT systems – systems that are effective and scalable to support economic, ecological, and social well-being overall.

The term eCDT systems refers to the electronic collection, recording, and sharing of verifiable information relating to seafood products as they move throughout seafood supply chains. A *comprehensive eCDT* system 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.

For the SALT approach, ecological well-being includes improved fisheries management by governments and fishing associations as an essential element of healthy ocean biodiversity and profitable seafood supply chains. Successful fisheries management ensures social and economic benefits can be increased while maintaining sustainable yields, protecting and securing fishery resources, and conserving biodiversity. Effective management of fisheries, both large and small-scale, is important to food security and the livelihoods that depend upon fish and seafood, as well as biodiversity conservation and ocean health. For the purposes of this document, “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 economic, ecological, and social well-being.

Catch documentation and traceability systems need to be available, widely used, and benefit seafood companies to enable the industry to monitor and self-regulate. Ideally, such systems are electronic or can move from paper-based systems 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 systems to be in place and for the data within those systems to be shared by industry with seafood producing countries for sustainable management of fish as critical inputs into supply chains. This would lead to a reduction in IUU fishing and unsustainable fishing, along with associated criminality such as human rights abuses, seafood fraud, and other transnational or organized crime. In turn, this could improve coastal ecosystems and sustainable fisheries

management, leading to improved biodiversity, food security, livelihoods, and self-reliance globally.

Progress in the traceability field has been slowed by what should be interrelated work occurring in isolation. Central to SALT's work is uniting these 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. SALT key results include the development of principles for comprehensive eCDT and the incorporation of those principles into existing or new eCDT systems. The SALT Monitoring, Evaluation, and Learning (MEL) plan contains additional details.

SALT promotes network building and knowledge exchange to enable action and change for comprehensive eCDT. 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.

Over time, SALT aims to achieve four main objectives:

1. Expand accessible, interoperable, and electronic catch documentation and traceability systems for wild capture fisheries and aquaculture.
2. Increase the capacity of seafood producing countries to adopt catch documentation and traceability systems 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.

SALT draws upon elements of collective impact theory with FishWise playing the role of a backbone organization. As defined by FSG, collective impact “occurs when organizations from different sectors agree to solve a specific social problem using a common agenda, aligning their efforts, and using common measures of success.”¹ Kania and Kramer in the Stanford Social Innovation Review note that, “Creating and managing collective impact requires a separate

¹ FSG, [How Do Rural Communities in the U.S. Implement Collective Impact?](#) (2012)

organization and staff with a very specific set of skills to serve as the backbone for the entire initiative. Coordination takes time, and none of the participating organizations has any to spare...The backbone organization requires a dedicated staff separate from the participating organizations who can plan, manage, and support the initiative through ongoing facilitation, technology and communications support, data collection and reporting, and handling the myriad logistical and administrative details needed for the initiative to function smoothly.”² Backbone organizations guide vision and strategy, support aligned activities, establish shared measurement, cultivate community engagement, advance policy, and mobilize resources. While FishWise will not lead all of those functions (like mobilizing resources), the strategic approaches reflect some of the key roles a typical backbone organization provides.

In accordance with the cooperative agreement, this document presents the Year 4 work plan for SALT. Building on the previous three years, the Year 4 work plan will include overarching themes that SALT will address and activities in line with the SALT strategic approaches. In addition, the governance and management of SALT will be outlined as an additional work stream with staffing and structures to support the project.

SALT engaged in a mid-project Pause & Reflect process in June 2020. As a result, the SALT theory of change was adjusted and the results chain for the project was updated. The updated theory of change is presented in the modified Year 2-5 MEL Plan, a separate document.

3. SALT Results Chain

3.1. Pause & Reflect Shift

In June 2020, SALT held a mid-project Pause & Reflect process over three days supported through the Measuring Impact II contract. Staff from SALT, FishWise, and the SALT Coordination Committee participated in different parts of the event. With more than 20 participants, the objectives of the SALT Pause & Reflect were:

1. Reflection and thoughtful discussion on progress, gaps, and opportunities for SALT at its midpoint to inform adaptive management of SALT going forward.
2. Revisit and validate what success looks like in 2022.
3. Develop recommendations for adaptive management through strategic approach revisions, annual work planning, and MEL plan refinements.
4. Build consensus on a post-SALT vision and sustainability strategies.

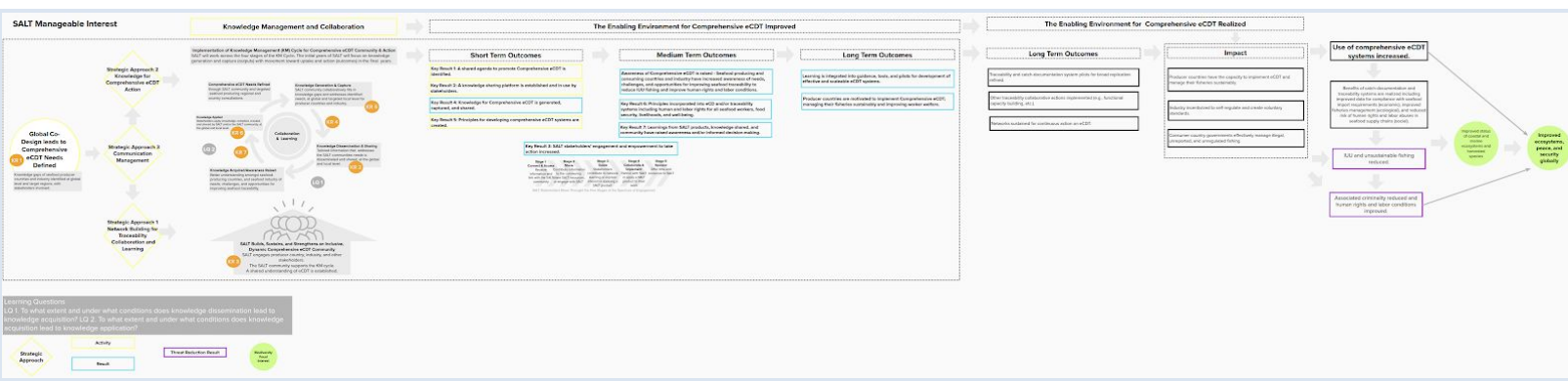
² Stanford Social Innovation Review, [Collective Impact](#) (2011)

3.2. Updated Results Chain

Based on input gathered from funders, stakeholders, and SALT and FishWise staff during the mid-project Pause & Reflect, the results chain was reorganized to clearly demonstrate SALT’s focus, namely—sustaining a dynamic community and knowledge management, including dissemination and application of knowledge. The strategic approaches and wording from the original results chain were mostly maintained, but the results chain was restructured to better reflect *how* SALT works and place more emphasis on knowledge management and collaboration (Figure 1). The updated results chain better reflects the knowledge management cycle (Figure 4) and demonstrates the feedback relationship between the SALT community (the bottom grey arrow with people) and SALT’s knowledge management activities (the cycle). Communication management is woven throughout the results chain.

Highlights of SALT’s updated results chain include a new emphasis on regional and country-focused engagement in service of the global community and determining that results related to seafood consuming countries are outside of SALT’s manageable interest. As a result of these changes, SALT’s key results were refined to ensure SALT captures the impact of the project (discussed further below in Table 2).

Figure 1: SALT’S Updated Results Chain for Years 4-5 ³



³ SALT, [Updated Results Chain for Years 4-5](#) (2020)

4. SALT Strategy: Overarching Audiences & Themes

Based on the SALT mid-project Pause & Reflect, there were several key findings that have influenced the Year 4 work plan. SALT's primary audiences remain the same and the specific strategies are outlined below. In addition, this section will highlight overarching themes for Year 4 that represent additions or modifications to previous overarching themes like; 1) global versus regional and country-based focus; 2) incentivizing and developing principles for comprehensive eCDT; 3) learning and knowledge management as a primary focus; and 4) incorporating defining and integrating social responsibility into SALT via comprehensive eCDT.

4.1. SALT Audiences

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 target audience(s) of an activity but also expand beyond that group.

Although SALT's audiences will stay largely the same as prior years with a primary focus on seafood producing developing countries and industry, SALT will expand to leverage specific audiences for country or regional versus global action (see Table 2).

- Seafood producing countries - SALT wants to increase capacity for seafood producing countries to adopt electronic CDT systems. 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, seafood producing country governments have more need and align well with SALT's objectives. Note that among seafood producing countries, SALT prioritizes engaging with developing countries, particularly those where USAID and SALT's partner foundations work. This table highlights the simple audience breakdown.

- Industry - The seafood industry is an essential stakeholder in the uptake of eCDT. In Year 4, those industry stakeholders who have strong interest and leverage in seafood producing developing countries will be of particular focus, when possible. In addition, global alliances that represent industry, like the Global Tuna Alliance (GTA) and Global Dialogue on Seafood Traceability (GDST), will be a focus for collaboration with SALT to leverage the commitments those global actors have already made. Below (Table 3) is a list of how industry will be engaged at different levels: global versus regional and country engagement.

Notably, efforts by consumer countries to implement traceability systems have increased in the past three years, including the European Union’s (E.U.) commitment to an electronic system and Japan’s work on seafood traceability. SALT will continue to 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.

The below table reflects audiences for SALT products and services in Year 4.

Table 2: Target Audiences

		Seafood Producing Country	Industry
SALT PRODUCTS	Global Principles: Comprehensive eCDT Principles	X	X
	Evaluation Framework: Tracking & Evaluating the Benefits of eCDT Systems	X	X
	Story Map: Philippines eCDT system	X	
	Field Report: Tracking COVID-19 Implications for Traceability	X	X
	Resource Guide: Compare EU/US/Japan Regulation & Policy		X
	Review Article: U.S. Retail Traceability Trends		X
	Blog: Traceability Across Sector & Commodities: Lessons Learned	X	
	Blogs: Tracking eCDT Efforts in Philippines	X	X

SALT SERVICES	Direct seafood producing country consultation for eCDT <ul style="list-style-type: none"> - Knowledge Products - New & Existing - Connecting with Experts - Key Industry Connections - Coordination with NGOs - Learning Events 	X	X
	Learning Events <ul style="list-style-type: none"> - Traceability Traps & Triumphs - MDPI Co-design of Traceability Technology - Country-Based Events 	X	X

4.2. Global & Regional/Country Focus Shifts

From the beginning, SALT was intended to reach a broad audience as a global alliance. One of the main shifts in Year 4 is adding a regional and country focus to the global program. Based on additional funding from the Latin America and Caribbean (LAC) Bureau at USAID and more interest from specific countries, a focus on work at the seafood producing country level is warranted. There are three main ways that a regional and country focus will be executed: grants to support eCDT in a region or country, direct consultation to countries for better knowledge of eCDT, and promoting learning around eCDT in Southeast Asia.

For SALT’s audiences, the below tables reflect how seafood producing countries and industry engagement will be applied to both global and regional focus.

Table 3: SALT Audience Seafood Producing Country - Global v. Regional Activities

Global Engagement	Engaging with SALT Advisory Committee and Comprehensive eCDT Principles Consultative Committee
	Extrapolating learning from seafood producing country work to highlight proven practices
	SALT website and online tools
Regional/Country Engagement	Country-based Grants to Support eCDT - Vietnam & Indonesia
	Direct seafood producing country consultation for eCDT
	Learning in Southeast Asia

Table 4: SALT Audience Industry - Global v. Regional Activities

Global Engagement	Engaging with Advisory Committee and Comprehensive eCDT Principles Consultative Committee
	Learning Products & Reports
	Engaging with industry alliances to collaborate and leverage existing commitments
Country/Regional/Country Engagement	<p>Industry Country Engagement Strategy</p> <ul style="list-style-type: none"> • Map role/leverage of various industry stakeholders within target countries & adopt strategies for industry to influence government/identify international champions tied to country to engage • Engaging with FishWise’s existing data and review OVS for regional industry characterizations

4.2.1. Country-based Grants to Support eCDT - Vietnam & Indonesia

SALT completed an open and competitive selection to award three small grants in Year 3. Two of the three small grants awarded in Year 3 will support country-based learning and use of eCDT, while contributing to the advancement of global learning in the eCDT field overall. The third grantee will develop an evaluation framework on the economic, social, and ecological benefits of eCDT systems, which is described further in Section 5.2.1. of the work plan.

Vietnam

Small grant recipient, the Center for Marinelifelife Conservation and Community Development (MCD), works with stakeholders to support the most vulnerable coastal communities in Vietnam. In 2016, MCD introduced the concept of ecosystem-based approaches in fisheries management (EAFM) and has since supported the development of EAFM guidelines and implementation in locally managed marine areas in Quy Nhon and Binh Dinh Province. MCD works closely with the Directorate of Fisheries of Vietnam (DFish) to build technical guidelines for the co-management of fisheries resources. With DFish endorsement, MCD has facilitated the introduction of electronic innovation to tackle IUU fishing and contribute to reforming Vietnam’s fisheries management. As a non-state actor, MCD has experience leading, facilitating, and convening stakeholders, ultimately moving the dialogue on comprehensive eCDT system development forward. MCD will leverage their current momentum to conduct their SALT small grant activities; to capture information, conduct learning events, and if practical apply the

Comprehensive eCDT Principles, to inform Vietnam's National eCDT Guidelines and Roadmap.

Indonesia

Indonesia is one of the largest seafood producing countries globally, with high-value exports to the U.S. and E.U. as well as a large domestic trade and consumption of seafood. Recently, Indonesia was recognized as the world's largest producer of tuna. Small grant recipient, Masyarakat dan Perikanan Indonesia (MDPI) is an Indonesian NGO focused on achieving responsible and sustainable fisheries activities across Indonesia. MDPI works primarily with small-scale artisanal fisheries through the empowerment of fishing communities. MDPI also works with industry and government to implement technology that will improve traceability in tuna supply chains. In June of 2019, MDPI convened a co-design workshop that reviewed the availability of technologies in Indonesia. MDPI will build upon the momentum and outcomes of that workshop for their small grant work in Year 4, to convene the Indonesian government and industry stakeholders for a co-design workshop on emerging eCDT technology in Indonesia's tuna supply chain. SALT will present the Comprehensive eCDT Principles at the workshop with the intention of garnering input from the gathered stakeholders for future application and uptake.

4.2.2. Direct Seafood Producing Country Consultation for eCDT

In Year 4, SALT will work with seafood producing country stakeholders based on their needs to support the implementation of comprehensive eCDT. There are several ways that SALT could engage with and provide direct consultation to countries:

1. Knowledge Products - New & Existing - SALT can share specific, relevant materials from the website and the Comprehensive eCDT Principles. SALT could conduct a specific site or issue analysis of key players and issues in a country.
2. Connecting with experts - SALT can call on its strong network and link people to that expertise. SALT & FishWise can also provide direct consultation services to countries.
3. Key industry connections - SALT can connect relevant industry with governments.
4. Coordination with NGOs - SALT supports a collaborative process to address issues around IUU fishing & traceability. As such, SALT can support NGOs who work with governments on traceability.
5. Learning Events - SALT can support convening key stakeholders to promote collaboration and better execution of comprehensive eCDT.

These efforts are described in more detail in section 5.1.2.

4.2.3. Promoting Learning around eCDT in Southeast Asia

SALT will use collaboration as a means to support country, regional, and global learning. For learning related to regional programs, Southeast Asia has the most experience with implementation of electronic traceability schemes.

Philippines - Tracking Existing Advanced Efforts for Learning

SALT will continue to capture knowledge from learning sites identified last year, in particular from the Philippines. Through consultations and continued contact with the SALT community, consultants, and USAID contacts, SALT will continue to monitor the progress of the government-led eCDT system.

COVID-19 Implications for Traceability

The COVID-19 pandemic has given rise to considerable challenges globally. The marine and fisheries sector is no exception and has been adversely impacted during the pandemic, from fishers to those working throughout the supply chain. With many countries implementing physical distancing and lockdown measures to limit the spread of SARS-CoV-2, those measures affect the movement of goods and people. Supply chains for various commodities including seafood, in both the domestic and international markets, have been under heavy pressure. The freefall of market demand, especially in the food service industry of major seafood markets, coupled with significant logistical constraints to the timely transport of seafood, are also affecting the livelihood of many actors in the industry. The COVID-19 pandemic is surfacing and highlighting many new opportunities for traceability, as well as fast track existing initiatives that otherwise would take longer to be fruitful. However, if these initiatives are not carefully thought through, the capitalization of those opportunities could also create challenges that might lead to other systemic problems going forward. This is a critical moment to leverage opportunities to build transparent, data-driven seafood supply chains while mitigating negative unintended consequences. SALT will support continued work in South and Southeast Asia on the impacts of COVID-19 on traceability; details are in Section 5.2.1 of the work plan.

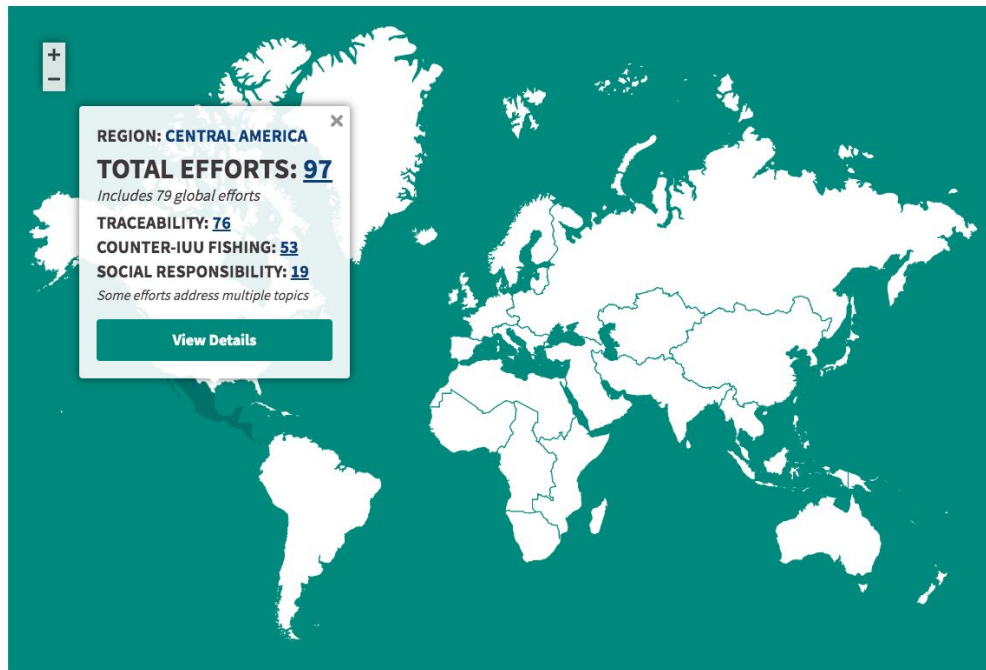
Table 5: Global and Regional SALT Products & Services

		Global	Regional/ Country
SALT PRODUCTS	Global Principles: Comprehensive eCDT Principles	X	X
	Evaluation Framework: Tracking & Evaluating the Benefits of eCDT Systems	X	X
	Story Map: Philippines eCDT system		X
	Field Report: Tracking COVID-19 Implications for Traceability	X	X
	Blog: Traceability Across Sector & Commodities: Lessons Learned	X	
	Review Article: U.S. Retail Traceability Trends		X
	Blogs: Tracking eCDT Efforts in Philippines		X
	Infographic: Tuna Supply Chain Infographic	X	
	Resource Guide: Compare EU/US/Japan Regulation & Policy	X	
SALT SERVICES	Direct seafood producing country consultation for eCDT <ul style="list-style-type: none"> - Knowledge Products - New & Existing - Connecting with Experts - Key Industry Connections - Coordination with NGOs - Learning Events 		X
	Learning Events <ul style="list-style-type: none"> - Traceability Traps & Triumphs - MDPI Co-design of Traceability Technology - Country-Based Events 	X	X

4.3. Latin America and Caribbean Focus

LAC has growing work in traceability; according to the SALT Seascope on traceability efforts, the Caribbean has 78 active traceability efforts while Central America has 76 and South America has 73 (Figure 2).

Figure 2: Central America Seascope Efforts



Given interest from countries like Belize, Peru, and Mexico and ongoing IUU fishing issues in Ecuador and Chile, LAC is a region of interest. Thus far, SALT has had the following engagement with stakeholders from LAC:

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 did a knowledge capture visit to Belize in 2019 because an artisanal lobster fishery there had recently integrated new traceability technology. 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.⁴ In addition, SALT supported a south-south knowledge

⁴ SALT, [Trekking to the Tropics for Traceability](#) (2020)

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.

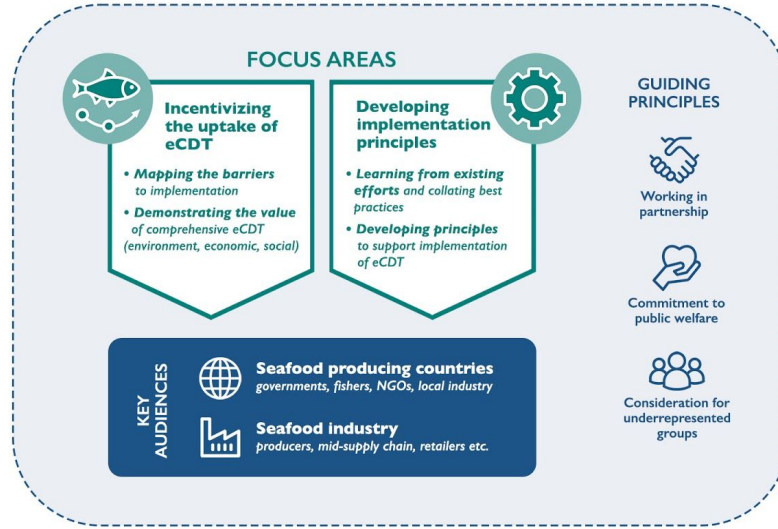
3. Knowledge products - SALT has developed a website that includes a map⁵ of traceability work happening around the world, including LAC. It includes important information about work that has been done by industry and governments around the world.
4. Connecting with experts - SALT has a strong network of people who have implemented and are working on traceability. 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 (SIMP) 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 already been in contact with several NGOs working in Peru, Ecuador, and Mexico including the World Wide 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 the work.

4.4. Incentivizing eCDT & Developing Principles

SALT continues to prioritize two main thematic areas for its work based on findings during co-design and validation of those topics since then: 1) incentivizing comprehensive eCDT and 2) developing principles for comprehensive eCDT.

⁵ SALT, [Seascope Map](#) (2019)

Figure 3: The SALT approach



The two thematic areas broadly captured 18 of the collaborative actions proposed by stakeholders during the SALT co-design process:

- Incentivizing Comprehensive eCDT Globally - This work focuses on demonstrating the value of adopting eCDT. Many companies, governments, and NGOs undervalue eCDT as a resource and strategy for managing core business risks, complying with regulations, generating sales growth, sustainably managing fisheries, and ensuring that the seafood entering markets is legal and socially responsible. Understanding the value of comprehensive eCDT is important to increasing its uptake. SALT is working to demonstrate return on investment (ROI) for comprehensive eCDT from a financial, ecological, and social value perspective.
- Comprehensive eCDT Principles - There is a need for shared guidance that identifies the minimum level of best practice for the design and implementation of seafood eCDT systems within producer regions that address economic, social, and ecological goals, including fisheries management. These principles will help ensure that eCDT systems are designed and implemented in a way that will enable them to be interoperable, effective, and comprehensive. Progress in the global eCDT space is currently being hindered by the lack of widely socialized best practice guidelines that enable eCDT to address economic, social, and ecological goals. Governments sometimes move quickly to implement solutions based on emerging needs and new market import requirements, without having guidance to draw upon. This leads to the development and implementation of systems that may only serve certain needs within a supply chain or to comply with one market's import requirements, without addressing the full potential

economic, social, and ecological benefits that it could provide. ECDDT systems designed and used with a narrow scope are limiting the potential for interoperability and for systems to meet comprehensive goals for all stakeholders.

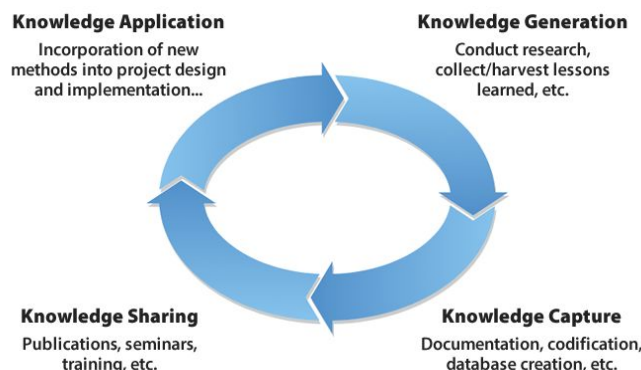
4.5. Learning and the Knowledge Management Cycle

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 distributed⁶. Most importantly, it includes how the knowledge is applied within a system. Learning in a system depends on the knowledge management cycle. Knowledge management enables one to tap into and share explicit and tacit knowledge in order to learn from it.

Thus far, 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 with collaboration as a main function to support knowledge management and learning. The updated results chain for SALT (Figure 1) reflects this shift with the knowledge cycle as the method of learning.

For learning, SALT will utilize a Knowledge Management Cycle model with the following components:

Figure 4: The Knowledge Management Cycle



⁶ Journal of Environmental Treatment Techniques, Volume 4, Issue 4, Pages 184-200, A Comprehensive Analysis of Knowledge Management Cycles, Haradhan Kumar Mohajan, Premier University, Chittagong, Bangladesh (2016)

SALT's entire project has been oriented around the knowledge cycle. The first few years were focused on knowledge generation and capture with some dissemination. Now, SALT is moving toward uptake and action as key elements of work.

4.6. Social Responsibility Focus

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, SALT can access expertise in social responsibility and social inclusion issues related to fisheries.

Human rights and labor abuses and trafficking are serious issues to be addressed within SALT, as described below and further in the 'Knowledge Generation/Capture' section. As the focus on integrating human rights into existing social responsibility efforts continues to grow (e.g. Global Sustainable Seafood Initiative (GSSI), Consumer Good Forum's Sustainable Supply Chain initiative, Fishery Progress's social policy, and Conservation International's Rapid Assessment Tool for Fishery Improvement Projects), it is increasingly important for SALT to recognize the desire for integration 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.⁷ The main way that social responsibility will be realized in Year 4 is through the Comprehensive eCDT Principles (Section 4.4). As explained below, to be both truly comprehensive and usable, the principles 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:

- Finalizing the Comprehensive eCDT Principles that address what and how data should be captured, and encouraging the uptake and implementation of those principles:
 - What additional resources can SALT provide users?
 - How can SALT encourage use from social responsibility and human rights practitioners?

⁷ RISE, [Social Issues in Seafood](#) (2019)

- What are the safety and privacy implications for workers with regard to different types of social responsibility data capture, and how can SALT best encourage that all data captured are collected with worker safety in mind?
- What are the relevant privacy laws regarding collection of data about humans?
- What additional information, research, evidence, and examples need to be collected to understand the privacy and security implications for collecting sensitive worker data in designing and scaling comprehensive eCDT?
- 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 resources?
- Where possible, engaging governments on social responsibility efforts through learning events:
 - When can SALT invite government human rights and labor experts to learning events? How can SALT support participation of those groups, ensuring their perspectives and recommendations are integrated?
 - How and where can human rights experts and government representatives be prioritized in project design processes and SALT events (virtual and in-person)?
 - How can SALT leverage the community's and FishWise's Social Responsibility Division's network to bring human rights experts and non-fisheries government officials to learning events and collaborations?
- Supporting government efforts to integrate social responsibility practices into their seafood traceability systems:
 - 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?

4.6.1. Social Inclusion & Gender Integration

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, as

per Objective 4. The 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, gender, racial, ethnic, and other minority groups, people with disabilities, etc.

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 asking these questions during activity scoping:

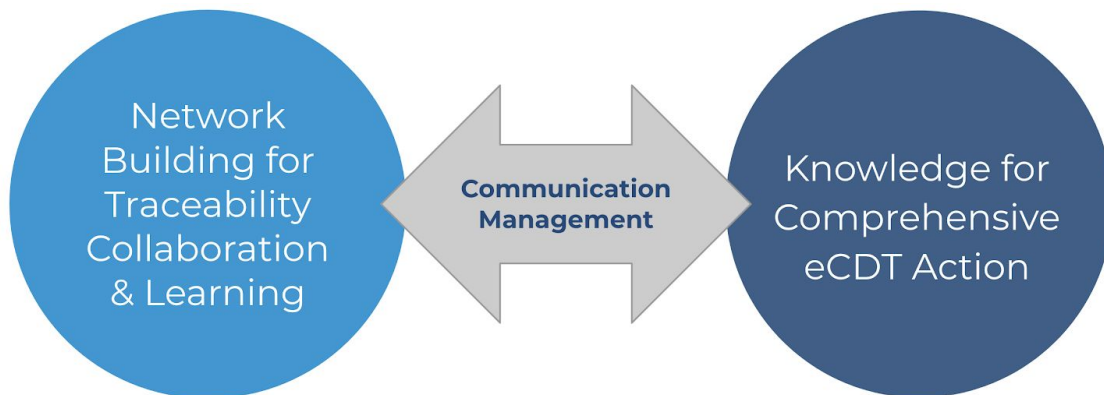
- Featuring less represented groups as experts at learning events and supporting participation of those groups, ensuring their voice and perspectives are heard
 - What seafood stakeholders have gender on their agenda specifically related to traceability and supply chain transparency?
 - How can SALT 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?
- Telling 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.
 - Where are there gaps in the seafood community of stories being shared, and how can SALT help leverage the messages of those groups?
 - How can SALT share these stories in a way that is accessible and easily understood by a wide audience?
 - Where can SALT highlight stories of COVID-19 exacerbating existing inequalities across the seafood industry or putting certain communities more at risk?

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

5. SALT Strategic Approaches & Key Activities

SALT's strategic approaches have remained largely the same; however, Network Building for Traceability Collaboration & Learning and Knowledge for Comprehensive eCDT Action are two approaches that are more clearly supported by communication management (Figure 5).

Figure 5: SALT Strategic Approaches



Under these strategic approaches, each activity will have a purpose, key audience(s), objectives, success measures, learning, and a timeline. For in-country activities, effort will be made to connect with USAID staff at missions to both keep them informed and leverage their networks. SALT will approach any product using a human-centered design. More specifically, the scoping of activities will answer key questions like:

- What has been done already or what is SALT building upon?
- Who are the key stakeholders?
- What about gender integration or disenfranchised groups?
- Who are the other stakeholders within FishWise, the SALT Advisory Committee, and the SALT community who could provide expertise for this activity?
- What can SALT learn from traceability systems in other sectors?
- What behavior change would you like to see?
- What is the rollout and outreach strategy?
- What does success look like?
- What considerations does SALT have for moving forward? What contextual shifts is SALT seeing?

5.1. Network Building for Traceability Collaboration & Learning

As a key element of SALT, FishWise seeks to bring stakeholders together to promote more effective progress through collaboration. The strategy shifts noted above reflect a more intentional engagement with the community and the use of these networks to further the learning and knowledge management goals of the project.

SALT's activities will include collaboration and learning events (virtual) that convene diverse, broad stakeholders across seafood supply chains and host specific events that target seafood producing country stakeholders as a key stakeholder 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. Collaboration Through Regional or Country-based Technical Assistance - Grants to Support eCDT

As noted above, SALT completed an open and competitive selection to award three small grants in Year 3. The key activities and outputs for the grants are outlined below.

Vietnam

In Vietnam, SALT partnered with MCD to support the movement from an eCDT pilot to informing the national-level policy conversation. In Year 4, MCD will compile lessons learned from an eCDT pilot in Binh Dinh province and nearby provinces, conduct a gap analysis, support a learning and training event for Binh Dinh's tuna fishers participating in a second eCDT pilot, and hold a multi-stakeholder consultative workshop with key Vietnam government officers and fisheries stakeholders. Throughout Year 4, SALT will provide technical assistance to MCD and, when suitable, apply the Comprehensive eCDT Principles. MCD's small grant work with SALT will culminate with the final National eCDT Guidelines and Roadmap for implementation.

The key audiences for these activities are Vietnam government officials and tuna fishers. The project targets fishers to ensure traceable data is captured at the point of catch—the most challenging part of data collection for eCDT systems in wild capture fisheries. Fishers are also core players for ensuring the successful transformation of paper-based catch documentation

into an electronic system. The capacity building of government officers throughout activity implementation shall contribute to the advancement and sustainability of eCDT systems in Vietnam. The project's results will contribute to the government's efforts on development of regulations and policies for implementation of eCDT technologies, along with the implementation of vessel monitoring systems, which are regulated by the government.

In Year 4, MCD will complete the following deliverables with technical support from SALT:

- A summary report of the lessons learned from the eCDT system pilot in Binh Dinh and other provincial programs in English.
- MCD shall submit the Gap Analysis report in English, with recommendations for closing identified gaps based on the practical field experience (lessons learned from the eCDT pilots) and the National eCDT Guidelines and Roadmap.
- A report with the recommendations to integrate findings from the eCDT pilot, and the Comprehensive eCDT Principles, into the National eCDT Guidelines and Roadmap.
- A report of the multi-stakeholder national consultative workshop, including the National eCDT Guidelines and Roadmap, incorporating the uptake of the Comprehensive eCDT Principles where practical, for future eCDT system implementation in Vietnam.

Indonesia

In Year 4, MDPI will lead a co-design workshop on emerging eCDT technology in Indonesia's tuna supply chain. The multi-stakeholder workshop will review and co-design emerging eCDT technologies, with the aim of further refining and identifying cost efficiencies for these technologies to increase their utility for and accelerate their uptake by industry and government bodies. The Ministry of Maritime Affairs and Fisheries (MMAF) will be looked to for their inputs and feedback, particularly when developing systems or tools for which they could be the end user. Throughout this activity, fishers, government officials, and MDPI will better understand each other's data needs and determine what information is required for sustainable fisheries management.

The workshop will be held for an estimated 40 participants with representatives from MMAF, NGOs, technology providers, and industry. The workshop is tentatively planned for December 2020, pending public health guidance as a result of the COVID-19 pandemic. SALT will provide technical support to MDPI to develop the workshop objectives, finalize the workshop agenda, provide input on co-design best practices, including the use of participatory methods and evaluation, and other technical advising as needed. SALT will introduce the Comprehensive eCDT Principles at the workshop and garner input on opportunities for application and uptake.

A letter of intent, with actionable next steps, will be presented at the end of the workshop for endorsement from all of the participants.

In Year 4, MDPI will complete the following deliverables with technical support from SALT:

- Produce a final agenda and participant list approved by SALT.
- Submit the final travel plan to be shared with the USAID/Indonesia Mission.
- Author a final co-design workshop report in both English and Bahasa Indonesia, with recommendations for traceability improvements and opportunities for application of the Comprehensive eCDT Principles. This report will be disseminated to all participants and relevant stakeholders.

Small Grantee Program Global Learning

In Year 4, each grantee will produce bimonthly updates on their progress, and provide key takeaways, failures, and accomplishments that will be shared with the SALT community. In addition, each grantee will present at least once—in-person or virtually—on the progress, impact, and outcome of their grant. Finally, a thought piece for an external, higher-visibility publication that combines learning and insights from the grantees' work will be shared broadly with the SALT community.

5.1.2. Direct Seafood Producing Country Consultation for eCDT

SALT continues to seek relationships with governments to serve their specific needs for eCDT. While SALT has worked to establish linkages through participation in the SALT Advisory Committee or Comprehensive eCDT Principles Consultative Committee, SALT is also seeking to provide direct technical assistance to seafood producing country government officials through SALT's network of experts.

Seafood Producing Country Strategy

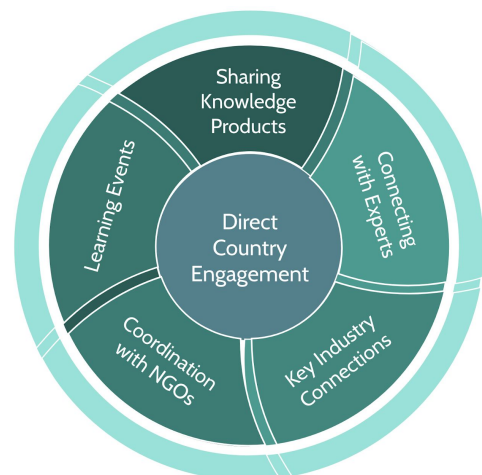
During the remainder of the SALT project, the team will identify at least two entities or countries who have interest in eCDT and SALT and who align with SALT's key stakeholder groups. The first element will be the selection of the country/ies. The process will determine who has interest and eligibility for a more concrete partnership and direct consultation. While most of these connections will be opportunistic, when possible, SALT will work to ensure the countries meet several of the below criteria:

- Intent - Countries that express interest in adopting or using the Comprehensive eCDT Principles.
- Access to contacts, relevant information, etc. - Support will take time and effort and SALT will rely heavily on partners and existing projects, including USAID and partner foundation projects.
- Longevity - Contributions to sustainability of SALT's work beyond the life of the project (per the SALT sustainability plan).
- Collaboration opportunities - partnering is ideal to ensure long-term outcomes since SALT is in its final two years.
- Learning opportunities - The depth of engagement or opportunity to learn and share those more broadly is important to SALT's selection as well.
- Comparable context - In order to promote cross-learning and global proven practices, ideally the countries would offer comparable levels of traceability work either with similar products or size of the effort.

Next, once a country has been identified and selected based on the criteria above, SALT will proceed with engagement and do a strategy specific to the needs of the country to provide direct expertise and guidance on traceability systems. The strategy will depend on the specific circumstances and needs of the country but could involve: 1) an issues analysis (political economy or other) related to traceability to identify opportunities and barriers; 2) stakeholder mapping and analysis of relevant parties; and 3) identifying partnership opportunities for sustainability.

Based on the analysis or mapping, SALT could connect experts from around the world within the SALT community and FishWise to serve their specific needs. The ways in which SALT can engage with countries includes:

- Sharing Knowledge Products
- Connecting with Experts
- Key Industry Connections
- Coordination with NGOs
- Learning Events



Knowledge Products - New & Existing

SALT will share specific knowledge products from the SALT website that may answer unique questions seafood producing countries may have related to traceability. In addition, SALT may develop new products tailored to the needs of a seafood producing country, whether that is synthesizing relevant information or creating original pieces that may address the needs.

Connecting with Experts

SALT has a vast network of more than 1000 contacts. SALT has strong relationships with many of those individuals who can provide specific expertise. SALT can call on its strong network and link people to that expertise. SALT and FishWise colleagues can also provide direct consultation services to countries. For instance, SALT connected an expert from Indonesia to interested parties in Peru to discuss the challenges of traceability technology.

Key Industry Connections

In seafood producing countries, SALT's industry audience includes harvesters and producers. FishWise engages with industry throughout the supply chain and partners with domestic retail industry companies to help them work towards best practices of electronic and interoperable traceability. SALT, with FishWise, will apply this expertise and large network of industry stakeholders when gathering knowledge and designing products. SALT will utilize best available data, including FishWise's anonymized existing data when possible and alliance partnerships to identify key industry players in seafood producing countries. SALT will leverage these findings, along with FishWise's broader industry network, to bring industry stakeholders into discussions about challenges and adoption of the Comprehensive eCDT Principles in seafood producing countries.

As a network facilitator, SALT will then link key industry players to conversations as new traceability standards and policies emerge. Ultimately, these strategies and activities aim to encourage industry engagement and commitment to implementation of eCDT in seafood producing countries. When appropriate, SALT will highlight industry traceability success cases and share lessons learned to the broader global audience via SALT's website.

Coordination with NGOs

In the past year, SALT has had inquiries from NGOs working with governments in Peru and Mexico to seek expertise and guidance on traceability systems. SALT worked to connect

experts from around the world with those NGO government partners in order to serve their specific needs.

Learning Events

SALT could also design a learning event to address the needs of a specific country. In line with SALT's goal of increasing the capacity of seafood producing countries to adopt traceability systems to strengthen fisheries management, SALT could host a learning and collaboration event with seafood producing countries (including governments and their NGO counterparts) remotely in Year 4. This event could be hosted in conjunction with proposed grant activities as well.

SALT is still well positioned to serve this role given its vast network, convening power, expertise, and proven experience facilitating collaboration for addressing challenges in seafood. A learning and collaboration event could provide the opportunity for governments to utilize the traceability principles described under section 4.4 which are targeted at seafood producing country governments. Also, an event could provide an interesting opportunity for knowledge capture in a region that is interested in adopting eCDT systems. A more complete scope will be available once SALT has identified event possibilities.

5.1.3. LAC Plan

For the coming year and based on previous connections, SALT has identified opportunities for engagement in Latin America, especially in Peru, Mexico, and Ecuador where governments and partners are interested or currently working on traceability efforts for their seafood sector. This will be 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. A specific strategy will be developed per country that SALT engages.

With a major focus of Year 4 being the finalization and application of the Comprehensive eCDT Principles, SALT will seek to identify the best countries for engagement. In addition, future SALT activities related to LAC will include:

1. Consulting with Global Development Alliance (GDA) partners, especially Walton Family Foundation, to discuss the traceability context in Peru. With the Walton Family Foundation's transition from Peru in a couple of years, there is an opportunity for SALT to fill a gap and address the context analysis already done by Council Fire.
2. Consulting with GDA partners and SmartFish in Mexico to engage the government on traceability systems.

3. Facilitating information sharing on IUU fishing in Ecuador and the use of traceability in the Galapagos Islands to socialize traceability as a tool to combat illegal behavior in supply chains.
4. Work with USAID Missions to increase understanding of regional issues related to IUUF and the benefits of traceability as a tool to address legality.
5. Facilitating virtual exchange events to connect LAC parties working on traceability systems with experts from other regions or with industry stakeholders, in collaboration with SALT partner foundation grantees.
6. Capturing lessons learned from on the ground pilots in LAC in collaboration with local stakeholders to inform national or international learning on traceability application.
7. Fostering regional approaches to traceability and knowledge-sharing to help strengthen relationships between countries and in turn facilitate coordinated action.

SALT will actively engage with the LAC Bureau counterparts at USAID and USAID Missions as well. SALT can offer support to Missions around traceability and IUUF technical expertise. SALT will offer regular status updates on linkages and activities. SALT will create an overall LAC Plan with more in-depth activity scoping per country as needed.

5.1.4. Growing Networks and Forging Strategic Partnerships

SALT seeks to build a community of people that will participate in the online platform and attend major SALT convenings to share knowledge broadly. SALT will also support the formation of coalitions that engage with the online platform and/or major convenings, but then also rally together around specific collective action. The community and coalitions can include implementing NGOs, supply chain businesses, funders, governmental agencies, technology companies, trade associations, and a host of other groups. Throughout SALT's strategic approaches, partnership will be a consistent theme. Partnerships will be used to advance existing work and enhance SALT's products.

SALT has a spectrum of engagement to clarify how stakeholders can participate with SALT. The spectrum of engagement also allows FishWise to monitor and track how SALT engagement with the community may change over time to inform future work. With the focus on learning and knowledge management, SALT has incorporated learning and the application of knowledge into the spectrum to help monitor and evaluate work. For more information, please refer to the MEL Y4-5 Plan.

Advisory & Coordination Committee

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 support and expand the Advisory Committee. In addition, the Coordination Committee will work to facilitate relationships by connecting people. FishWise has developed a contact management system to better track relationships, improve communications, and enhance event management which will help show important relationships and how they may change over time.

Event or Forum Participation

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 will participate in:

- Seafood and Fisheries Emerging Technology Webinar Series
- GDST Dialogue Advisory Group
- Other industry forums as appropriate

Memorandums of Understanding (MOUs)

SALT will continue to identify opportunities to forge key partnerships with other 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. For instance, SALT is engaged in active discussions with the World Wide Fund for Nature (WWF) on behalf of the GDST in order to finalize a MOU as an example of intentional collaboration.

The purpose of the MOU is to promote and further the cooperation between SALT and the GDST. This strategic collaboration would help to promote the growth and effective implementation of interoperable and comprehensive eCDT systems by a variety of stakeholders, in support of natural resource conservation and social and economic well-being around the world.

The potential joint activities in the SALT-WWF GDST MOU include:

- Technical Support & Assistance: Participation in GDST and SALT Advisory Committees and Processes
- Government Engagement and Regulatory Harmonization
- Communications to Support GDST & SALT

Once the MOU is finalized in Year 4, more details will be provided on the specific scope of joint activities.

Finally, SALT will continue to seek a deeper relationship with organizations like the United Nations Food and Agriculture Organization (FAO) or human rights partners. This is explored more below in section 5.2.1.

5.2. Knowledge for Comprehensive eCDT Action

For overall project success, a dedicated approach to learning and knowledge management is essential. It will not be enough to simply capture proven practices and lessons learned and then post them on a website or distribute via social media. In Year 4, SALT has incorporated a more systematic approach to learning and collaboration using the knowledge management cycle to ensure uptake and integration of eCDT into global approaches to traceability.

To execute this approach, SALT will continue to work at different points in the knowledge cycle in Year 4. While knowledge creation and capture were a big part of the first few years of SALT, the focus will now shift to include more dissemination and application.

For example, the shift to include regional and country approaches is to enhance the potential for learning and uptake of eCDT. This demonstrates the move from knowledge generation and capture, in development of the principles, to sharing knowledge and seeking application.

SALT will continue knowledge creation and capture (which will be done in a variety of ways) to keep the broader community informed and to share relevant materials to the key stakeholders at the right time. Staff will continue to identify the specific audience for the information and ways to make it relevant to them, ensuring that it is framed correctly, and then work through the various vehicles for synthesizing, managing, and sharing that information. SALT will promote learning to understand different eCDT efforts, successes, and challenges, allowing for improved eCDT system design and more effective and efficient implementation.

5.2.1. Knowledge Generation/Capture

Knowledge generation can occur formally through directed research and experimental development in academic institutions, firms, and public and nonprofit institutions. Knowledge generation can also occur informally in a working environment through the activities and

interactions of actors in an organization or the general economy.⁸ People are the critical input for knowledge generation, whether as individual researchers, in research teams, or even in collectives such as organizational subunits, entire organizations, or nation states. Knowledge capture includes collecting documents, presentations, spreadsheets, records, processes, software source, images, audio, video, and other files which can be used for innovation, reuse, and learning. Knowledge capture makes tacit knowledge explicit, i.e., it turns knowledge that is resident in the mind of the individual into an explicit representation available to a broader group.

Global Principles: Comprehensive eCDT Principles

Members of SALT's Advisory Committee, Coordination Committee, and the seafood community have identified the need for shared guidance that identifies the minimum level of best practice for the design and implementation of seafood eCDT systems within producer regions that address economic, social, and ecological goals, including fisheries management. In Year 3, SALT began the extensive process of drafting this shared guidance.

The Comprehensive eCDT Principles Consultative Committee—which is 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 support seafood producing country governments' eCDT adoption and institutionalization. The principles will be applicable to government representatives working to implement eCDT at a variety of scales (e.g. artisanal and/or industrial) and will apply whether they are seeking to launch a large national eCDT program or a small regional pilot. Stakeholders from seafood producing countries, such as fishers, government, and industry, are a target audience for SALT.

All seafood producing country governments 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 systems that are lasting and comprehensive in scope.

Creating or expanding upon an eCDT program requires adequate coordination, consultation, and research, and many stakeholders must be included beyond those within a given government of the seafood producing country. SALT expects the Comprehensive eCDT Principles to be relevant to the traceability efforts of many non-government stakeholders (e.g. fishers, seafood companies, local communities, social/labor groups and environmental NGOs, traceability

⁸ National Academy of Sciences, [Capturing Change in Science, Technology, and Innovation: Improving Indicators to Inform Policy](#) (2014)

technology providers, partner governments, and potentially many others). When final, SALT envisions creating tools that will assist a range of stakeholders in interpreting and implementing the principles. However, to best promote their ‘uptake’ it is essential the principles are developed with their primary audience or ‘user’ in mind.

This work is being developed in alignment with principles of human centered design (HCD). HCD “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.”⁹ HCD was developed to “integrate business and technology around human needs,” making it well suited to efforts with complex stakeholder landscapes. HCD aids in sifting through the relationships between those who need/would benefit from a given activity, those providing benefits, and other constituents. An important component of HCD is coming back after a project has been completed to evaluate how well the project met the user’s needs and identify further “updates” that are needed. As such, SALT expects the Comprehensive eCDT Principles will be refined and expanded through time.

In Year 4, SALT aims to finalize the Comprehensive eCDT Principles and begin advocating for their uptake from a variety of stakeholders interested in government design and implementation of eCDT technologies. SALT will also refine these principles during implementation in Years 4-5. SALT will promote the principles in Year 4 and support opportunities for them to be implemented in current or burgeoning eCDT work occurring around the globe through potential activities such as: identifying and communicating directly with potential implementers, hosting webinars, leveraging alliance partnerships, and soliciting endorsements from experts in the field.

Comprehensive eCDT Principles Process Finalization

By the end of Year 3, SALT will have shared a second draft of the principles with the Consultative Committee. At the start of Year 4, SALT will solicit committee feedback on this next draft of the principles. The committee will be asked to submit information that they deem appropriate for the development of the principles, participate in design conversations to ensure the product is relevant and useful, and review and provide feedback on the content and structure of the product developed by SALT. These principles will fundamentally address *what* is required for an eCDT system to be comprehensive. In Year 4, SALT may solicit external expertise to undertake expansion and clarify *how* to implement a system to abide by these principles. SALT will continue to lead this work and engage the committee as appropriate through email communication and webinars as the principles are finalized and the rollout begins.

⁹ USAID, [Human -Centered Design](#) (2020)

SALT will create a final deliverable that is satisfactory to USAID and the Consultative Committee in Year 4.

Social Integration, Worker Data, and Key Data Element (KDE) Analysis

In addition to finalizing the process for the Comprehensive eCDT Principles, SALT will endeavor to identify gaps specific to social responsibility that would better support the uptake of Comprehensive eCDT Principles. This activity aligns with SALT's intention to place a greater focus on human rights and labor abuse issues in Year 4.

For the Comprehensive 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. However, of the three main foci of the principles (ecological, economic, and social), best practices for implementing eCDT systems that support social responsibility are by far the least tested and proven, as the driving motivators to implement social responsibility are often different than implementing traceability. While SALT is able to provide guidance for Comprehensive eCDT Principles without these integrated systems, the uptake and implementation of the principles will be improved by research, guidance, and capacity building for social responsibility in fisheries. In general, the ability of traceability data to improve social conditions for workers has yet to be taken advantage of.

Through the Comprehensive eCDT Principles project, SALT faces challenges and additional questions about how to best leverage guidance to governments. There is a need to engage Departments of Labor, Employment, or other groups intended to monitor and enforce compliance with human rights laws. Without providing opportunities for both human and labor rights-focused government agencies, as well as fisheries-focused agencies to collaborate on improvements, SALT will face challenges in implementing comprehensive traceability in government and regulatory frameworks.

In Year 4, SALT aims to address the following questions: what is the potential of specific KDEs and eCDT overall to support claims regarding social responsibility and equitable worker welfare? What existing technologies can be utilized to reliably and responsibly collect social responsibility data? What privacy safeguards need to be in place to collect data on workers responsibly?

SALT endeavors to answer these questions by potentially:

- 1) Identifying overlapping risk indicators, i.e., which KDEs recommended by current standards (such as GDST's Basic Universal List of KDEs) also support human welfare or identify areas of risk for human and labor rights abuses;
- 2) Researching the findings of pilots designed to develop social KDEs for fisheries and aquaculture;
- 3) Conducting a landscape analysis of current projects and initiatives around social welfare KDEs (such as GSSI, International Labour Organization, Verité, etc.), and determine the most productive way to share or iterate with those groups and the broader seafood industry;
- 4) Researching the safety and privacy implications for data collection on workers, including relevant privacy laws regarding collection of data about humans; and
- 5) Developing a landscape of the existing technologies that could be used to collect seafood data related to both ecological sustainability and social responsibility.

The answer to these questions will help to support the Comprehensive eCDT Principles, as well as inform SALT's other work with social responsibility. SALT will encourage adoption of internationally-recommended KDEs that also have the potential to augment social responsibility via the principles, as well as promote safety and privacy best practices for data collection in seafood. As SALT encourages the adoption of the Comprehensive eCDT Principles, there is the opportunity to leverage existing resources to maximize social responsibility impact. Yet unless the resources, tools, and guidance that SALT refers to are accessible by the entire community, the impact of those resources will be limited. Consequently, SALT may support the translation of key resources into languages that would allow the SALT community to expand its knowledge of social responsibility topics, act to improve social responsibility, and collaborate with organizations that can support human rights in seafood. SALT will also highlight social responsibility in multimedia communications products in Year 4, covered in further detail below in Communications Management.

Comprehensive eCDT Principles Rollout

SALT endeavors to have the Comprehensive eCDT Principles be a well-known resource across the seafood sector and considered a key document for seafood producing country fisheries managers and those that support them. SALT aims to have the Comprehensive eCDT Principles referenced in global forums and mentioned in notable reports.

To achieve this, SALT will implement a thorough rollout plan that includes engagement through the FishWise and SALT community's online and other channels. A thorough rollout plan will be created early in Year 4 and will be available via a scoping document. Namely, SALT will create an online space dedicated to the principles on SALT's website in close partnership with the

Communications work stream, which will be launched simultaneously with the principles. This online space will be geared towards the key audience and will feature relevant resources to aid in implementing the different components of the principles. SALT may produce additional resources as requested by interested parties.

Additional activities in this rollout plan may include but are not limited to:

- Identifying and directly corresponding with champions and key drivers who can move the principles closer to implementation
- Direct outreach to governments most likely to implement or incorporate the principles (e.g. Peru, Vietnam, etc.)
- Creating additional tools, guides, or translating documents as needed based on feedback from users. The medium for these products can be flexible to accommodate the needs of the target user (e.g., print, video, audio)
- Hosting webinar(s) for the global seafood community to present the product
- Leveraging other alliances (e.g., GDST and GTA) for partnerships and cross-promotion
- Gaining key stakeholder and committee member endorsement of the principles on SALT's website through the use of their logo and a commitment to the principles
- Sharing the principles via SALT & FishWise social media and newsletters
- Sharing the product with key stakeholders (such as the Coordination, Consultative, and Advisory Committees) for dissemination within their networks, including:
 - Soliciting support from SALT funders to encourage use of the principles by related projects that they fund
 - Encouraging SALT funders/Coordination Committee to feature this product as a key resource on their websites
 - Sharing the product with FishWise's industry partners
 - Promoting the product to the Conservation Alliance for Seafood Solutions
- Presenting the principles at key seafood events

In the future, activities could include:

- Peer-to-peer learning networks which could be comprised of virtual cohorts of small groups from similar regions or at similar stages of eCDT implementation
- Targeted workshops for implementation as needed
- Reconfiguring Consultative Committee membership to keep experts engaged in supporting projects or participating in learning exchanges.

In Year 4, SALT will also develop a robust yet flexible plan for: 1) tracking lessons learned from implementation; and 2) refining and updating the principles as needed. This way, there will be an established plan for the review process and iterative development of the principles.

Comprehensive eCDT Principles Uptake

As per SALT'S key results, by September 2022 at least two new or existing eCDT efforts will incorporate the principles into their design and/or implementation process. To work towards this, SALT has already secured the participation of seafood producing country government representatives (from Senegal, Chile, Ghana, Tanzania, and Indonesia) and eCDT implementers on the Consultative Committee so they can inform this work. Throughout the development process, SALT has kept its target audience (seafood producing country governments) in mind.

To achieve principles incorporation into two eCDT efforts, SALT will execute a regional and country strategy that will include direct government engagement, targeted consultations, technical assistance, tailored learning events, and leveraging the current small grants work. Each regional or country strategy will be implemented based on conversations with the target users and an assessment of their needs. For instance, SALT may host regional workshops with seafood producing country governments and fisheries management authorities to incorporate the principles into existing or burgeoning eCDT work, if needed. SALT will engage in-country champions (both industry stakeholders and NGOs) and connect individuals to experts within SALT's community to further collaboration and learning. More information on SALT's consultation plan for individual countries can be found in section 4.2 of this work plan. Additionally, SALT may identify and support at least one Committee member to test the principles within an eCDT effort in Year 4, and document the process and learnings.

New Global Products

SALT will also develop the following global products. As noted above, SALT will scope each activity and establish a clear timeline for accomplishing tasks linked to the activity and identifying the key audiences and stakeholders. Each product will have an objective, key audience(s), success measures, and a rollout plan for knowledge uptake with a clear timeline. SALT will approach any product using a human-centered design.

Resource Guide: Compare EU/US/Japan Regulation & Policy

A myriad of policies, legal frameworks, and programs have impacted the enabling environment for seafood traceability since SALT's inception in 2017. For example, SIMP, a U.S. government program started in 2018, requires importers of select seafood products to undertake additional

reporting and recordkeeping in order to prevent IUU-caught and/or misrepresented seafood from entering the U.S. market. This is equivalent to the EU's regulation to prevent, deter, and eliminate IUU fishing¹⁰. Further, within the last year the Maritime Security and Fisheries Enforcement Act was passed to counter IUU fishing with a specific call to expand knowledge and build the capacity of governments and industry to implement seafood transparency and traceability programs.

Globally, the FAO agreement—the Port State Measures Agreement (PSMA) ratified in 2016—has grown with two-thirds of countries signed on in the first year and a half alone. PSMA works to gain better control of water and ports while sharing more data to drive transparency and traceability in seafood supply chains. FAO also developed Guidance on Social Responsibility in Fisheries and Aquaculture Value Chains and pursued active stakeholder dialogue on the draft guidance in 2019.

In this rapidly changing policy environment, SALT recognizes the need to monitor and synthesize major policy changes around the world and to distill these policy changes in a timely and simple way. As a result, in Year 4, SALT will create a Comprehensive Import Regulation Guide to Major Market States to provide seafood producing country governments with an analysis of current import regulations for the three major market states: U.S., EU, and Japan. This guide will highlight all legal requirements (traceability and social responsibility) for markets exporting products and act as a resource for governments working to enact their own CDS or eCDT systems. Also included in the guide will be relevant comprehensive analyses such as KDEs or Critical Tracking Events required and/or species targeted by the import regulations. During the research and analysis phase of applying the Comprehensive eCDT Principles, this guide will serve as a basis in SALT's effort to identify supporting regulatory frameworks. In addition, SALT will post relevant import regulations to the Seascope Map with a short summary of the regulation and links to their respective government websites.

Blog: Traceability Across Sector & Commodities: Lessons Learned

SALT realizes that seafood is not the only commodity produced via global, complex supply chains that is required to be traced due to regulatory requirements or based on Corporate Social Responsibility policies. Commodities such as palm oil, minerals, and apparel also face ecological and social responsibility challenges when supply chains lack transparency. SALT will aim to synthesize lessons learned from other sectors that have adopted traceability practices to further inform SALT's industry audience of potential opportunities and barriers to continued eCDT implementation. While compiling case studies, special consideration will be given to

¹⁰ European Commission, [IUU Regulation](#) (2010)

those sectors that have integrated social responsibility into their traceability schemes. The findings will be presented to the global SALT audience as a SALT feature in the Story Hub with links to more resources.

Infographic: Tuna Supply Chain Infographic

SALT will design an interactive tuna supply chain infographic to be placed on the SALT website as a visual resource for viewers to follow a convoluted global supply chain from harvest to import. SALT focused on tuna because FishWise has internal expertise in this area, it is a hot button issue, it is demonstrative of risks to humans, and it is a fishery that electronic traceability could benefit. The purpose of the supply chain infographic is threefold: 1) to demonstrate the complexity of data transfer along the supply chain—where it can be lost; 2) to highlight areas of risk for illegal and unethical practices when activities are unmonitored; and 3) to be solutions-oriented and share traceability resources such as the new GDST data standards that improve supply chain transparency and mitigate risks. In collaboration with FishWise’s social responsibility team, the aim is to later bring in a second pathway to this graphic: one product-oriented, and one human-oriented so a viewer could also follow the supply chain of people and learn more about human and labor rights in the tuna industry.

Additionally, SALT will bring in more website support to build a page of information to highlight other resources that don’t fit within the graphic but are equally important (e.g., those that promote gender equity in seafood supply chains). This project will help to highlight specific traceability initiatives housed within the Seascope to illustrate the value of eCDT systems in practice. SALT will investigate additional opportunities to graphically represent the complexity of other seafood supply chains to support an understanding of the economic, ecological, and social elements of seafood production.

Evaluation Framework: Tracking & Evaluating the Benefits of eCDT Systems

Understanding the benefits of comprehensive eCDT is important to increasing its adoption. Therefore, in Year 3 SALT awarded a small grant to explore the benefits of comprehensive eCDT from a financial, ecological, and social value perspective. In Year 3 Future of Fish was awarded a small grant to create a ROI Methodology and Tool. At the close of Year 3, the research conducted by Future of Fish established that eCDT systems are too nascent to collect demonstrated ROI and create an ROI Methodology and Tool. Instead the research demonstrated the need to take a step back and establish the type of data required to evaluate the soft and hard benefits of comprehensive eCDT systems, to identify where and how that data can be most efficiently collected from and by whom, and how to assess that data.

Therefore, the ROI Methodology and Tool was reframed to an Evaluation Framework for the Benefits of eCDT Systems.

In Year 4, SALT small grant recipient—Future of Fish in collaboration with Helen Packer, World Benchmarking Alliance—will build on their experiences advancing electronic data systems in seafood supply chains to create an Evaluation Framework for the Benefits of Comprehensive eCDT Systems for first-movers within eCDT systems. Seafood producing country governments will be the audience for the Evaluation Framework.

The purpose of the Evaluation Framework is to provide Comprehensive eCDT practitioners with metrics and tools to evaluate the social, ecological, and economic benefits of their unique, wild capture fisheries, eCDT systems. The Evaluation Framework will consist of three sections: Economic Benefits, Social Benefits, and Ecological Benefits. Each section will be organized with the purpose and section objectives, and provide a list of metrics that measure the soft and hard benefits for the relevant section. The section will also include the method(s) and generic tools such as questionnaires, interview guides, focus group guides, etc. that may be adapted by practitioners to collect data with which to better determine the potential social, ecological, or economic benefits derived from their eCDT system. Each section will establish a method for evaluating if the selected metrics demonstrate that the system has met the goal of the eCDT practitioners.

In Year 4, Future of Fish will go through two phases, conducting research and iterative design to develop the Evaluation Framework. During the research phase Future of Fish will conduct interviews and research two to three case studies outside the seafood sector identifying the benefits of the traceability systems, especially in government applications, to develop the Evaluation Framework.

Once the Evaluation Framework is created, Future of Fish will conduct three phases of iterative design. First the Evaluation Framework will be shared with a select set of eCDT experts to solicit feedback. Future of Fish will incorporate this initial round of feedback into the Evaluation Framework. Next, an internal learning event will be held for SALT and FishWise staff providing feedback for the next prototype revision and update. Upon incorporating feedback from the first two iterative design phases into the Evaluation Framework, a broader learning event for the SALT community shall be conducted. Based on feedback from the external learning event, a final Evaluation Framework will be created. As opportunities arise, SALT will ground-truth and/or provide technical assistance to stakeholders to apply the Evaluation Framework: Tracking & Evaluating the Benefits of eCDT Systems. SALT may conduct a small campaign to incentivize uptake and use of the Evaluation Framework in Year 4.

In Year 4, Future of Fish will complete the following deliverables with technical support from SALT:

- Author bimonthly updates for the SALT community on Future of Fish's progress, including key takeaways, failures, and accomplishments.
- Submit Prototype 1: Evaluation Framework: Tracking & Evaluating the Benefits of eCDT Systems.
- Submit Prototype 2: Evaluation Framework: Tracking & Evaluating the Benefits of eCDT Systems.
- Attend a convening, in-person or virtually, to present the Evaluation Framework to garner feedback. This is tentatively scheduled for March of 2021 pending public health guidance at that time.
- Author one thought piece for an external, high-visibility publication, that combines learnings and insights from SALT and Future of Fish's program.
- Submit a customized Evaluation Framework: Tracking & Evaluating the Benefits of eCDT Systems to guide seafood producing country governments through the process of defining, collecting, calculating, and communicating economic, social, and ecological benefits of eCDT implementation for fisheries supply chains.

New Regional or Country-based Products

Story Map: Philippines eCDT system

In Year 3, SALT attended the close-out event for the USAID Oceans and Fisheries Partnership's (USAID Oceans) learning site in the Philippines to capture knowledge and lessons learned from this pilot. SALT has worked to distill and synthesize key takeaways from the interviews conducted while on site. Early in Year 4, SALT intends to publish a case study that would be useful for eCDT implementers to learn from the challenges and triumphs that occurred in the Philippines. In close coordination with the Communication work stream, the product will be compelling and innovative in nature.

Blogs: Tracking eCDT Efforts in Philippines

Across the seafood sector, there are countless ongoing traceability pilots. But what happens to a traceability system after the pilot phase ends? How does successful scaling to other areas or fisheries occur? Case studies and recommendations on tested approaches to scaling traceability systems are largely absent. Since USAID Oceans has closed and the project in the Philippines has lost continuous financial support, SALT can perform an informal bi-annual check on the project status in rolling out the Philippines eCDT system nationally, as well as to other fisheries

or other ports. In addition, following up with the organizations providing support to the project (i.e. FishRight, Futuristic Aviation and Maritime Enterprises, Inc.) can expand SALT's knowledge of how long it takes to scale up a project, and whether an eCDT project can be sustained after that initial influx of money and support lessens. SALT will work with partners in the region to closely monitor the progress and direction the country's eCDT system is headed, helping SALT identify any future opportunities for storytelling.

Review Article: U.S. Retail Traceability Trends

FishWise has maintained several partnerships with industry players, specifically large retail companies, to assist corporate responsibility goals in regards to seafood traceability and counter-IUU fishing efforts. Through these partnerships, FishWise works with companies to create sustainability plans, increase engagement with their vendors and suppliers, and verify traceability data. This process has uncovered obstacles and opportunities for collecting traceability KDEs, and presents lessons that can inform SALT's broader industry audience. SALT will work with FishWise to synthesize trends over the past years as these companies continue to work towards full chain, electronic traceability to mitigate risk of illegal and unethical activities within their supply chains. SALT will utilize traceability datasets to note trends in traceability practices and KDE uptake in the field. FishWise also collects information from companies regarding social responsibility due diligence practices, and there is the opportunity to potentially incorporate an analysis summarizing how suppliers have responded to the social responsibility questionnaires, which include questions about verification, human rights policies, supplier engagement, and recruitment. A review article will be produced that outlines key findings that can be adapted for more direct industry engagement (e.g. brief white paper, presentation, article).

Field Report: Tracking COVID-19 Implications for Traceability

As noted above, the COVID-19 pandemic has adversely impacted the seafood industry, making this a critical moment to leverage opportunities to build transparent, data-driven seafood supply chains while mitigating negative unintended consequences. Therefore, SALT will continue to work with a Traceability Expert in Year 4 to conduct research in South and Southeast Asia on the impacts of COVID-19 on traceability. COVID-19 induced changes to the seafood market, drivers of eCDT technology uptake, and major challenges to these swift and momentous changes will be documented through up to three written thought pieces and notable findings will be shared through webinars and meetings with the global SALT community.

5.2.2. Knowledge Dissemination and Sharing

Knowledge dissemination and sharing is the process of transferring knowledge from one person to another person or group in an organization. This can be a formal or informal exchange or dissemination of knowledge among individuals or groups.¹¹ This includes activities relating to the exchange of meaningful information, along with interpretations and potential applications of the information. One way is through knowledge networks, which is a function of SALT, to link actors, organizations, and technologies revealing new discoveries and transferring knowhow on the development of new techniques, processes, and breakthroughs in key subjects. Knowledge networks include research collaborations, coinventorships, co-authorships, and strategic alliances. For all of this work, the sharing and exchange of information through participants should involve specific focus on the actors involved. For SALT, dissemination and sharing is explained in section 6. Communication Management.

5.2.3. Knowledge Application

As noted above, a key part of SALT's Year 4 strategy is applying the knowledge that has been created. Application is when available knowledge is used to make decisions and perform tasks through direction and routines¹². Direction refers to the process through which the individual possessing the knowledge directs the action of another individual without transferring to that individual the knowledge underlying the direction (e.g., calling an expert to solve a problem based on the instructions given by the expert). Routines involve the utilization of knowledge embedded in procedures, rules, norms, and processes that guide future behavior (e.g., design of policy, etc.). The following activities will advance knowledge application. See also the uptake of the Comprehensive eCDT Principles described previously.

Global Learning Event Participation & Capture

SALT will support collaboration and learning events online and in-person (when it is allowed). SALT will strive to host at least two events in Year 4, depending on the target audience for the event. SALT will consider other ways to connect people around the application of knowledge. SALT will support seafood producing country participation in SALT learning events and other events when possible to build their understanding of specific eCDT issues. This could also be part of the country engagement strategy.

¹¹ IGI Global, [What is Knowledge Sharing](#)

¹² M.E. Sharpe, [Knowledge Management: Systems and Processes](#) (2010)

In Year 3, SALT held a "Fail Fest" Learning Event—Traceability Traps and Triumphs which was received well with nearly 300 registrants. For Year 4, SALT has proposed similar panels for the North American and European Seafood Shows. SALT will also design and facilitate a panel for the Seafood and Fisheries Emerging Technology featuring the Comprehensive eCDT Principles. SALT has continually heard from key stakeholders that more transparency and learning is needed around the challenges that eCDT implementers and users have faced. These events will be used to understand gaps and barriers to entry around traceability and eCDT, and share success stories. If more people are willing to participate, SALT will continue these in Year 4.

Regional or Country-based Technical Assistance

As noted above in the Regional-or Country-based strategy, SALT will offer to support learning events for seafood producing countries as requested and needed. The Comprehensive eCDT Principles uptake also includes a strategy for learning events.

6. Communication Management

Communication is essential to SALT's mission. In addition to inciting participation in events, this work aims to build SALT's network through online communication and share relevant information through the SALT website. A cornerstone of SALT is the online resource and learning hub that displays global knowledge and expertise from other projects. Ultimately, SALT wants website visitors to garner a better understanding of what SALT does.

Additionally, communication is integral to the knowledge management cycle; it supports knowledge generation, dissemination, and the action that occurs as a result. To learn from those beyond the SALT community, more effort will be placed on cross-pollinating with other FishWise divisions, helping to leverage expertise, and seed and grow SALT's knowledge base.

6.1. 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 around the world, increase awareness of and engagement with SALT, and drive traffic to SALT website. SALT will continue to test new strategies to increase more follower interactions and will share content five days per week on Twitter and LinkedIn, aiming to post at least once per month on Instagram.

SALT's presence on LinkedIn also includes increasing membership and participation in the SALT Community group, designed to encourage discussions and resource sharing between SALT participants. This group helps to maintain and build new connections in the SALT community around events and webinars.

6.2. Newsletter Content

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

- Monthly 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.
- 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.

Both newsletters are designed to disseminate important information to SALT's audiences, provide opportunities to connect more directly with SALT, and build connections within the SALT community.

For all SALT projects that need to be externally communicated, a communication template¹³ 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).

A previous communication plan and strategy created prior to the website will be reworked to continue expanding ways to communicate SALT's efforts and better understanding how to reach key audiences. This communication plan will be rooted in the results of SALT's Year 3 Pause and Reflect process, including clear communication of SALT's refined project goals and focusing on the audiences that are most important for SALT to connect with to achieve project goals. Advisory Committee members communicated a need for more shareable and palatable pieces about SALT, so a focus will also be around those ideas and exploring strategies that might leverage FishWise's significant social media audience.

¹³ SALT, [Communications Template](#) (2020)

6.3. Multimedia Projects

SALT will continue to work with a graphic designer to build multimedia projects to attract audiences, aid in comprehension of complex concepts, and enhance not only specific stories or content, but also the SALT website overall. Such projects in Year 4 may include:

- Videos that lay out the Comprehensive eCDT Principles in detail, or the Overcoming Barriers series
- Audio interviews (podcasts) that more effectively connect the dots between seafood traceability and the workers involved
- Short videos designed for more general social media audiences, explaining key themes such as comprehensive traceability
- An interactive tuna supply chain graphic, which also involves input and expertise from the tuna, social responsibility, and traceability teams at FishWise
- Page-specific or overall visual update for the website to highlight important elements
- Additional graphics as needed for promotion of special events and recognition of international holidays

SALT will continue to scope multimedia products throughout Year 4 as needed to support communication products that arise.

6.4. Website Management

Running the SALT website is important but also time consuming. Website management includes daily/weekly updates to SALT website pages, compiling the media library, logging and fixing WordPress bugs, creating and managing content, as well as integrating suggestions from partners. 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 is needed to create or collate. For instance, if multiple searches of keywords 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 a future website update.

6.4.1. Maintenance and Expansion of SALT Library of eCDT Resources and Tools

In Year 4, and likely beyond, SALT will continue to curate its library of eCDT resources. Key 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 key 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 4, SALT will continue to inventory and aggregate key 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.
- SALT Seascape - 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 will continue to expand the collection of global efforts to foster connections and collaborations by adding new organizations and initiatives the SALT team discovers through research or at events, and by soliciting the community for new efforts and vetting suggestions. SALT will organize a campaign to update information on organizations and initiatives already in the Seascape by engaging with SALT contributors. 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 2 times/month in Year 4 to encourage knowledge sharing. It may include other formats such as video and audio.
- SALT Calendar - Included on the SALT website is a curation of global events featuring conversations around electronic traceability in seafood supply chains and counter-illegal fishing activities. In Year 4, SALT will maintain up-to-date information about conferences and meetings. This will be of critical importance as the world continues to navigate

COVID-19 safety protocols for in-person convenings. The SALT calendar will allow for continued, virtual stakeholder engagement during Year 4 of the project.

6.4.2. Website Customization

SALT will develop a survey to collect feedback from visitors (other than Google Analytics) to the website. Invariably, visitors will have fresh ideas, and SALT wants to be receptive to users' needs and integrate feedback that is feasible once the website has been online for a year. It will not be a complete overhaul, but as SALT focuses work in specific regions and develops projects for certain audiences, it can package that information for a more effective learning experience. This could be as simple as creating custom URLs for resources in Dive Deeper that benefit a particular audience. For instance, if a Central American government official has reached out to SALT to learn about other similar traceability systems, specific pathways can be created for that user.

Because more products will be developed in Year 4, such as the Comprehensive eCDT Principles that may require website space, an external contractor may be hired for visioning and designing updated aspects to the website interface. The aim is to draw people to SALT products and function as a learning hub, which is the website's mission. Feedback measures may need to be considered in places to know whether the information is effective or being used.

Seascope 2.0: Improving the Seascope for Connection Building

SALT staff will survey website visitors and Seascope users in order to identify ways to improve the Seascope's power as a resource for connecting efforts. The results of the survey will inform how the Seascope is revamped in Year 4, supporting better application of the knowledge captured. New Seascope features could include additional filters or grouping efforts differently on the website that will better allow for connections between organizations working in similar areas who may not be connected already.

6.5. Regional and/or External Project Support

SALT's multiple projects and networking approaches will invariably involve external communication support. Although mentioned above, some of those include virtual learning events, KDE analysis, and developing industry connections. Strategies will also be developed for broadcasting products that come from external contracts (e.g., the Evaluation Framework: Tracking & Evaluating the Benefits of eCDT Systems). That communication support extends to cross-promotional work from SALT partnerships and MOUs, such as with GDST.

7. Management & Operations

In light of the novel coronavirus disease 2019 (COVID-19) pandemic, SALT planned many of the activities for Year 4 with remote work in mind. However, 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 4.

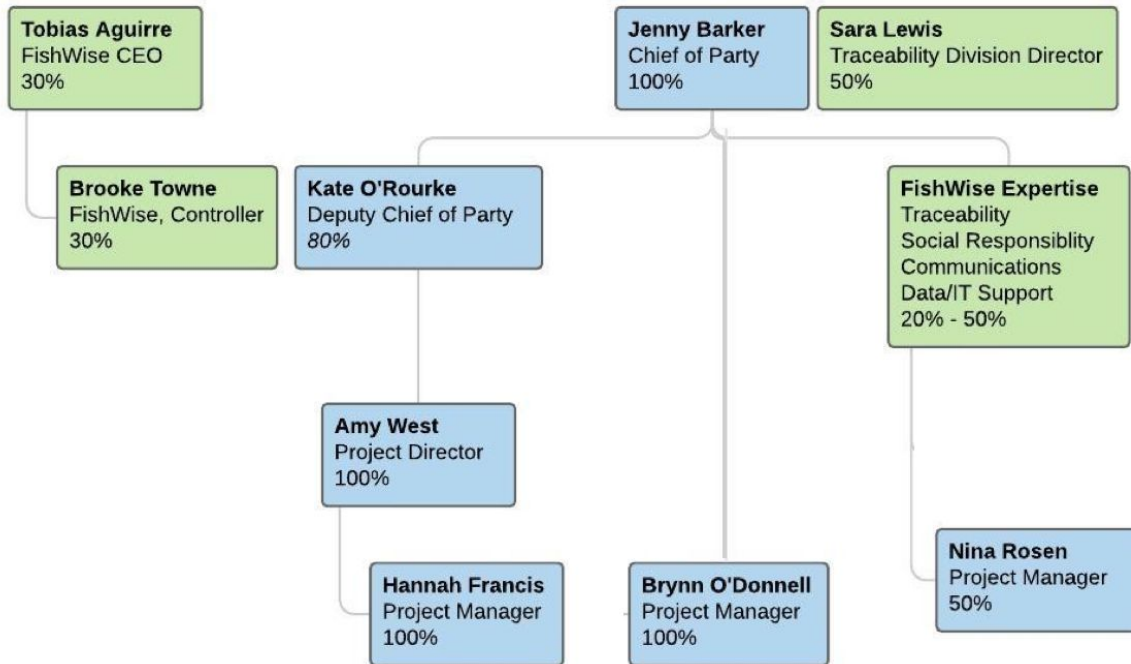
Management of staff and resources is an important part of implementing a USAID cooperative agreement. In order to be effective in technical implementation and operational compliance, staff management must be a priority. SALT will operate as a cohesive unit to implement the program. While staff is in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

7.1. 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 4, 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 three part-time staff. The SALT team will also receive support from the FishWise Controller and garner expertise from other FishWise Divisions (see Figure 6: SALT Organizational Chart).

In order to maximize performance for Year 4, SALT will initially be staffed as follows:

Figure 6: SALT Organizational Chart (September 2020)



FishWise has also developed a separate, more thorough Staffing Plan with job descriptions to ensure roles and responsibilities are clear.

In years 1 - 3, SALT staff leads were assigned to work streams. In Year 4, due to the cross-cutting nature of the SALT work streams, staff have been assigned leads of activities. Table 6 provides the lead for each Year 4 activity.

7.2. Governance

7.2.1. 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 groups that are traditionally underrepresented in high-level international multi-stakeholder initiatives.

7.2.2. Advisory Committee

SALT transitioned the Co-design Advisory Committee to an Advisory Committee for all of SALT. SALT added two organizations to the Advisory Committee in Year 3 and will continue to pursue more partnerships in Year 4. 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 meaningfully engage.

7.3. Knowledge Management & Internal Communications

In order 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 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.

7.4. Operations and Activity Leads & High-Level Timeline

With a full SALT team for Year 4, 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 work stream, understanding that these estimations may be adapted due to changes in priority or new information. In addition, the primary audience for each activity is listed, seafood producing country (PC), industry (I), or all (A).

Table 6: Gantt of Strategic Approaches, Activities, Audience, & Activity Leads for Year 4

**PC = Seafood producing country, I = Industry, A = All*

Strategic Approach & Key Activities		Primary Audience *	Timeline											
			Oct 20	Nov 20	Dec 20	Jan 21	Feb 21	Mar 21	Apr 21	May 21	Jun 21	July 21	Aug 21	Sept 21
5.1 Network Building for Traceability Collaboration & Learning														
Activity Lead	5.1.1. Collaboration Through Regional or Country-based Technical Assistance													
Kate O'Rourke	Country-based Grants to Support eCDT - Vietnam	PC	X	X	X	X	X	X	X	X	X	X	X	
Kate O'Rourke	Country-based Grants to Support eCDT - Indonesia	PC	X	X	X	X	X	X	X					

Strategic Approach & Key Activities		Primary Audience *	Timeline											
			Oct 20	Nov 20	Dec 20	Jan 21	Feb 21	Mar 21	Apr 21	May 21	Jun 21	July 21	Aug 21	Sept 21
Kate O'Rourke & Hannah Francis	Small Grantee Program Global Learning	A	X	X	X	X	X	X	X	X	X	X	X	
5.1.2. Direct seafood producing country consultation for eCDT														
Jenny Barker	Seafood Producing Country Strategy	PC	X	X	X	X	X							
Jenny Barker	Knowledge Products - New & Existing	PC	X	X	X	X	X	X	X	X	X	X	X	X
Jenny Barker	Connecting with Experts	PC	X	X	X	X	X	X	X	X	X	X	X	X
Jenny Barker	Key Industry Connections	PC	X	X	X	X	X	X	X	X	X	X	X	X
Jenny Barker	Coordination with NGOs	PC	X	X	X	X	X	X	X	X	X	X	X	X
Jenny Barker	Learning Events	PC	X	X	X	X	X	X	X	X	X	X	X	X
5.1.3. LAC Plan														
Jenny Barker	LAC Plan Development	PC	X	X	X	X	X							
Sarah Caldwell	LAC Country Activity Scoping	PC				X	X	X	X	X	X	X	X	X
5.1.4. Growing Networks and Forging Partnerships														
Jenny Barker	Advisory & Coordination Committee	A		X				X			X			X
Jenny Barker	Event or Forum Participation	A	X	X	X	X	X	X	X	X	X	X	X	X
Jenny Barker	Memorandums of Understanding	I		X	X	X	X							
Brynn O'Donnell	GDST MOU	I	X	X	X	X	X	X	X	X	X	X	X	X
5.2. Knowledge for Comprehensive eCDT Action														
5.2.1. Knowledge Generation/Capture														
Sara Lewis	Global Principles: Comprehensive eCDT Principles	PC	X	X	X	X	X	X	X	X	X	X	X	X
Sara Lewis	Comprehensive eCDT Principles Process Finalization	PC	X	X	X	X	X							

Strategic Approach & Key Activities		Primary Audience *	Timeline											
			Oct 20	Nov 20	Dec 20	Jan 21	Feb 21	Mar 21	Apr 21	May 21	Jun 21	July 21	Aug 21	Sept 21
Jen Cole & Social Responsibility Consultant(s)	Social Integration, Worker Data, and Key Data Element (KDE) Analysis	PC	X	X	X	X	X	X	X	X	X	X	X	X
Hannah Francis & Brynn O'Donnell	Comprehensive eCDT Principles Rollout	PC	X	X	X	X	X	X	X	X	X		X	
SALT Team	Comprehensive eCDT Principles Uptake	PC						X	X	X	X	X	X	X
SALT Team	New Global Products	A	X	X	X	X	X	X	X	X	X	X	X	X
Lindsay Jennings	Resource Guide: Compare EU/US/Japan Regulation & Policy	A	X	X	X	X	X	X	X	X	X	X	X	X
Nina Rosen	Blog: Traceability Across Sector & Commodities: Lessons Learned	I			X	X	X							
Amy West	Infographic: Tuna Supply Chain Infographic	A	X											
Kate O'Rourke	Evaluation Framework: Tracking & Evaluating the Benefits of eCDT Systems	PC	X	X	X	X	X	X	X	X	X	X	X	X
SALT Team	New Regional or Country-based Products	A	X	X	X	X	X	X	X	X	X	X		
Brynn O'Donnell	Story Map: Philippines eCDT system	PC	X	X	X	X								
Brynn O'Donnell	Blogs: Tracking eCDT Efforts in Philippines	PC						X	X	X	X	X		
Nina Rosen	Review Article: U.S. Retail Traceability Trends	I			X	X	X	X	X					
Kate O'Rourke	Field Report: Tracking COVID-19 Implications for Traceability	A	X	X	X	X								
		5.2.2. Knowledge Dissemination & Sharing (See Communication Management Below)												
		5.2.3. Knowledge Application												
Jenny Barker	Global Learning Event Participation & Capture	A	X	X	X	X	X	X	X	X	X	X	X	X
Jenny Barker	Regional or Country-based Technical Assistance	PC	X	X	X	X	X	X	X	X	X	X	X	X

Strategic Approach & Key Activities		Primary Audience *	Timeline											
			Oct 20	Nov 20	Dec 20	Jan 21	Feb 21	Mar 21	Apr 21	May 21	Jun 21	July 21	Aug 21	Sept 21
6. Communication Management														
Hannah Francis	6.1. Social Media	A	X	X	X	X	X	X	X	X	X	X	X	X
Hannah Francis	6.2. Newsletter Content	A	X	X	X	X	X	X	X	X	X	X	X	X
Amy West	6.3. Multimedia Products	A	X	X	X	X	X	X	X	X	X	X	X	X
Amy West	6.4. Website Management	A	X	X	X	X	X	X	X	X	X	X	X	X
Nina Rosen	6.4.1. Maintenance and Expansion of SALT Library of eCDT Resources and Tools	A	X	X	X	X	X	X	X	X	X	X	X	X
Amy West	6.4.2. Website Customization	A	X	X	X	X	X	X	X	X	X	X	X	X
Amy West	Seascope 2.0: Improving the Seascope for Connection Building	A	X	X	X	X	X	X	X	X	X	X	X	X
Amy West & Hannah Francis	6.5. Regional and/or External Project Support	A	X	X	X	X	X	X	X	X	X	X	X	X
7. Management & Operations														
Kate O'Rourke	7.1. Staffing	-	X	X	X	X	X	X	X	X	X	X	X	X
Jenny Barker	7.2. Governance	-	X	X	X	X	X	X	X	X	X	X	X	X
Kate O'Rourke & Hannah Francis	7.3. Knowledge Management & Internal Communications	-	X	X	X	X	X	X	X	X	X	X	X	X
Kate O'Rourke	7.4. Operations and Activity Leads & High-Level Timeline	-	X	X	X	X	X	X	X	X	X	X	X	X
Jenny Barker	9. Sustainability Plan	-		X	X	X	X							
8. Monitoring, Evaluation & Learning														

Strategic Approach & Key Activities		Primary Audience *	Timeline											
			Oct 20	Nov 20	Dec 20	Jan 21	Feb 21	Mar 21	Apr 21	May 21	Jun 21	July 21	Aug 21	Sept 21
Brynn O'Donnell	MEL	-	X	X	X	X	X	X	X	X	X	X	X	X

8. Monitoring, Evaluation & 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 work streams and activities primarily via two methods: CRM software and a Connections and Uptake Log regularly updated by staff. Using the CRM software, SALT will monitor relationships, networks, collaboration, and level of engagement among the SALT community. The Connections and Uptake Log will allow staff to track notable touchpoints and connections from meetings, personal conversations, and social media activities. The Connections and Uptake Log will also allow SALT staff to track the sharing, application, and uptake of SALT resources. Where possible, the Connections and Uptake Log 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., helping to determine who SALT invites to take part in events or committees).

Indicators will also be monitored by SALT staff 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 work stream 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 adaptively.

During the evaluation and learning component of SALT's Year 3 activities, SALT held an intentional moment of reflection via the Pause and Reflect workshop noted above. Based on findings and conversations during the series of online workshops, SALT updated its results chain (Figure 1), reset the end of project targets that were met in the first three years, and

modified key results and indicators to best serve the needs of the project into Years 4-5. SALT will provide a detailed annex of these changes via a modified Year 2-5 MEL Plan in early fiscal year 2021 in a separate document with a more in-depth explanation.

9. Sustainability Plan

During Year 4, SALT will host a convening of the Coordination Committee to discuss the long-term needs related to SALT. In addition, SALT will consult the Advisory Committee to understand the needs beyond Year 5.

SALT will develop a long-term sustainability plan based on the status of the project. The project aligns closely with U.S. Government priorities of building the self-reliance and resilience of developing countries. The expectation is that this self-reliance will lead to continued work in this space by empowering stakeholders with information and connections. While consultations for Year 6 continue, SALT will develop scenarios around the lifecycle of SALT and options for transition of pieces or the whole effort to another donor partner or implementation partner. SALT will submit this by February 2021.

9.1. 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. A reduction in these threats will improve 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 analysis of 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. In addition, FishWise will make biodiversity a continuous theme at learning events and in SALT materials.

9.2. 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 it was again concluded that the program falls under a Categorical Exclusion. The updated IEE was signed on August 10, 2020.