

Technical Framework Overview

Sept 2020

Addressing social accountability in commercial fisheries and aquaculture operations is relatively new. Currently there are over 40 initiatives globally including many developing their own technical criteria. The base framework for all is ILO 188, the Work in Fishing Convention although this misses aspects such as worker voice, management systems and control of suppliers.

On-board Social Accountability (OSA) International has been developed to empower the seafood sector itself to be able to improve the treatment of personnel on-board fishing vessels and in aquaculture operations as their places of work.

The On-board Social Accountability International Technical Framework has two major components that seamlessly feed into one another, starting with Risk Assessment, and then diving deeper with the Benchmark Assessment and which can then help to reduce risk.

The Risk Assessment is designed to apply major international risk indices to understand the Country, Fishery and Company context. It can be used by retail, fishery association, NGO and government clients to understand the risk profile of a given product or species.

The Benchmark Tool is an in-depth assessment of company and vessel operations. The technical framework is drawn from all major social accountability systems globally whether international law, standards, guidance, or recommendations etc.

Both are living frameworks, updated as improvements are made to strengthen social accountability.

For more information our Technical Experts are:

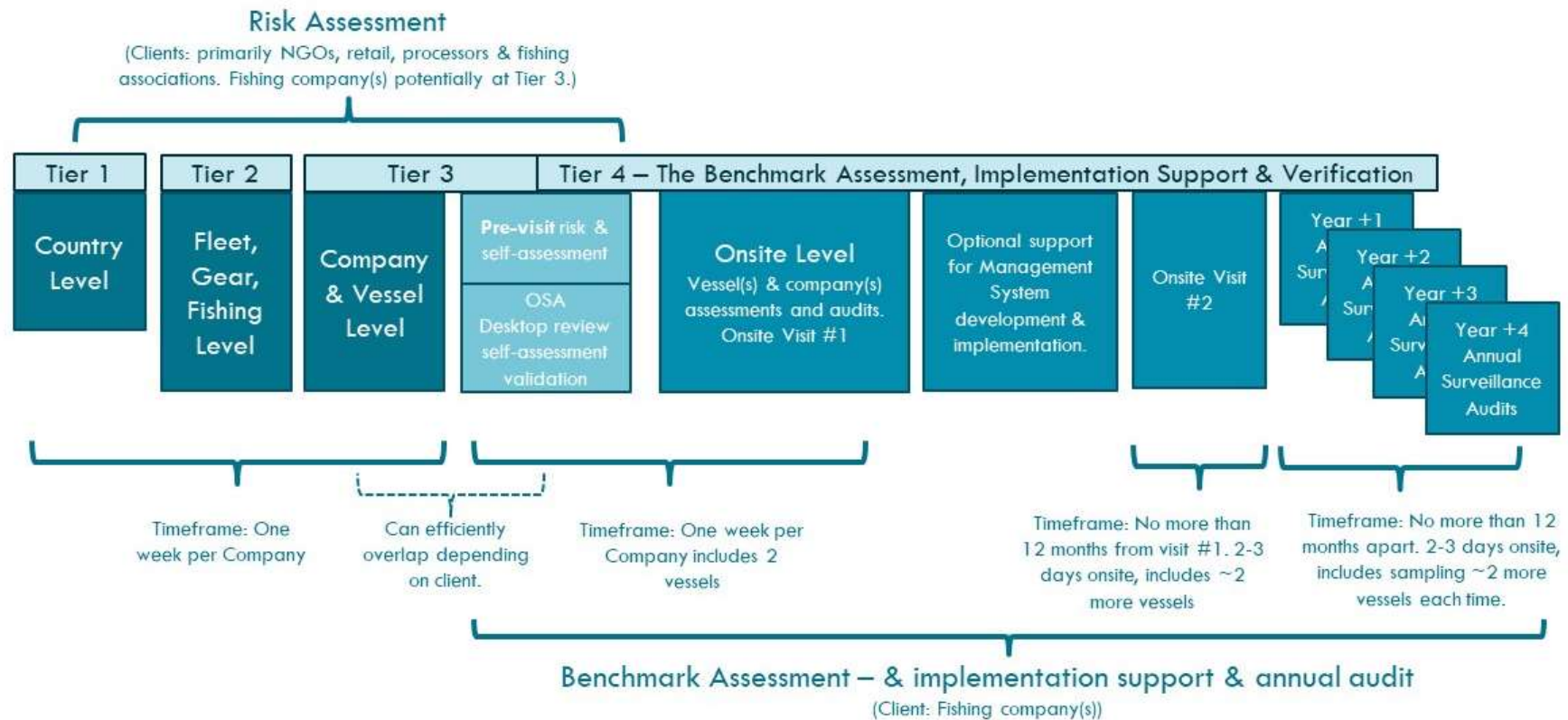
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THE OSA PROGRAMME



Benchmark Tool (Company and Vessel Assessment)

The On-Board Social Accountability Benchmark Tool (Company and Vessel Assessment) Framework is a unique independent on-board and company-wide social assessment that factors all major Conventions, Standards and Criteria, including from NGOs. It is in two parts:

1. **Vessel Operations** (18 Sub-Indicators, 110 Criteria)
(ILO188, 138, 182, MSC, SA8000, Certification Ratings Collaboration, AENOR etc.)
2. **Company Management** (3 Sub-Indicators, 25 Criteria)
(MSC, BSCI, Clear voice, RFS, Naturland, Clearview, SSRT and ILOC188 etc.)

Major Indicators

The indicators cover the following major areas:

- | | |
|--|---|
| 1. Business is conducted lawfully and with integrity. | 10. Medical Examination and Medical Facilities On-Board |
| 2. Management System | 11. Crew List |
| 3. Child Labour | 12. Repatriation |
| 4. Forced Labour – Human Trafficking | 13. Crew Living Conditions On-Board |
| 5. Operations, Operational Safety and Health and Accident Prevention | 14. Working Hours |
| 6. Worker Voice | 15. Working Conditions On-Board |
| 7. Discrimination | 16. Verification Process |
| 8. Remuneration of Fishers | 17. Sub-Contractor Control |
| 9. Work Agreement and Social Protection | 18. Training |

OSA's Indicators and Criteria are drawn from the leading global International Conventions, Standards, Codes of Conduct, Guidelines and best-practice advice. Listed on page 4, their use in the OSA Benchmark Tool is kept 'live' and updated as new criteria, standards etc are developed.

Risk Assessment Methodology

- 20 criteria in each Tier that are based on 40 global risk indices and other information sources.
- Addresses retail & consumer expectations and builds upon supply chain relationships.
- Clients can tailor the risk assessment process they wish to undertake.
- Each Tier:
 - Can be conducted in isolation or combined in a process.
 - Represents a cascading reduction in overall risk to the client.
 - Each tier and overall program underpinned by robust Assurance program.
- Risk Assessment output is metric based.
- Provides a risk rating outcome to guide further investigation.

Benchmark Tool Inputs

Inter-governmental

International Labour Organisation

1. ILO188 - [Crew Working Conditions](#) – this is the **OSA base guidance for aligning with the other standards mentioned herein** (international / inter-government)
8. [UN Convention on the Law of the Sea](#)
10. [UN FAO Code of Conduct for Responsible Fisheries](#)

And International Labour Organisation:

2. [Declaration on fundamental principles and rights at work](#)
3. [Discrimination](#)
4. [Work and Family](#)
5. [Forced Labour](#) and [Modern Slavery](#)
6. [Child Labour](#)
7. [Guidance on flag state inspection of working and living conditions onboard fishing vessels](#)
9. [Maritime Labor Convention MLC2006](#)
11. Forum Fisheries Agency Forum Fisheries Committee (FFA FFC) Meeting 106 Resolution on [Crew Employment Conditions](#)

Non-Government Organisation

12. [Environmental Justice Foundation \(EJF\) Transparency Principles](#)
14. [MSC Fishery Standard v2.1 – Forced and Child labor policies, practices & measures](#)
16. [Seafood Slavery Risk Tool \(Seafood Watch\)](#)
18. [Human Rights at Sea - Geneva Declaration on Human rights at Sea, 2019](#)
20. [Certification Ratings Alliance \(Monterey Framework\)](#)
13. [Ethical Trading Initiative Base Code](#)
15. [SA8000](#) (which is applicable for at sea operations) – market driver
17. [Australian Seafarers' Welfare Council](#) (Union)
19. [Business Social Compliance Initiative \(BSCI\) Code of Conduct](#)
21. [Social Responsibility Assessment Tool for the Seafood Sector \(Conservation International\)](#)

Seafood Sector (including collaboration with NGOs)

22. [AENOR 195006 Responsible Tuna Fishing Conformity \(UNE, Spain\)](#)
24. [Responsible Fishing Scheme Standard \(RFS\) v1.0](#)
23. [Seafood Task Force Code of Conduct](#)
25. [Tuna Traceability Declaration 2020](#)

Other

Worker Voice. No established definition yet. Worker voice provisions are critical with grievance procedures in any company. OSA has created criteria for this based on onboard auditing and the fishing company facilities given to crew and which are beyond expected requirements e.g. WIFI onboard to enable direct communication with relatives, access to the ship's radio and satellite phone and direct communication channels with Captain and First Mate for complaints.

Ethical Sourcing Policy – there is no fixed norm yet. Components OSA considers include:

- | | |
|--|---|
| <ol style="list-style-type: none"> 1. Bribery and Corruption 2. Labour Rights 3. Freedom of association and the right to collective bargaining are respected 4. Working Conditions, Health & Safety 5. Child Labour | <ol style="list-style-type: none"> 6. Living Wages 7. Working Hours 8. Discrimination 9. Regular Employment 10. Harsh or Inhumane Treatment 11. Entitlement to Work and Immigration 12. Sub-Contracting and Home Working 13. Environmental Compliance |
|--|---|

Risk Assessment Indices

The OSA Risk Assessment Framework for Countries (Tier 1), Fleet, Gear and Fishing operations (Tier 2), Company and Vessel (Tier 3) draws on the following globally recognised risk indices and information sources.

1. [United Nations \(UN\) Statistics Division, 2019, UN Comtrade Database.](#)
2. [International Trade Union Conference \(ITUC\), 2019, Survey of Violation of Trade Union Rights.](#)
3. [US Department of State \(USDOS\), 2019 Trafficking in Persons Report.](#)
4. [USDOS, 2019, 2018 Human Rights Report.](#)
5. [International Transport Worker's Federation \(ITF\), 2019, Flag of Convenience FOC countries.](#)
6. [European Commission, December 2019, Questions and Answers – Illegal, Unreported and Unregulated \(IUU\) fishing and issues at stake in Panama.](#)
7. [FAO, 2019a, Fishery Statistical Collections – Global capture production.](#)
8. [FAO, 2019b, Global Tuna Nominal Catches.](#)
9. [IATTC, 2018, Tunas, Billfishes and other Pelagic Species in the Eastern Pacific Ocean in 2017.](#)
10. [ICCAT, 2019a, ICCAT Statistics Database – Nominal Catch Information.](#)
11. [ICCAT, 2019b, ICCAT Record of Vessels.](#)
12. [European Commission, 2012, Final Report of an Audit Carried Out in Order to Evaluate the Control Systems in Place Governing the Production of Fishery Products Intended for Export to the European Union.](#)
13. [InSight Crime](#)
14. [UNDP Human Development Index](#)
15. [Poverty headcount ratio at national poverty line \(% of population\):](#)
16. [Global Hunger Index](#)
17. [World Governance Indicators](#)
18. [Transparency International Corruption Perception Index \(CPI\)](#)
19. [Basel Anti-Money Laundering \(AML\) Index](#)
20. [International Trade Union Conference \(ITUC\) Global Rights Index \(GRI\)](#)
21. <https://data.worldbank.org/indicator/SE.ADT.LITR.ZS?end=2018&start=1970&view=chart>
22. [World Bank Open Data](#)
23. [UN DESA, Net Migration Rate](#)
24. [UN DESA, Net Number of Migrants](#)
25. [International Organization Migration](#)
26. [Migrant Acceptance Index](#)
27. [UN Human Rights Office of the High Commissioner, 2019, UN Treaty Body Database](#)
28. [National Report to the Human Rights Council](#)
29. [US Department of Labor \(USDOL\), 2017 Findings on the Worst Forms of Child Labor](#)
30. [Combined IUU Vessels List](#)
31. [Minderoo Foundation Country Reports](#)
32. [Minderoo Foundation Global Slavery Index](#)
33. [Minderoo Foundation Global Fishing Index](#)
34. [IUU Fishing Index](#)
35. [Global IUU Fishing Index](#)
36. [Environmental Justice Foundation](#)
37. [Corruption Perception Index / Transparency international](#)
38. [Spy Glass](#)
39. [ILO Instrument Ratification](#)
40. [MSC Fishery Certifications](#)
41. [ASC Farm Certifications](#)
42. Expert peers who have worked in respective countries, fisheries, supply chains
43. Supply chain contacts
44. Questionnaires and surveys
45. Follow up emails and communications (zoom, skype, telephone, etc.)
46. OSAs own business – client work providing methodical triangulated intelligence into the system

Quantitative Results

Quantitative results can be deduced through using weighted criteria and a formula. Criteria are scored to provide the company with before and after view over two assessments and demonstrate improvements made.

Improvement financial value can be calculated to assess company bottom line benefits using full Return on Investment calculations.

The following spider diagram examples are from the Austral Fisheries Social [Fingerprint Assessment](#) Terra Moana (OSA's partner) conducted with Marcelo Hidalgo 2016-2018.



Figure 1: Austral Fisheries 2016 Initial Benchmark Assessment

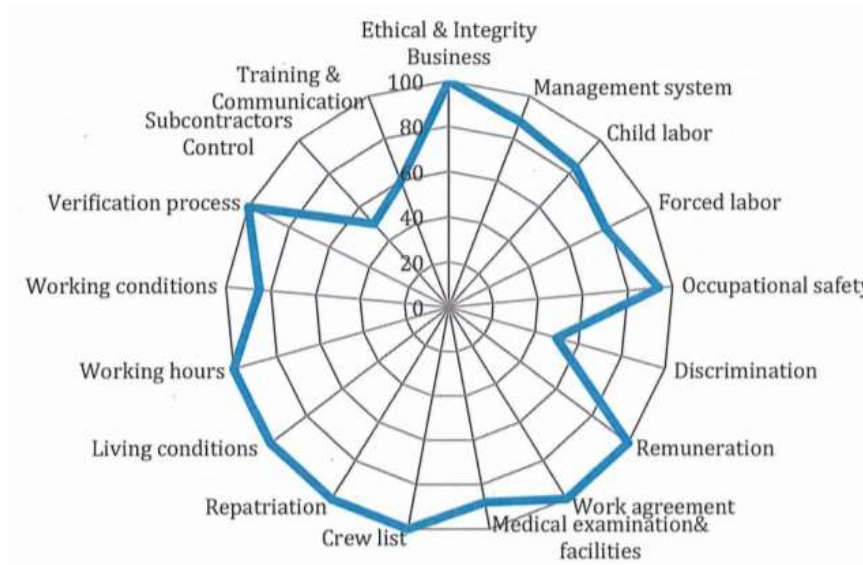


Figure 2: Austral Fisheries 2019 Initial Benchmark Assessment