



WWF

REPORT

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HUMAN WELFARE IN SEAFOOD SUSTAINABILITY ASSESSMENTS

Incorporating social criteria into the CAM assessments for wild-caught fish species.



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ABOUT FISH FORWARD 2

The Fish Forward 2 Project is a pan-European project raising awareness of social and environmental impacts of fish consumption. The EU co-funded Fish Forward Project raises awareness of sustainable seafood consumption. Fish Forward aims to achieve behaviour change of consumers and corporates in Europe based on an increased awareness and knowledge of the implications of seafood consumption and sourcing on people and oceans in not only in Europe, but also in developing countries.

For more information on the project please visit the Fish Forward website: www.fishforward.eu

ABOUT WWF

WWF is one of the world's largest and most experienced independent conservation organisations, with over 6 million supporters and a global network active in more than 100 countries.

WWF's mission is to stop the degradation of the planet's natural environment and to build a future in which humans live in harmony with nature, by conserving the world's biological diversity, ensuring that the use of renewable natural resources is sustainable, and promoting the reduction of pollution and wasteful consumption.

For more information on WWF South Africa (WWF SA) please visit the WWF SA website: www.wwf.org.za

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BACKGROUND

Through the Southern African Sustainable Seafood Initiative (SASSI), WWF SA conducts science-based sustainability assessments for a number of key species, which are then used to inform consumer awareness programmes both locally and globally.

Sustainability assessments are conducted on species that are of conservation concern or relevant to the local or international markets. Both locally and internationally, these sustainability assessments have been used to drive consumer awareness. Unfortunately, these assessments, and how they are conducted, are often poorly understood by the fishers themselves. As a result, the assessment outcomes are often disputed by local fishers, particularly small-scale fishers. This lack of understanding reduces stakeholder willingness to support improvement processes on the water, and fuels a distrust of scientific assessment of their seafood products.

In order to improve the buy-in of fisheries' stakeholders to the final outcomes of the sustainability assessments and scientific studies of resource health, WWF SA implemented a number of initiatives. One of the first initiatives WWF SA incorporated was a transparent public participation and external review process during the assessment process. Through this transparent participatory process, fisheries' stakeholders (i.e. industry, government and civil society) not only better understood the key sustainability challenges but also became far more willing to engage with WWF to develop fishery improvements for these challenges on the basis of shared understanding.

The second initiative that WWF SA got involved in was the founding of the Responsible Fisheries Alliance (RFA) which is a partnership of like-minded organisations working together to ensure that healthy marine ecosystems underpin a robust seafood industry in southern Africa. Formed in 2009, the Alliance members continue to contribute resources and time towards the sharing of information, expertise and competencies to positively affect responsible fishing while influencing policy and fishery governance. Through the RFA, a responsible fisheries training course was implemented to help train fisheries in basic sustainability principles. The goal was to empower fishers and help them understand the need for sustainable fisheries management. In 2015, however it became apparent that there was a section of South Africa's fishing community that was not benefiting in any way from the training or stakeholder engagement, namely the small-scale fishing sector.

Historically, small-scale fishers were highly marginalised with all the focus on commercial and recreational fishers. However this changed in 2004 when marginalized coastal communities took the government to court. The court ruled that the government had failed to incorporate these coastal communities who have relied on the ocean for many years. The Equality Court ruled that government should develop a new policy that would address socio-economic needs of small-scale fishers and also come up with a more holistic and participatory approach in managing the small-scale sector. The ruling also stated that in the meantime government should provide interim relief to 1200 identified small-scale

fishers, thereby enabling them to fish. In 2012, the government published its small-scale policy and its implementation is currently underway.

The WWF SA marine programme has successfully engaged with all aspect of the formal seafood supply chain working with fishing companies, suppliers, retailers, restaurants and consumers. However it was only recently that WWF SA began to look at the small-scale fishing community. In 2013, a Fisheries Improvement Project (FIP) was initiated that involved working with small-scale fishers in the Kogelberg region. The FIP aims to address overfishing and unsustainable practices in the small-scale fishing sector. The project is on-going and the focus has shifted to include a variety of actions that aim to improve understanding of science based decision making, reduce Illegal, Unreported and Unregulated (IUU) and create an opportunity for market access.

The Small-Scale Responsible Fisheries Training was conceptualised by WWF SA and it is nationally coordinated by the International Ocean Institute African Region (IOI-SA) and is funded by Transport Education and Training Authority (TETA). This is a skills development project that is being rolled out across coastal South Africa to educate and empower the small-scale fishing communities around the importance of sustainable fishing. The workshops explain the Ecosystem Approach to Fisheries (EAF) and responsible fishing practices. The workshops are facilitated by members of small-scale fishing communities that have been through the training themselves.

Lastly, in 2017/2018, WWF SA began collaborations with other WWF offices as part of the Fish Forward project to host a series of regional workshops and stakeholder dialogues with small-scale fishing communities and government representatives. These have focused on the SASSI assessment process and basic fisheries' science concepts for 5 key small-scale fish species (harder - *liza richardsonii*; yellowtail – *Seriola lalandi*; east coast rock lobster - *Panulirus homarus rubellus*; and Sokhulu mussels - *Perna perna*) and covering 3 fishing methods (beach seine, gillnet and hand collection). These 5 SASSI assessments will be area specific due to differences in ecosystem impacts, fishing methods and management. The workshops will be held in 2019 and will focus specifically on the small-scale fisheries sector, which is often marginalised in scientific assessment processes, and as a result does not understand and support the assessment outcomes.

Over the last few years, WWF SA has increasingly been challenged by the small-scale sector around the fact that the current sustainability assessments do not explicitly include any considerations of human dimensions such as poverty apart from a single question that looks at how the fishery is progressing towards implementing an Ecosystem-Based Management (EBM) approach (See section on CAM assessment). According to the Food & Agriculture Organization (FAO) of the United Nations an EBM approach also takes into consideration the human aspects of managing a fishery. EBM is defined as “a practical way to implement sustainable development in a fisheries context with humans being an integral part of the ecosystem (CAM 2017)”. When this single definition is unpacked, it is clear that there is not sufficient focus on the human dimension and there is lack of clarity on how to address it.

The purpose of this document is to research possible ways of including dimensions of human well-being into existing sustainability assessments (e.g. CAM Guidance document) and future options for assessment (e.g. Actual CAM Assessments). Through a better understanding of how sustainability assessments could incorporate aspects of human dimensions only then can an Ecosystem Approach to Fisheries management really take effect.

ECOSYSTEM-APPROACH TO FISHERIES MANAGEMENT

According to the FAO EAF “strives to balance diverse societal objectives, by taking into account the knowledge and uncertainties about biotic, abiotic and human components of ecosystems and their interactions and applying an integrated approach to fisheries within ecologically meaningful boundaries (FAO 2003)”.

EAF management is not a novel approach and has been the topic of discussion for many years. The origins surrounding EAF management approach can be found in Chapter 17 of Agenda 21 of the 1992 Rio Declaration on Environment and Development, which looked specifically at the key principles of sustainable development: namely social, economic and environment (Garcia et al. 2003 cited in Peterson et al. 2015). In 1995, the Food and Agriculture Organisation published their Code of Conduct for Responsible Fisheries which contained many principles associated with EAF despite the fact it does not explicitly refer to EAF (Cochrane et al. 2004). Several years later, following additional meetings and a summit, the development of EAF began gaining momentum and in 2001 a number of countries committed to incorporating EAF into their fisheries management procedures by 2010 (FAO 2001, WSSD 2002). In 2008, the FAO published an in depth paper on EAF which provided an overview as well as tools and methods for implementing EAF with a specific focus on human dimensions (FAO 2008). By 2010, however, many countries were struggling to fully implement an EAF management approach, with a number of countries still in the early stages of implementation (Nel et al. 2007; Peterson et al. 2015). Challenges ranged from defining an EAF fishery, to understanding complex ecological interactions and then finally how to implement and integrate the principles into fisheries management at local, regional and national levels (Garcia & Cochrane 2004; Peterson et al. 2015).

In light of an EAF management approach, considerable research has taken place to understand marine ecosystem interactions and the roles of each sustainability pillar (social, economic and environmental) and how to address these interactions (Peterson et al. 2015). In general, there is a good understanding of ecosystem and economic impacts but not always of social impacts (Peterson et al. 2015).

In the last three years, a number of key social challenges affecting fisheries have gained global attention. A particularly noticeable example is evidence of human rights violations in fisheries located in Thailand. This issue was brought to light in 2014 when the *Guardian* published an exposé highlighting the link it had found between fish feed for shrimp farms in Thailand and vessels participating in slave labour practise (Marschke & Vandergeest 2016). Many of these shrimp farms exported their products to the European Union and United States of America which was then sold to the public (Marschke &

Vandergeest 2016). Additional reports followed by the *New York Times* and *Associated Press* which further highlighted the working conditions of fishers in Thailand (Marschke & Vandergeest 2016). These reports generated significant media attention and suppliers were placed under increasing pressure to ensure their supply chains were free from slavery (Marschke & Vandergeest 2016).

The issue of poor working conditions was not unknown and various NGOs had previously flagged Thailand as a region of concern. However, the extent and intensity of worker mistreatment had been unknown. In 2015, the Environmental Justice Foundation published a detailed report (Link to report in references) which provided a comprehensive view of how overfishing and pirating along with increasing demand for cheap seafood are linked to slavery and human rights abuses in the seafood industry of Thailand. The report also indicated that the issue of slave trade and human rights abuses is not limited to Thailand but that it is a global issue facing many countries and needs to be addressed collectively.

The challenge for many sustainability organisations (e.g. Marine Stewardship Council, WWF and Seafood Watch) is that human dimensions, including slavery and other human rights violations, are not considered in sustainability assessments. As such sustainability organisations came under strong criticism for not ensuring that the welfare of the fishers is considered before listing a fish species as sustainable. In response to the criticism, sustainability organisations have looked at including or have already included social considerations into their sustainability assessments. This study looks at examples from well-known sustainability organisations – namely, the ASC, MSC, Seafood Watch & WWF SA – and the steps each organisation has taken to address these social challenges.

SUSTAINABILITY ASSESSMENTS

ASC

The Aquaculture Stewardship Council (ASC) was formally launched in 2010 but discussions around it date back to 2004, when it became apparent that no 3rd party certification scheme existed for farmed species. The ASC is now one of the leading 3rd party certification schemes for farmed sustainable seafood. The certification process looks at 2 key impacts of farming; namely its environmental and social impacts. Due to the diverse nature of aquaculture and the wide range of potential impacts, 9 different standards are available. These cover 15 individual species, as well as a joint standard with the MSC on seaweed. Social impacts have been a key feature in the ASC since its inception and are integrated into its certification process. For example, a farm wishing to be certified needs to provide evidence that child labour is not taking place and that workers' contracts are in line with International Labour Organisation (ILO) regulations. Regulations also need to be in place to protect workers' health and safety, and to ensure freedom of assembly can take place. In addition, the ASC standard also considers potential impacts on communities near the farm to ensure they are not negatively impacted by farming practices.

MSC

The Marine Stewardship Council (MSC) was launched in 1990 and is currently one of the leading 3rd party certification schemes for wild-caught sustainable seafood. The certification process looks at 3 key principles; namely stock status of species under assessment, ecological effects of the fishery, and management of the fishery. The assessment methodology is updated every 5 years and goes through an extensive stakeholder process. Social issues are not integrated into the MSC assessment methodology which has led to increasing criticism of the MSC. In response to increasing pressure, the MSC issued a statement in 2014 indicating that any certified fishery or supply chain found guilty of labour violations such as slave, bonded labour, or child labour would immediately lose its certification. This statement was followed by the formal inclusion of a clause in the new version of the MSC assessment standard, Version 2.0. In this clause, a potential client or existing client must ensure that no individual/company within the seafood supply chain has been found guilty of violating labour laws under the ILO's definition of forced labour (MSC Chain of Custody Certification Requirements 2015).

Seafood Watch

Seafood Watch was launched in 1999 at the Monterey Bay Aquarium. Seafood Watch, like the CAM methodology, conducts sustainability assessments using its own methodology on key wild-capture and aquaculture fisheries relevant to the United States (SeafoodWatch 2018). In 2018, Seafood Watch, in partnership with Liberty Asia, Seafish and Sustainable Fisheries Partnership, launched the Seafood Slavery Risk Tool (<http://www.seafoodslaveryrisk.org>). The Seafood Slavery Risk Tool complements the Seafood Watch sustainability assessments and informs buyers on the likelihood of human rights violations occurring within the fishery (e.g. on fishing boats). Fisheries are ranked into one of four categories namely “critical risk”, “high risk”, “moderate risk” and “low risk” (Seafood Slavery Risk Tool 2018). Risk category is determined using credible publically available sources including reports from researchers, government agencies and civil society institutes. The Slavery risk tool was reviewed by a number of government agencies and human rights organisations prior to being launched.

WWF

In 2016, WWF together with the Conservation Alliance for Seafood Solutions and the Coalition for Socially Responsible Seafood along with Conservation International began developing a social responsibility assessment tool for the seafood sector referred to as the “Social Responsibility Scorecard for the Seafood Sector” (SR Protocol Draft 2018). It was compiled using a variety of sources including the Monterey Framework, United Nations Voluntary Guidelines on Small-scale Fisheries, Framework on Social Responsibility for the Seafood Sector (OPAL 2018) and the FIP Rapid Assessment Protocol (OSMI 2018). The scorecard encompasses 3 main principles: to protect human rights, dignity and access to resources; to ensure equality and equitable opportunity to benefits; and to improve food and livelihood security (SR Protocol Draft 2018). Each of these principles is sub-divided into performance indicators which are all scored into 1 of 3 thresholds (<60 high risk; 60-79 medium risk and 80+ low risk). The scorecard was designed with FIPs in mind and the principles in the scorecard follow after the three MSC

principles (SR Protocol Draft 2018). The recommendation from the authors is that the scorecard be used in conjunction with the MSC pre-assessment with the ultimate goal of certification. As the MSC has yet to incorporate social criteria the recommendation is to look into other 3rd party auditors such as Fair Trade or Responsible Fishing Scheme (SR Protocol Draft 2018). FIPS from the start should incorporate a range of actions that speaks to the MSC pre-assessment and the social scorecard (SR Protocol Draft 2018). In the case of already established FIPs the scorecard should be introduced as soon as possible and potentially follow a different timeline. This scorecard is currently in review and has yet to be implemented.

Common Assessment Methodology

The CAM methodology for Wildcapture species was developed in 2009 in partnership with Dutch North Sea Foundation (NSF) and the British Marine Conservation Society (MCS). The goal of the methodology was to provide scientific advice on sustainable seafood options. The CAM methodology, in its current format has 3 categories that look at stock status, ecological effects and management options. Each section is subdivided into a series of sub-questions addressing each of the categories (Figure 1). Based on the outcome of each question a species is then either listed as red, orange and green. A separate assessment protocol was developed for farmed species and is referred to as the Common Aquaculture Methodology. In its current format the aquaculture methodology looks at 3 categories namely sustainable use of resources, interactions and impacts, management (Figure 2).

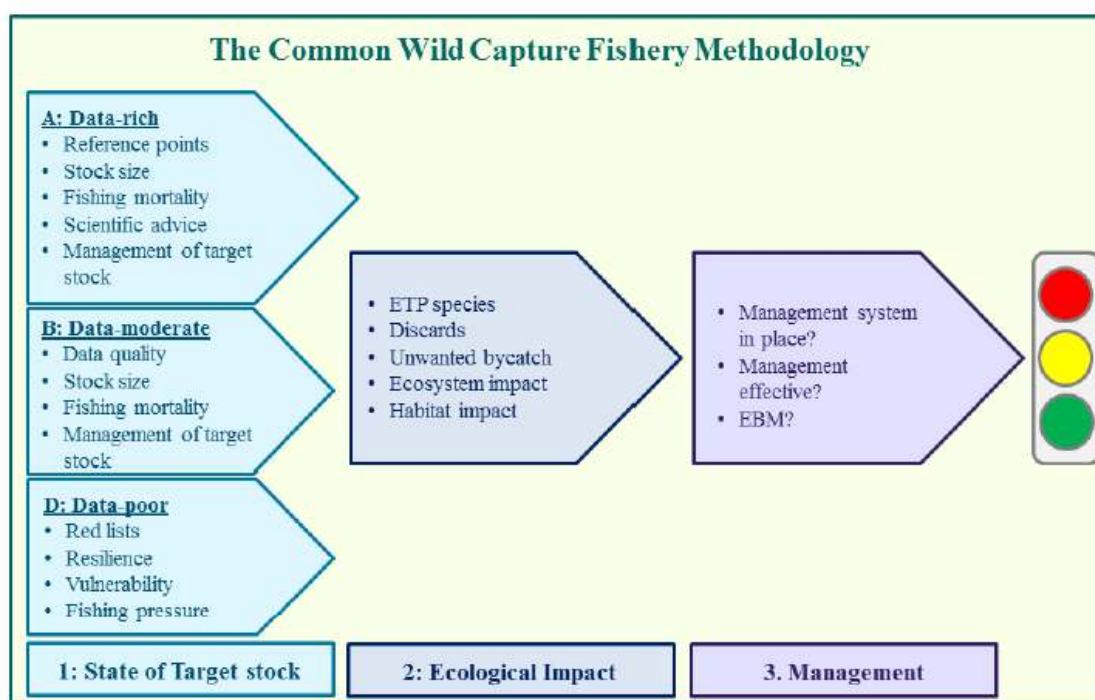


Figure 1: Schematic Illustration of the Common Wild Capture Fishery Methodology

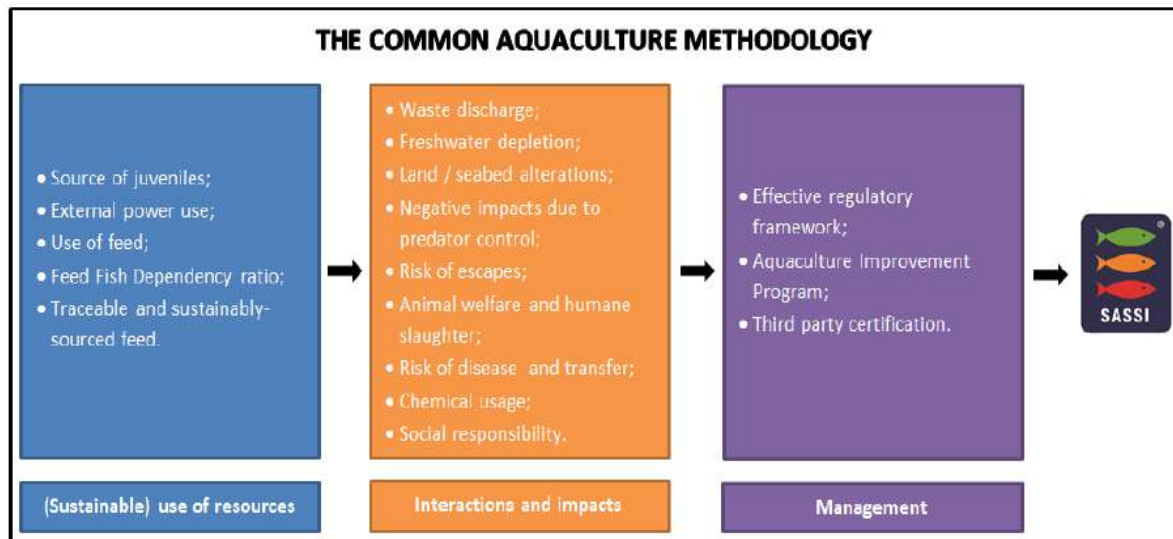


Figure 2: Diagram showing the key points of the Common Aquaculture Methodology used by WWF-SASSI.

In the Common Aquaculture Methodology, social issues are addressed briefly in two questions that look at whether the country where the farm is located has ratified the ILO Convention and that no instance of labour rights violations have occurred in the last 5 years. The second question looks at the relationship of the farm with its neighbours and if there have been any conflicts within the last 5 years.

In the CAM methodology for Wild-capture species, EAF is directly addressed under Question 14 which states the following “Is there an ecosystem-based management (EBM)* plan or approach in place?” The question, recommended indicators and outcomes are all very broad making it particularly difficult to answer definitively. There are 3 possible outcomes to the questions namely “Yes – EBM is implemented effectively”, “Yes – An EBM is at the stage of implementation OR singular measures aiming specifically at the integrity of the ecosystem are in place and effective or No – Steps have not been take to implement an EBM.” For the most part, countries fall within the second outcomes “stage of implementation” but rarely seem to reach the “effectively implemented” stage.

The guidance document for the CAM assessments gives nine indicators that one can use to determine if EBM is implemented. These points are listed below:

- 1. Ecosystem impacts of fisheries are included into management advice.**
- 2. The social wellbeing of dependent fishing communities is accounted for in management advice.**
- 3. The economic wellbeing of the fishing industry is maintained.**
- 4. The managing authority has transparent and participatory management structures that ensure good communication and information sharing locally and regionally.**
- 5. Management plans incorporate Ecosystem Approach to Fisheries (EAF) considerations.**

6. Compliance to regulations reduces ecosystem impacts of fisheries.
- 7. Sufficient capacity, skills, equipment and funding exist to support the implementation of an EAF.**
- 8. Good data procedures exist to support EAF implementation.**
- 9. External impacts of fisheries are addressed (e.g. the effect of other sectors, other industries, climate change, etc.).**

Some of these points are fairly easy to interpret and implement whilst others are much harder to interpret and take much longer to implement. The 8 indicators highlighted in bold are the ones this study will be addressing further.

Using these indicators, along with the FAO guidelines on EAF (Appendix 2) and the 10 Fair Trade principles (Appendix 3) 9 criteria (revised to 8) were developed with the goal of addressing some of the social challenges facing fisheries. These 8 criteria along with their definitions, indicators and measures are given in the table below.

Social Certifications in place – Fair Trade

One of the most well-known certification schemes for social issues is the Fair Trade label. Fair Trade was founded many years ago in 1946 with the specific goal of supporting poor communities in less developed countries (WFTO 2015). The first “fair trade” shop opened in 1958 in the USA and the first Fair Trade Organisation was founded in 1964 (WFTO 2015). The Fair Trade movement rapidly gained momentum and spread to Africa, Asia and Latin America. These organisations formed partnerships with those in the North which strengthened the movement towards equitable trade (WFTO 2015).

In the 1980s, the Fair Trade logo was launched as a new way of reaching consumers (WFTO 2015). The logo would allow companies outside of Fair Trade Organisations to also sell Fair Trade Products (WFTO 2015). In 1997, Fairtrade Labelling International (now Fairtrade International) was established to set the standard for Fair Trade Products (WFTO 2015). An independent body called FLO Certification is now responsible for verifying and certifying that a product may carry the Fair Trade logo (WFTO 2015).

In 2013, the World Fair Trade Organisation – WFTO launched the Guarantee System (GS) which was based on WFTO Standard that included the 10 Principles of Fair Trade and International labour Organisation Conventions (WFTO 2015). This system can be used to verify any organisation and is not tied to any specific product.

DRAFT INDICATORS

	Criteria	Definition	Indicator	Measures
1.	Access to resources	“Refers to the policy of giving everyone the same opportunities for employment, pay, and promotion, without discriminating against particular groups” (Collins).	<ol style="list-style-type: none"> All fishers have equal rights to resources. Marine spatial planning incorporates all fisheries. 	<ul style="list-style-type: none"> 85 - 100: Country is a signatory to all relevant international conventions/protocols AND country has local laws and policies in place regarding address access to resource. Previously disadvantaged communities have been considered when it comes to allocating fishing rights, declaring MPAs or implementing management procedures. For large-scale fisheries that encompass multiple areas it should be evidenced they comply with local laws on gender/race/etc. and promote diversity within their fishery (In South Africa, A BBEEE certificate would be an example). Fisheries are working together in a collaborative setting. Marine Spatial Planning (MSP) implemented. Conflicts have been addressed or addressed quickly and timeously. 65 – 85: Country is a signatory to relevant international conventions/protocols. Country has local laws and policies in place regarding address access to resources. (e.g. in South Africa, access to resources is addressed in the South African Constitution). Previously disadvantaged communities have been identified and consulted with. Larger fisheries have been identified and progress of complying with local laws regarding diversity. Progress in resolving inter-fishery conflicts. Measures developed as part of MSP are being tested. (e.g. no fishing in certain areas during tourist season). 40 – 65: Process is underway to identify previously disadvantaged communities. For larger fisheries compliance with local laws on diversity is moderate. Inter-fishery conflicts are being identified and addressed. MSP underway (fishing areas, mining area, tourism areas mapped etc.). Country is a signatory to relevant international conventions/protocols (e.g. UN Declaration on the Rights to Indigenous Peoples 2007). Country has no local laws or policies in place regarding access to resources. 15 – 40: Previously disadvantaged communities are not always considered for fishing rights, declaring MPSs or implementing management procedures. There is lack of transparency about the process and the decisions made. For larger fisheries compliance with local laws on diversity is poor. Inter-fishery conflicts are widespread and documented. Attempts to address conflicts are not effective. Fisheries do not work together. Countries not signatory to any international conventions/protocols. Country has no local laws or policies in place regarding access to resources.

				<ul style="list-style-type: none">▪ 0 – 15: Previously disadvantaged communities are not considered when it comes to allocating fishing rights, declaring MPAs or implementing management procedures OR there is no information available on the demographics of the fishing community or fishery OR for larger fisheries they do not comply with local laws regarding diversity OR information not available. For both communities and larger fisheries there is wide spread inter-fishery conflicts AND no form of Marine spatial planning. Country has no local laws and policies in place regarding address access to resources.
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<p>2.</p>	<p>Forced labour</p>	<p>“The recruitment, transportation, transfer, harbouring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation” (UN 2000).</p>	<ol style="list-style-type: none"> 1. No forced labour in fishery/species under assessment. 2. Fishing must not be at the expense of human health. 	<ul style="list-style-type: none"> ▪ 85 - 100: Country is a signatory to all relevant international conventions/protocols AND country has introduced local laws and policies regarding forced labour. Measures are in place in the fishery or community to ensure forced labour is not taking place (vessel inspections, anonymous reporting hotlines, policies are available and communicated on abuse, sexual harassment etc.) AND there have been no reports of forced labour in the last 5 years. ▪ 65 - 85: Country is a signatory to relevant international conventions/protocols AND country has introduced local laws and policies regarding forced labour (e.g. forced labour is prohibited in the South African Constitution and the Basic Condition of Employment Act). Fishery/community is implementing actions to ensure forced labour is not taking place (inspections, reporting hotline, policies are available and communicated on abuse, sexual harassment etc.). No incidents of forced labour have been reported in the last 2 years. ▪ 40 - 65: Country is a signatory to Forced Labour Convention 1930, Abolition of Forced Labour Convention 1957 AND the UN’s Palermo Protocols. Country has drafted but not formally implemented local laws and/or policies regarding forced labour. No direct evidence of forced labour/trafficking. ▪ 15 - 40: Anecdotal evidence of forced labour. Country not signatory to any international agreement on labour issues. Country has no local laws or polices on preventing forced labour OR transparency is poor. Country has no local laws or policies regarding forced labour. ▪ 0 - 15: Strong evidence of forced labour. Individuals are either threatened or forced to perform activities. Evidence of human trafficking. Labour practises are not transparent. Country is not a signatory to any international agreement/conventions. Country has no local laws and policies regarding forced labour.
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3.	Child labour	<p>“Work that deprives children of their childhood, their potential and their dignity, and that is harmful to physical and mental development” (ILO 2018).</p> <p>NOTE: In developing countries children often partake in fishing activities from a cultural perspective so assessor needs to consider this fact and score appropriately.</p>	<p>1. No child labour in fishery/species under assessment.</p>	<ul style="list-style-type: none"> ▪ 85 - 100: Country is a signatory to all relevant international conventions/protocols AND country has introduced local laws and policies regarding child labour. Fishery/community has measures in place to ensure child labour is not taking place. In cases where child labour is allowed that the relevant conditions are being met. ▪ 65 - 85: Country is a signatory to international conventions/protocols AND country has introduced local laws and policies regarding child labour (e.g. for South Africa child labour is addressed in the Basic Conditions of Employment Act 1996). Fishery/community is implementing actions to ensure child labour is being addressed. In cases where child labour is allowed that the relevant conditions are being met. ▪ 40 - 65: Country is a signatory to the Minimum Age Convention (ILO 1973) AND Worst Forms of Child Labour Convention (ILO 1999). Country has drafted but not formally implemented local laws and/or policies regarding child labour. No direct evidence of child labour OR areas of concern have been identified. ▪ 15 - 40: Anecdotal evidence of child labour AND transparency is poor OR country is not a signatory to any international agreement/conventions on child labour issues. Country has no local laws or policies regarding child labour. ▪ 0 - 15: Strong evidence of child labour. Children are forced to perform activities or operate in dangerous condition. Evidence of human trafficking. Child labour practises are not transparent. Country not signatory to any international agreement/conventions. Country has no local laws and policies regarding child labour.
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<p>4.</p>	<p>Gender equality</p>	<p>“Implies that the interests, needs and priorities of both women and men are taken into consideration, recognising the diversity of different groups of women and men” (OSAGI 2001).</p>	<p>1. All women and men in the fishing communities have equal ability and access to resources.</p>	<ul style="list-style-type: none"> ▪ 85 - 100: Country is a signatory to all relevant international conventions/protocols. Country has introduced local laws and policies to address gender equality. Women and men have an equal say in policy, regulatory and institutional environment AND women and men have membership in organisations AND women and men have equal access to benefits and opportunities in the work space. Evidenced in the form of agreements, policies etc. Measures in places to ensure no discrimination based on gender. ▪ 65 – 85: Country is a signatory to all international conventions/protocols. Country has introduced local laws and policies to address gender equality (e.g. Gender discrimination is addressed in the South African Constitution). Men and women have equal say in policy, regulation and institutional environment OR Membership and representation in organisations is not based on gender OR men and women have equal access to benefits and opportunist. Measures are being implemented to ensure no gender discrimination takes place (applies at the scale of fishery/community). ▪ 40 – 65: Country is a signatory to Equal Remuneration Convention 1951, Discrimination (Employment and Occupation) Convention 1958, UN Convention on the Elimination of All forms of Discrimination Against Women 1979. Country has drafted but not formally implemented local laws and/or policies to address gender inequalities. Gender discrimination in fishery/community has been acknowledged. Studies have been conducted to assess level of discrimination and include proposed solutions to address discrimination issues. ▪ 15 – 40: Discrimination due to gender is occurring (e.g. sexual harassment) OR representation in association/organisations is biased OR benefit and opportunities are not equal. Country is not a signatory to any international agreement/conventions on gender equality. Country has no local laws or policies on addressing gender inequalities. ▪ 0 – 15: Evidence of discrimination due to gender including instances of sexual harassment in various fishing activities AND representation in associations/organisations is based on gender AND benefit and opportunities are not equal AND country is not a signatory to any international agreement on gender equality. Country has no local laws and policies on addressing gender inequalities OR there is not enough information available.
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<p>5.</p>	<p>Food security</p>	<p>“all people , at all times, have physical, social and economic access to sufficient, safe and nutritious food to meet dietary needs for a productive and healthy life” (World Food Summit 1996).</p>	<p>1. All fishers/communities are food secure.</p>	<ul style="list-style-type: none"> • 85 - 100: Country is a signatory to all relevant international conventions/protocols AND Country has introduced local laws and policies to address food security. Fishers/communities are food secure. Agreements are in place that ensures consistent market access AND in the evident seasonal fish are caught alternative livelihood approaches to supplement income are developed and implemented AND mitigation strategies are also in place to address issues such as climate change. • 65 – 85: Country is a signatory to relevant international conventions/protocols. Country has introduced local laws and policies to address food insecurity (e.g. food security is addressed in the South African Constitution as the right access food and water). Fishers/community are food secure. Agreements are being developed to ensure fair pay and consistent market access. This can include temporary agreements AND/OR in cases of seasonally dependent species alternative livelihoods and mitigation strategies are being investigated. • 40 – 65: Country is food insecure; however, data shows improving security indicators. Research is underway to understand market access and current level of pay. Assessments have been conducted on levels of risk in the fishery with regards to seasonal availability of seafood and climate change. Country is a signatory to relevant conventions and protocols (Universal Declaration on the Eradication of Hunger and Malnutrition 1974, Rome Declaration on World Food Security 2009). Country has drafted but not formally implemented local laws and/or policies to address food insecurity. • 15 – 40: Fishers/community are food insecure. Research involving a participatory process is underway to evaluate level of food insecurity. Some steps have been taken to address it but not effectively implemented. Market access is not consistent and/or pay is not fair. Countries not signatory to any international conventions/protocols. Country has no local laws or polices to address food insecurity. • 0 – 15: There is evidence that indicates the fishers/community is food insecure AND market access is not possible or unreliable AND fair pay is not occurring AND no mitigation strategies are being developed to look at alternative livelihoods or address climate change. In the evident no data is available use global studies and score in a precautionary manner. Country is not a signatory to any international agreement/conventions. Country has no local laws and policies to address food insecurity.
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6.	Co-management	“A process of management in which government shares power with resource users, with each given specific rights and responsibilities relating to information and decision-making” (OECD 2001).	1. Co-management approach established in the community	<ul style="list-style-type: none"> ▪ 85 - 100: Country is a signatory to all relevant international conventions/protocols AND country has introduced local laws and policies on co-management. Full co-management within the community or fishery is taking place. Communities/industry are included in decision making processes AND actively participates in forums, workshop, scientific meetings, management meetings AND research activities. ▪ 65 – 85: Country is a signatory to relevant international conventions/protocols AND country has introduced local laws and policies on co-management (e.g. Co-management is addressed in the South Africa in the National Environmental Management Act 107 of 1998). Partial co-management is taking place. Communities/industry are included in decision making processes OR are actively participating in forums/workshops/scientific meetings/management meeting OR research activities. • 40 – 65: Some co-management is taking place OR steps to implement co-management have been taken. Communities/industry are involved in discussions with government OR some participation by community/industry in forums/workshops/scientific meetings/management meetings or research activities (e.g. some participation = scientific meetings & management meetings). Country is a signatory to relevant international conventions/protocols (UN Declaration on the Right to Development, 1986). Country has drafted but not formally implemented local laws and/or polices on co-management. • 15 – 40: No co-management is taking place. Decisions are made with little to no consultation OR there is no or limited participation by community/ industry in forums/workshops/scientific meetings/management meetings or research activities (e.g. participation is rare or limited to a particular item). Country is not a signatory to any international conventions/protocols. Country has no local laws or polices regarding co-management. ▪ 0 – 15: No co-management is taking place. Decisions are made without consultation AND there is no participation by the community/ industry in forums/workshops/scientific meetings/management meetings AND research activities. Country is not a signatory to any international agreement/ conventions. Country has no local laws and policies regarding co-management.
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7.	Economic self-sufficiency	<p>“Ability of individuals and families to maintain sufficient income to consistently meet their basic needs – including food, housing, utilities, health care, transportation, taxes, dependent care, and clothing – with no or minimal financial assistance or subsidies from private or public organisations” (Fairfax 2019).</p>	<ol style="list-style-type: none"> 1. Communities are economically self-sufficient. 2. Majority of the community has received financial/business support and training. 	<ul style="list-style-type: none"> ▪ 85 - 100: Country is a signatory to all relevant international conventions/protocols. Country has introduced local laws and policies regarding economic self-sufficiency. Fishers/communities have economic self-sufficiency. Includes allocation of long-term fishing rights AND co-management structures are set up and running effectively AND fishers have adequate business and financial training to ensure community needs are being met. In case of large-scale fishing companies than economic self-sufficiency applies to the individual fishers (e.g. business training, development, health care etc.). ▪ 65 – 85: Country is a signatory to relevant international conventions/protocols. Country has introduced local laws and policies regarding economic self-sufficiency (e.g. economic self-sufficiency is addressed in the South African Constitution). Fishers/communities are making progress towards economic self-sufficiency. Long term fishing rights have been allocated OR co-management structures have been established and are running effectively OR fisheries are being trained in various business and financial measures. • 40 – 65: Strategies to help fishers move towards economic self-sufficiency are being developed. Long term fishing rights have been allocated but not formalized. Appeals still pending. Co-management structures have been established but are not yet effective. Training needs within the community have been identified. Country is a signatory to relevant international conventions (e.g. International Convention on Economic, Social and Cultural Rights 1966, UN Guiding Principles of Business and Human Rights 2011). Country has drafted but not formally implemented local laws and/or polices on economic self-sufficiency. • 15 – 40: Fishers/communities are not economically self-sufficient OR long term fishing rights have not been allocated OR co-management structures have been established OR no training (e.g. business, financial or management) has taken place. Countries not a signatory to any international conventions/protocols. Country has no local laws or polices regarding economic self-sufficiency. ▪ 0 – 15: Fishers/communities are not economically self-sufficient AND long term fishing rights have not been allocated AND co-management structures have not been set up AND no training (e.g. business, financial or management) has taken place. Needs are unknown. Country is not a signatory to any international agreement/conventions. Country has no local laws and policies regarding economic self-sufficiency.
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<p>8.</p>	<p>Local ecological knowledge *</p> <p>*Optional</p>	<p>“Refers to the understandings, skills and philosophies developed by societies with long histories of interaction with their natural surroundings. For rural and indigenous peoples, local knowledge informs decision-making about fundamental aspects of day-to-day life” (UNESCO 2017).</p>	<p>1. Local knowledge of fishers with the area incorporated into management. Local knowledge could be climate observations or species observation.</p>	<ul style="list-style-type: none"> • 85 – 100: Country is a signatory to all relevant international conventions/protocols. Country has introduced local laws and policies regarding the use of local ecological knowledge. Where possible local ecological knowledge is incorporated into scientific AND management advice. • 65 – 85: Country is a signatory to relevant international conventions/protocols. Country has introduced local laws and/or policies regarding the use of local ecological knowledge (e.g. in South Africa, there is a policy on local indigenous and ecological knowledge). Where possible local ecological knowledge is incorporated into scientific OR management advice. • 40 – 65: Level and type of local ecological knowledge available is being assessed. Process is being developed to incorporate knowledge into scientific/management advice. Country is a signatory to relevant international conventions/protocols (Convention on Biological Diversity 1992). Country has drafted but not formally implemented local laws and/or polices on the use of local ecological knowledge. • 15 – 40: Potential sources of local ecological knowledge have been identified but are not included in scientific OR management advice. Country is not a signatory to any international conventions/protocols. • 0 – 15: Local ecological knowledge is NOT included in scientific AND management advice. Country is not a signatory to any international agreement/conventions. Country has no local laws and policies regarding the use of local ecological knowledge.
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APPENDIX 1:

*Approach to question is same as Q 13 in the CAM assessments.

Q13 Are the established management measures for the fishery under assessment effective in maintaining the integrity of the habitat and ecosystem AND in maintaining the long-term productivity of all impacted species?

Procedure: Highlight the appropriate box for each issue. **The points don't go directly in the total assessment score, but they are aggregated in the "score" section below.**

ISSUE (Q no. relates to question above)	1. Relevance		2. Effectiveness				
	No [Do not continue in this row]	Yes [Proceed to column 2]	Fully effective	Largely effective	Partly effective	Marginally effective OR effectiveness unknown	Not effective
ETP species* (Q7)			100	75	50	25	0
Discard (Q8)			100	75	50	25	0
Unwanted bycatch (Q9)			100	75	50	25	0
Ecosystem effect** (Q10)			100	75	50	25	0
Habitat effect*** (Q11)			100	75	50	25	0
Monitoring/data availability****		X	100	75	50	25	0
Mixed fishery			100	75	50	25	0
IUU, misreporting			100	75	50	25	0
Compliance, enforcement			100	75	50	25	0
Transparency, participation			100	75	50	25	0
Others (please specify)			100	75	50	25	0

* Endangered, threatened or protected OR overfished OR biologically highly vulnerable species

** Ecosystem effect: refer to definition given in Q10

*** Habitat effect = Impact on habitat and habitat forming animals, e.g. corals

**** Issue must be rated mandatorily

SCORE: *Notes to Assessor:* Determine the score by calculating the arithmetic mean (i.e. add the points from above and divide the sum by the number of relevant issues chosen. [Example: 4 issues chosen with 75+75+75+25=250 points. 250/4=62,5. Insert the result in the respective box below.

- SCORE 90-100: Management is effective
- SCORE 65-89: Management is largely effective
- SCORE 40-64: Management is partly effective
- SCORE 15-39: Management is marginally effective
OR there is insufficient information to assess effectiveness
- SCORE 0-14: Management is not effective

Annotations

References

APPENDIX 2:

Guiding principles for implementing Ecosystem Approach to Fisheries Management

Extracted from Handbook of the EAF-Nansen Project training course on ecosystem approach to fisheries management located at <http://www.fao.org/3/a-i5787e.pdf>.

“Normative framework – high-level objectives reflected in international and national legislation.

- Maintaining ecosystem integrity; implies maintenance of biodiversity in all its aspects (habitat, species and genetic) and maintenance of ecological processes that support biodiversity and productivity.
- Principles of equity (balancing diverse societal objectives) implies both the intra-generational equity, i.e. fair distribution of rights between various sections of society at present, and inter-generational equity, or the need to make sure that future generations will be able to draw the same benefits from aquatic ecosystems as the present generation.

Operational framework – Operationalize EAF in terms of institutions, processes and resources.

- Application of the precautionary approach, implying that where there are threats of serious irreversible damage, the lack of full scientific knowledge shall not be used as a reason for postponing or failing to take steps to prevent environmental degradation.
- The need to move towards the adaptive management systems, given the complexity and dynamics of ecosystems and society and the difficult in predicting outcomes of different management measures.
- Ensure compatibility of management measures across the resource/ecosystem range. Also implied is the need to collaborate regionally when resources and ecosystems are trans-boundary.
- The need for broader stakeholder participation in the management process, including data collection, knowledge building, option analysis, decision-making and implementation.
- Using incentive as complementary management measures to support positive behavioural change.
- Coordination and harmonization across sectors (sectorial integration, considering that resources and ecosystems may be suggest to human activities other than fisheries.

Cognitive framework - the acquisition of information, analysis and translation into knowledge that is usable by society

- Improving scientific understanding of ecosystems in all their components.
- Encourage research on selective and environmentally safe gear and practises.
- Move from a predictive to an adaptive science framework, involving the use of methods to support decision-making in conditions of high uncertainty (e.g. fuzzy logic, Bayesian belief networks etc.

APPENDIX 3: TEN PRINCIPLES OF FAIR TRADE

Extracted from the World Fair Trade Organisation's website located at <https://wfto.com/fair-trade/10-principles-fair-trade>

Principle One: Creating Opportunities for Economically Disadvantaged Producers

Poverty reduction through trade forms a key part of the organisation's aims. The organisation supports marginalised small producers, whether these are independent family businesses, or grouped in associations or co-operatives. It seeks to enable them to move from income insecurity and poverty to economic self-sufficiency and ownership. The organisation has a plan of action to carry this out.

Principle Two: Transparency and Accountability

The organisation is transparent in its management and commercial relations. It is accountable to all its stakeholders and respects the sensitivity and confidentiality of commercial information supplied. The organisation finds appropriate, participatory ways to involve employees, members and producers in its decision-making processes. It ensures that relevant information is provided to all its trading partners. The communication channels are good and open at all levels of the supply chain.

Principle Three: Fair Trading Practices

The organisation trades with concern for the social, economic and environmental well-being of marginalised small producers and does not maximise profit at their expense. It is responsible and professional in meeting its commitments in a timely manner. Suppliers respect contracts and deliver products on time and to the desired quality and specifications.

Fair Trade buyers, recognising the financial disadvantages faced by Producers and Suppliers of FT products, ensure orders are paid on receipt of documents or as mutually agreed. For Handicraft FT products, an interest free pre-payment of at least 50 % is made on request. For Food FT products, pre-payment of at least 50% at a reasonable interest is made if requested. Interest rates that the suppliers pay must not be higher than the buyers' cost of borrowing from third parties. Charging interest is not required.

Where southern Fair Trade suppliers receive a pre-payment from buyers, they ensure that this payment is passed on to the producers or farmers who make or grow their Fair Trade products.

Buyers consult with suppliers before cancelling or rejecting orders. Where orders are cancelled through no fault of producers or suppliers, adequate compensation is guaranteed for work already done. Suppliers and producers consult with buyers if there is a problem with delivery, and ensure compensation is provided when delivered quantities and qualities do not match those invoiced.

The organisation maintains long term relationships based on solidarity, trust and mutual respect that contribute to the promotion and growth of Fair Trade. It maintains effective communication with its trading partners. Parties involved in a trading relationship seek to increase the volume of the trade between them and the value and diversity of their product offer as a means of growing Fair Trade for the producers in order to increase their incomes. The organisation works cooperatively with the other Fair Trade Organisations in country and avoids unfair competition. It avoids duplicating the designs of patterns of other organisations without permission.

Fair Trade recognises, promotes and protects the cultural identity and traditional skills of small producers as reflected in their craft designs, food products and other related services.

Principle Four: Fair Payment

A fair payment is one that has been mutually negotiated and agreed by all through on-going dialogue and participation, which provides fair pay to the producers and can also be sustained by the market, taking into account the principle of equal pay for equal work by women and men. The aim is always the payment of a Local Living Wage. Fair Payment is made up of Fair Prices, Fair Wages and Local Living Wages.

- **Fair Prices:**

A Fair Price is freely negotiated through dialogue between the buyer and the seller and is based on transparent price setting. It includes a fair wage and a fair profit. Fair prices represent an equitable share of the final price to each player in the supply chain.

- **Fair Wages:**

A Fair Wage is an equitable, freely negotiated and mutually agreed wage, and presumes the payment of at least a Local Living Wage.

- **Local Living Wage:**

A Local Living Wage is remuneration received for a standard working week (no more than 48 hours) by a Worker in a particular place, sufficient to afford a decent standard of living for the Worker and her or his family. Elements of a decent standard of living include food, water, housing, education, health care, transport, clothing, and other essential needs, including provision for unexpected events.

Principle Five: Ensuring no Child Labour and Forced Labour

The organisation adheres to the UN Convention on the Rights of the Child, and national/local law on the employment of children. The organisation ensures that there is no forced labour in its workforce and/or members or homeworkers.

Organisations who buy Fair Trade products from producer groups either directly or through intermediaries ensure that no forced labour is used in production and the producer complies with the UN Convention on the Rights of the Child, and national/local law on the employment of children. Any

involvement of children in the production of Fair Trade products (including learning a traditional art or craft) is always disclosed and monitored and does not adversely affect the children's well-being, security, educational requirements and need for play.

Principle Six: Commitment to Non Discrimination, Gender Equity and Women's Economic Empowerment, and Freedom of Association

The organisation does not discriminate in hiring, remuneration, access to training, promotion, termination or retirement based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, HIV/AIDS status or age.

The organisation has a clear policy and plan to promote gender equality that ensures that women as well as men have the ability to gain access to the resources that they need to be productive and also the ability to influence the wider policy, regulatory, and institutional environment that shapes their livelihoods and lives. Organisational constitutions and by-laws allow for and enable women to become active members of the organisation in their own right (where it is a membership based organisation), and to take up leadership positions in the governance structure regardless of women's status in relation to ownership of assets such as land and property. Where women are employed within the organisation, even where it is an informal employment situation, they receive equal pay for equal work. The organisation recognises women's full employment rights and is committed to ensuring that women receive their full statutory employment benefits. The organisation takes into account the special health and safety needs of pregnant women and breast-feeding mothers.

The organisation respects the right of all employees to form and join trade unions of their choice and to bargain collectively. Where the right to join trade unions and bargain collectively are restricted by law and/or political environment, the organisation will enable means of independent and free association and bargaining for employees. The organisation ensures that representatives of employees are not subject to discrimination in the workplace.

Principle Seven: Ensuring Good Working Conditions

The organisation provides a safe and healthy working environment for employees and/or members. It complies, at a minimum, with national and local laws and ILO conventions on health and safety. Working hours and conditions for employees and/or members (and any homeworkers) comply with conditions established by national and local laws and ILO conventions.

Fair Trade Organisations are aware of the health and safety conditions in the producer groups they buy from. They seek, on an on-going basis, to raise awareness of health and safety issues and improve health and safety practices in producer groups.

Principle Eight: Providing Capacity Building

The organisation seeks to increase positive developmental impacts for small, marginalised producers through Fair Trade.

The organisation develops the skills and capabilities of its own employees or members. Organisations working directly with small producers develop specific activities to help these producers improve their management skills, production capabilities and access to markets - local/regional/international/Fair Trade and mainstream as appropriate. Organisations which buy Fair Trade products through Fair Trade intermediaries in the South assist these organisations to develop their capacity to support the marginalised producer groups that they work with.

Principle Nine: Promoting Fair Trade

The organisation raises awareness of the aim of Fair Trade and of the need for greater justice in world trade through Fair Trade. It advocates for the objectives and activities of Fair Trade according to the scope of the organisation. The organisation provides its customers with information about itself, the products it markets, and the producer organisations or members that make or harvest the products. Honest advertising and marketing techniques are always used.

Principle Ten: Respect for the Environment

Organisations which produce Fair Trade products maximise the use of raw materials from sustainably managed sources in their ranges, buying locally when possible. They use production technologies that seek to reduce energy consumption and where possible use renewable energy technologies that minimise greenhouse gas emissions. They seek to minimise the impact of their waste stream on the environment. Fair Trade agricultural commodity producers minimise their environmental impacts, by using organic or low pesticide use production methods wherever possible.

Buyers and importers of Fair Trade products give priority to buying products made from raw materials that originate from sustainably managed sources, and have the least overall impact on the environment.

All organisations use recycled or easily biodegradable materials for packing to the extent possible, and goods are dispatched by sea wherever possible.

FishForward 2 Project Overview:

> 800 Million

people depend on fish as a source of food, nutrition and income mainly from developing nations.

EU

is the biggest market and importer of seafood in the world



17

project partner countries including developing countries namely South Africa, Philippines, India, Turkey and Tunisia.

By 2020

consumer and corporate sector in Europe are responsible by choosing sustainable seafood.