METHODOLOGY TO IMPROVE FOOD, NUTRITION, AND LIVELIHOOD SECURITY
PRINCIPLE 3 OF THE MONTEREY FRAMEWORK

OPERATIONALIZING AN ENTERPRISE-WIDE RIGHTS-BASED APPROACH

Businesses from each segment of food supply chains (producers, processors, buyers, suppliers, brands, and retailers) have a responsibility to ensure their policies are not just reflective of good labor practices, but have explicit gender equality and equity considerations, and protections from gender-based violence. In the seafood sector, businesses must also consider impacts on small-scale fisheries and their communities, such as respect of customary rights and tenure, and rights to nutritious food and decent work.

Demonstrating company respect for all human rights, including food, nutrition, and livelihoods better reflects the diverse and complex realities faced by people in specific contexts and allows implementation priorities to differ from location to location. A human rights approach can enhance sustainable development and social justice, reduce social risk, and strengthen the long-term security of livelihoods and the sustainable realization of economic and social rights.

SEAFOOD SECTOR SNAPSHOT

- Fisheries and aquaculture play a crucial role for food security and nutrition—directly by providing healthy and highly nutritional food and indirectly by providing income.
- Increasingly, the seafood sector is threatened by many challenges—such as increased global demand for fish, competition over water and coastal areas, overexploitation of resources, and
impacts of climate change—that jeopardize the food and livelihood security of millions of people and coastal dependent nations.

- These challenges also threaten countries and communities dependent on the seafood sector for economic development and food security (i.e., Pacific Island countries where more than 50% of the Western and Central Pacific Ocean tuna catch is taken).
- Food security, nutrition, and livelihoods concerns are not well factored into fisheries-related policy measures due to the overall lack of knowledge about their linkages as well as poor coordination across the respective policy domains.

**FOOD, NUTRITION, AND LIVELIHOOD SECURITY CONSIDERATIONS**

With the recommendations in this methodology, industry can make significant strides towards improving human rights and stand out among its peers that have not yet focused on food and livelihood security in seafood supply chains. Investigation of industry impacts in the seafood sector may bring up the following questions:

1. Where might activities of the company impact livelihoods and food security (e.g., restrictions on access to natural resources or modification of the local economy inclusive of impacts for small-scale fisheries and fishing communities)?
2. When found, can operations be modified to avoid those impacts?
3. Do livelihood and food security impacts arise solely from the company’s activities, or is there a cumulative impact due to operations of other companies or operating jurisdiction, as well?
4. If the latter, what kind of sector or regional cooperation could help to address these impacts?

Assessing and addressing the enterprises human rights impacts related to food and livelihood security include the following initial steps:
STEP 1: UNDERSTAND AND SUPPORT THE RIGHTS OF INDIGENOUS PEOPLES AND LOCAL COMMUNITIES

Respecting the rights of Indigenous Peoples and local communities in all production, sourcing, and financial investments includes, among others, the rights to life and physical integrity of these peoples, communities, and their members against the occurrence or threat of violence, retaliatory litigation, and other forms of harassment.

Before taking action, it is essential to understand the principles of Free, Prior and Informed Consent (FPIC) and ensure the principles are upheld within the company’s process. FPIC is a specific right that pertains to indigenous peoples and is recognized in the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP). It allows them to give or withhold consent to a project that may affect them or their territories. Once they have given their consent, they can withdraw it at any stage. Furthermore, FPIC enables them to negotiate the conditions under which the project will be designed, implemented, monitored, and evaluated. This is also embedded within the universal right to self-determination.
To uphold the rights of Indigenous Peoples and local communities, companies can:

1. Carry out operations consistent with the UN Declaration on the Rights of Indigenous Peoples.

2. Identify and respect Indigenous Peoples' and local communities' formal and customary rights to lands, territories, and resources in the context of any company activity. This includes rights to own, occupy, use, and administer these lands, territories, and resources.

3. Ensure that, prior to any activity that may affect Indigenous Peoples’ and local communities’ rights, land, resources, territories, livelihoods, and food security, their free, prior and informed consent (FPIC) is secured. This is done in a culturally appropriate manner, in accordance with the traditions, norms, and values of these peoples and communities, and through the representatives and institutions they choose.

4. Ensure that where production or conservation uses impinge on their rights, lands, resources, territories, livelihoods, or food security, Indigenous Peoples and local communities are compensated or accommodated through appropriate measures reflecting the negotiated outcomes of an FPIC process. These measures may include continued access to these lands, territories and resources; just and fair compensation; and/or an equitable share in the benefits from such uses.

5. Take measures to provide remediation through mutually agreed procedures in cases where the company has caused or contributed to appropriation of or harm to the lands, territories, or resources of Indigenous Peoples or local communities without securing FPIC.

**TAKE ACTION**

1. Communicate internally about company commitment to internationally recognized human rights, including to recognize and respect diverse social, cultural, and political contexts; identify and consider all rights holders and stakeholders; acknowledge and respect pre-existing access rights and tenure; and recognize and affirm sovereignty, autonomy and self-determination.

2. Consider online training for staff, such as Free, Prior and Informed Consent (FPIC). An indigenous peoples’ right and a good practice for local communities.

3. Review requirements, best practices, and practical considerations for companies to fulfill their obligation to secure the FPIC of Indigenous Peoples and Local Communities including guidance from the FAO's Manual for Project Practitioners and the Accountability Framework’s Operational Guidance on Free, Prior and Informed Consent.

4. Review existing company policies and practices for language and priorities that support and protect the rights of frequently marginalized groups.

5. Develop clear internal guidance and a process to ensure and document FPIC from appropriate rights holders and authorities.
6. Provide clear guidance and capacity building to partners on when, how, and from whom to confirm FPIC during ongoing planning and management.

**STEP 2: MAP SUPPLY CHAINS AND IDENTIFY ISSUES AT A NATIONAL LEVEL**

Companies are expected to meet their responsibility to respect human rights, as stated in the UN Guiding Principles. The UNGP’s expect companies to proactively identify and address potential human rights impacts throughout their supply chains, not only in its own operations and immediate contractual relationships.

Mapping each step in the chain includes identifying the type and number of entities in a particular step, and their geography. These data allow companies to assess where people’s human rights can be impacted and how companies may be involved with particular human rights risks.

The mapping process also confirms who needs to be involved in addressing impacts—for example a particular supplier or contractor. With a full visualization of companies’ seafood supply chains including fishing vessels, hatcheries, feed mills, farms, and final processing facilities, informed discussions regarding leverage and capacity building can determine how they can be most effectively applied to address human rights impacts.

First, supply chain data should be analyzed at the country level, obtaining a snapshot of the current food and nutrition situation and where food-insecure communities depend on the seafood sector for their livelihood and/or access to food.

Several publicly available analytic tools (examples below) track national-level estimates of food security. These are useful for cross-national comparisons and monitoring changes in macro-level trends (e.g., for monitoring progress toward achieving the Sustainable Development Goals). Others are intended to monitor regional changes over time, contributing to early warning and global monitoring systems.

- The [2020 Global Hunger Index by Severity](#) aims to measure hunger using 3 equally weighted indicators—undernourishment, child underweight, child mortality. Countries are ranked on a 100-point scale and categorized as having “low” to “extremely alarming” hunger. Data for the child mortality and undernourishment components of the index come from UNICEF and the FAO, respectively. The child underweight component of the index comes from 3 sources: the WHO Global Database on Child Growth and Malnutrition, Demographic and Health Survey data, and UNICEF’s Multiple Indicator Cluster Survey reports.

- The [Global Food Security Index (GFSI)](#) is a multi-dimensional tool for assessing country-level trends in food security. It was designed by the Economist Intelligence Unit (one of several
companies of the publicly traded multinational, the Economist Group) and sponsored by DuPont. The index uses a total of 30 indicators within 3 domains of food security, affordability, availability, and quality and safety, to provide a standard against which country-level food security can be measured. Similar to other national-level metrics, the GFSI ranks the performance of countries in achieving food security, but it does so using quantitative and qualitative indicators that reflect not only food availability, but food access (e.g., food consumption as a proportion of total household expenditure, proportion of population living under or close to the global poverty line, food prices) and diet quality (e.g., dietary availability of micronutrients).

- The Famine Early Warning System Network (FEWS NET) is a network of international and regional partners funded by USAID that produces monthly food security updates for 25 countries. The intent is to serve as early warning system and assist governments and food relief agencies in planning for food emergencies. It monitors changes over time via monthly reports on current and projected food insecurity and provides evidence-based analysis to support decision makers in mitigating food insecurity. FEWS NET was initially created to help avert emergency famine situations such as those that occurred in Sudan and Ethiopia in the mid-1980s. However, the network has since evolved to monitor not only droughts and crop failures that cause acute food insecurity but also the underlying causes of chronic food insecurity, such as persistent poverty and livelihood vulnerability.

- The Integrated Food Security Phase Classification (IPC) is a set of protocols for broadly assessing the food security situation within a given region. The IPC draws upon data from a wide range of sources to establish common classifications, or phases, for the severity and magnitude of food insecurity in specific contexts. The purpose of the IPC, then, is to identify the severity and magnitude of food insecurity in a given region, compare food security outcomes, and identify strategic action objectives across contexts based on these classifications. The IPC relies on Demographic and Health Survey and Multiple Indicator Cluster Survey data, data from household budget surveys, and consultations with government and nongovernmental organization authorities. The IPC mapping tool is a quick way to visualize countries color-coded by the latest IPC classification for both Acute Food Insecurity (AFI) and Chronic Food Insecurity (CFI) scales.

In addition to their voluntary commitments, companies must comply with applicable law and respect internationally recognized human rights. Indigenous Peoples and local communities’ customary rights to their lands, resources, and territories are not contingent on state recognition: The collective human right to property of IP/LC exists and must be respected by companies regardless of whether the state has recognized this right through the issuance of a title or other legal act. Therefore, challenges and claims against a company for violating IP/LC property rights can be sustained regardless of whether the IP/LC property right is formally recognized.
A company's assessment of the applicable laws should clarify whether the legal framework within which it is working will facilitate, or place at risk, its fulfillment of voluntary commitments—including where legal compliance may facilitate respect for IP/LC fundamental rights and where it may risk undermining such rights or lead to adverse impacts.

**TAKE ACTION**

1. Map supply chains.
2. Select the national level indicators companies will use to prioritize where initial investigation is most needed.
3. Refer to the [Guidance on Voluntary Commitments and Applicable Law](#) to help companies design procedures to identify and assess applicable law or to review its existing procedures related to such assessment.

**STEP 3: INVESTIGATE SEVERITY OF IMPACTS AT A REGIONAL OR COMMUNITY LEVEL**

In addition to desk-based research and public analytical tools, anticipated impacts and the severity of impacts may be validated by engaging directly with individuals and local communities. Conducting an assessment on-the-ground will help companies to:

1. Better understand local food and livelihood systems.
2. Inform the setting of goals to improve companies’ impacts on these systems.
3. Inform decision-making about policies and actions to improve food and livelihood security.
4. Establish an impact monitoring system with a clear set of indicators.

Investigation of nutrition and livelihoods within fisheries and aquaculture may include questions such as:

- Are supply chains operations in a food insecure country and/or within or adjacent to a food insecure community?
- Is the fishery/farm operating offshore a marine resource-dependent community or fishing for the same resource as the local community (either directly as target catch or indirectly as bycatch)?
- Is the majority of catch landed by the fishery/farm destined for export or distant markets, and thus not available for local consumption?

To assess presences and severity of impacts within a community or fishery, Conservation International's [Social Responsibility Assessment Tool for the Seafood Sector (SRAT)](#) is a useful
diagnostic or rapid assessment tool to assess risk of social issues and to identify areas in need of improvement. Each Social Responsibility principle comprises a set of Components, Performance Indicators (PIs) (Table 1) and Scoring Guideposts (SGs). The scoring guideposts incorporate all the scoring elements or scoring issues required at each guidepost.

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Conservation International has also provided a sister tool—the Guide to Data Collection. On-the-ground assessment teams must have local representation and social science or human rights expertise. Data collection may involve secondary data, primary data, or both, and thus will require time in the field interacting with the fishery and the workers. The document provides guidance on where to find information in the case of secondary data collection and provides sample survey/interview questions in the case of primary data collection. It is important to note that each interview question will need to be adapted to meet the needs of local context, culture, and language. Ultimately, data gathered during the initial assessment will inform the development of the improvement plans with local stakeholders for driving social change.

The SRAT also highlights three food and nutrition insecurity indicators that can help complete the assessment.

- **Country-level food and nutrition insecurity indicator:** Undernourishment Indicator—measures the share of the population which has a caloric (dietary energy) intake which is insufficient to meet the minimum energy requirements defined as necessary for a given population (UN FAO State of Food Security and Nutrition in the World: [www.fao.org/state-of-food-security-nutrition/en/](http://www.fao.org/state-of-food-security-nutrition/en/)).

- **The Food Insecurity Experience Scale (FIES) is a list of eight questions referring to the experiences of an individual or household associated with increasing difficulties in accessing food due to resource constraints. During the last 12 months, was there a time when, because of lack of money or other resources:**

  ![Food Insecurity Experience Scale](image)

- **In addition, the SRAT suggests a gender-specific food and nutrition insecurity indicator—the Minimum Dietary Diversity Indicator for Women of Reproductive Age (MDDI-W)—a food group diversity indicator that has been shown to reflect micronutrient adequacy, summarized across 11 micronutrients, for women of reproductive age who are often nutritionally vulnerable because of the physiological demands of pregnancy and lactation.**

**TAKE ACTION**

1. Select regions, communities, or fisheries where on the ground validation and measurement of impact severity is most needed.
2. Work with Conservation International to put together an appropriate team of assessors for that location or community.

**STEP 4: IMPLEMENT ACTIVITIES TO AVOID AND MITIGATE HARMs**

Based on the information generated by the national, regional, and community level assessments, companies can define adequate and effective practices, actions, and mitigation measures to respect rights to livelihoods and food security.

- Mitigation measures should be integrated into companies’ management plans, fully implemented, monitored, and verified to assess outcomes and take corrective actions as needed.

- Where a company has caused or contributed to the appropriation of or harm to the lands, territories, or resources of IP/LC without an effective FPIC process, an effective remedy should be provided, based on an agreement reached through an FPIC process. See the Operational Guidance on Remediation and Access to Remedy.

- Grievance mechanisms should be designed to help bring to light any risks or adverse impacts to Indigenous People and local community livelihoods or food security that occur during the course of company operations. For more information on grievance mechanisms, see the Accountability Framework’s Operational Guideline on Remediation and Access to Remedy.

- Companies at different stages of the supply chain may have different degrees of leverage, ability, access, and direct influence to assess needs and implement measures to respect the rights of food and livelihood security. To help ensure respect for these rights, refer to the Accountability Framework’s Operational Guidance on Respecting the Rights of Indigenous Peoples and Local Communities.

**ROLES FOR PRODUCERS AND PRIMARY PROCESSORS**

1. Ensure that there is a detailed company policy to respect the rights of IP/LC. If the company has suppliers, the policy should be conveyed to these entities, and its objectives and requirements reflected in contracting arrangements.

2. Ensure that site managers, procurement and contracting officers, and suppliers are well-versed in the company’s commitments and other instruments to protect IP/LC rights, such as applicable law.

3. Develop and implement action plans that define the specific, on-the-ground activities that will be implemented to avoid, correct, mitigate, remedy, and otherwise address actual or potential non-compliances related to IP/LC rights.

4. Develop and implement supplier engagement plans to address suppliers’ noncompliance related to IP/LC rights.
5. Develop and implement an Indigenous Peoples/Local Communities Plan when there are IP/LC that may be affected by the activities of the company or its suppliers.

6. Establish an effective company grievance mechanism capable of addressing negative impacts to IP/LC rights.

7. Contribute effectively to consultations and Free, Prior and Informed Consent (FPIC) processes led or overseen by states.

8. Establish protocols for sharing information with downstream buyers regarding matters such as risk assessments, mitigation measures, grievances and their resolution, monitoring and verification results, and stakeholder engagements (including FPIC processes).

**ROLES FOR DOWNSTREAM COMPANIES**

1. Ensure that there is a detailed company policy to respect the rights of IP/LC.

2. The company’s policy should be conveyed to its suppliers and its objectives and requirements reflected in contracting arrangements, procurement policies, and supplier engagement plans where applicable. Communication, policies, and procedures related to suppliers should identify repercussions for non-compliance with the company’s human rights commitments as well as support, benefits, or incentives that the buyer can offer to facilitate and reward progress.

3. Provide language related to the respect for IP/LC rights for use in institutional governance documents (including for subsidiaries) and their trustees or directors.

4. Assign executive-level responsibility to ensure that all corporate-level policies and operations are consistent with applicable law (including UNDRIP). Track, measure, incentivize, and communicate internally about delivery of this executive responsibility across the company’s supply chain.

5. Establish an effective company grievance mechanism capable of addressing negative impacts to IP/LC rights that the company caused or contributed to in its capacity as a buyer.

6. Establish mechanisms to secure information from upstream suppliers regarding risks, compliance, and performance of these suppliers related to IP/LC rights, and to audit or otherwise verify this information as necessary.

7. Provide training to relevant staff (e.g., in the procurement, management, legal, and sustainability teams) regarding the rights of IP/LC and how to respect them, consistent with applicable law and UNDRIP.

8. At the corporate level, employ a risk-based approach to identify countries and subnational jurisdictions where adverse impacts to IP/LC rights are more likely to occur, and prioritize action accordingly to ensure respect for IP/LC rights in these contexts.
9. Provide expertise and practical resources for operational level business units (e.g., country or commodity sourcing teams) to help ensure efficient and high-quality assessments, studies, monitoring, reporting, and effective stakeholder engagement of IP/LC related to company operations across the entire company.

10. Ensure that the company's suppliers have adequate social baseline and applicable law assessments, land tenure studies, land use studies, FPIC protocols, and IP/LC Plans in place where IP/LC rights may be impacted. Where the risks of impacts are greater, consider whether the downstream company itself should conduct its own studies at a broader level to adequately characterize risk and determine where proactive engagement is needed to ensure respect for IP/LC rights.

Where impacts are found, companies can focus on reducing impacts on and better supporting small-scale fisheries, while improving sourcing practices. Within ethical supply chains, the inclusion of small-scale fishers and producers are considered "essential to help support producer livelihoods, increase productivity, avoid displacement of social and environmental impacts, and ensure stable commodity supplies". Reference the Accountability Framework's guidance on Smallholder Inclusion in Ethical Supply Chains to identify how companies may facilitate smallholder inclusion in ethical supply chains through contextualized implementation of supply chain commitments.

**TAKE ACTION**

1. Review roles for downstream companies and assess existing gaps in policies and practices.

2. Communicate with producers and primary processors about their roles and assess existing gaps.

3. Review existing grievance mechanisms and ensure they are effective and useful in bringing up any risks or adverse impacts to Indigenous People and local community livelihoods or food security—including social, cultural, linguistic and logistical considerations

4. Ensure policies and practices include smallholder-appropriate guidelines for traceability, supplier engagement and support, and assessment and retention of non-compliant suppliers.

5. Develop, disseminate and deliver training and capacity building materials on social and environmental safeguards to local implementing partners.

**STEP 5: ENCOURAGE PEER TO PEER LEARNING NETWORKS**

Food security and nutrition has risen to the top of the global political agenda, and stands as Goal 2 of the Sustainable Development Goals, to “end hunger, achieve food security and improved nutrition”. The fisheries sector is crucial to food and nutrition security, and its importance is growing. The right local partnerships will help ensure that small scale fishery/farms and local or Indigenous Communities are consulted and involved in any interventions or improvement processes.
Critically, at the regional or community level, highly collaborative multi-stakeholder partnerships will help ensure that companies’ interventions make livelihoods more productive and sustainable. For example, companies often work in close collaboration with NGOs and target communities. One highlighted story is around Partners in Food Solutions (PFS) and their efforts improving food security in Africa. Building on existing efforts like these, a company can expand its local partnerships and continue to formally assess and improve its impacts. Local organizations interact directly and extensively with target communities who have the final say in major decisions—ensuring that the interventions are suited to their needs and thus have the best chance of sustained success in the long run.

Other organizations—academic, technical service providers, financial institutions, etc. from both the public and private sectors—may be brought in as required so that the best appropriate expertise is made available.

In addition, companies should participate in global peer-to-peer learning platforms where businesses can acquire tools and best-practices from fellow corporations and begin to positively shape operating environments. Sharing best practice as to how businesses should deal with specific marginalized groups and local cultural practices which may not be in line with global sustainability standards will also strengthen existing tools and initiatives. On a national or international scale, the right partnerships can also leverage resource sharing and corporate learning at systemic levels via tripartite collaborations.

Companies are well positioned to support and advance this work in a collaborative manner. While a company may choose to first focus on supporting suppliers and producers within its operations to meet expectations related to respecting fundamental human rights, future collaborations may include:

- Working in partnership with governments, multilateral organizations and civil society groups to develop long-term solutions that build resilience across the global food system and in local communities.
- Advocating for policies that increase overall food security and support of agricultural or aquaculture development.
- Partnering with NGOs and humanitarian orgs to address hunger, food waste, food safety and other issues.
- Working with partner organizations and unions in seafood producer countries to understand the impact on seafood workers and their communities. For example, worker unions may report that they are currently facing increased hardship, hunger, and health-risks due to the global pandemic.
TAKE ACTION

1. Identify and prioritize local, regional, national, and international partnerships that can help companies assess and address impacts and learn alongside other corporate entities.

2. Cultivate opportunities that increase local benefits and improve human wellbeing.

3. Encourage and support local participation, leadership, and capacity for management.
**Community**: In this context, community is not necessarily only a spatially bound, homogenous and organized social unit, as many fishing dependent communities are migrant, nomadic, or temporary. Likewise, we recognize the complexity occurring within communities across gender, ethnicity, class, political, and religious status, resulting in differential access to benefits from fishing/farming.

**Equality**: The same status, rights, and responsibilities for all members of a society, group, or family; giving everyone the same resources regardless of their relative ability to benefit. **Equity**: An equal opportunity to benefit; giving everyone the resources they need to derive the same benefit.

**Food insecure country**: A country with a Serious, Alarming, or Extremely Alarming rating on the International Food Policy Research Institute’s Global Health Index.

**Food and nutrition security**: when all people at all times have physical, social and economic access to food, which is consumed in sufficient quantity and quality to meet their dietary needs and food preferences, and is supported by an environment of adequate sanitation, health services and care, allowing for a healthy and active life (FAO 2013), in consideration of differences in nutritional requirements for women and children.

**Grievance mechanism**: A formal, legal or non-legal (or ‘judicial/non-judicial’) complaint process that can be used by individuals, workers, communities and/or civil society organizations that are being negatively affected by certain business activities and operations (SOMO). In order to ensure their effectiveness, grievance mechanisms must be legitimate, accessible, predictable, equitable, transparent, rights-compatible, a source of continuous learning, and based on engagement and dialogue. A grievance mechanism can only serve its purpose if the people it is intended to serve, know about it, trust it, and are able to use it (*For detailed information see UN Guiding Principles on Businesses and Human Rights, Articles 25-31).

**Livelihood**: A livelihood comprises the capabilities, assets (including both material and social resources) and activities required for a means of living. It is considered sustainable when it can cope with and recover from stresses and shocks, and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resources base on which it relies.

**Livelihoods security**: Livelihood security refers to the absence of objective threats to livelihood preservation and/or subjective fears that livelihood preservation may be undermined. It requires maintaining the conditions under which each livelihood group can live from their activities.
Marginalized group: A group relegated to an unimportant or powerless position within a society (i.e., migrant workers, women and girls, ethnic or religious minorities, etc.).

Small-scale fishery/farm: A broad category characterized by low-capital, low-technology, labor-intensive harvesting methods. In wild capture, trips are typically close to shore, with up to 5-6 crew members. In farms, family ownership with no permanent workforce is characteristic. “The small-scale fisheries sector tends to be firmly rooted in local communities, traditions, and values. Many small-scale fishers are self-employed and usually provide fish for direct consumption within their households or communities. Women are significant participants in the sector, particularly in post-harvest and processing activities. It is estimated that about 90% of all people directly dependent on capture fisheries work in the small-scale sector. As such, small-scale fisheries serve as an economic and social engine, providing food and nutrition security, employment and other multiplier effects to local economies while underpinning the livelihoods of riparian communities” (Def. from UN FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries). Exact definitions of small-scale fisheries vary based on country.