January 29, 2018

Revised March 6, 2018: **The Seafood Slavery Risk Tool's country** criteria have been revised. The revision does not change the HIGH RISK rating for this fishery because Japan still does not meet the country criteria due to enforcement.

Revised August 22, 2018: In the 2018 U.S. Department of State's Trafficking in Persons Report (TIP), Japan was upgraded from Tier 2 to Tier 1. The TIP rating change does not change the HIGH RISK rating for the Japan albacore fishery.

#### Profile Name<sup>1</sup> and Risk Rating

Species <sup>2</sup>	Country <sup>3</sup>	Risk rating
Albacore Tuna	Japan	HIGH

- 1. Profile names denote species name and country.
- 2. The Seafood Slavery Risk Tool uses the Food and Agriculture Organization's (FAO) species names. For scientific and other species names, please see below.
- 3. "Country" refers to the flag state of vessels and/or the country where the catch is landed. The Seafood Slavery Risk Tool uses <u>FAO data</u> as its primary source for determining this information.

#### Profile Fishery Information

Other species names	Albacore, <i>Thunnus alalunga</i> (Albacore are typically caught with other species of tuna.)
Risk rating	HIGH

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Location

Parts of the North Pacific Ocean, Philippine Sea, Eastern China Sea, Japan Sea, and Sea of Okhotsk

FAO fishing area(s)

Major Fishing Area 61, Northwest Pacific



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FAO Major Fishing Areas. PACIFIC, NORTHWEST (Major Fishing Area 61). CWP Data Collection. In: FAO Fisheries and Aquaculture Department [online]. Rome. Updated October 1, 2004. [Cited January 24, 2018].

To view all FAO Major Fishing Areas, see <a href="http://www.fao.org/fishery/area/search/en">http://www.fao.org/fishery/area/search/en</a>.

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Governance	Japan's Exclusive Economic Zone
	Flanders Marine Institute (2016). Maritime Boundaries Geodatabase: Maritime Boundaries and Exclusive Economic Zones (200NM), version 9. Available online at <a href="http://www.marineregions.org/">http://www.marineregions.org/</a> . [Cited January 24, 2018].
Flag state	This assessment only covers Japanese-flagged vessels that catch albacore in Japan's Exclusive Economic Zone. Note that albacore is often caught with other species of tuna.
Method	Hooks and lines For more information, see <u>FAO Fishing Gear Types</u> .

#### **Decision Tree/Evidence**

Is there credible evidence of forced labor, human trafficking, or hazardous child labor in the profile fishery? NO

Source URL	Source type	Year published	Summary of findings	Any remarks on the credibility of this source?
				_

Is there credible evidence of forced labor, human trafficking, or hazardous child labor in the fishing industry of the country? NO

Source URL	Source type	Year published	Summary of findings	Any remarks on the credibility of this source?

Is there credible evidence that forced labor, human trafficking or hazardous child labor exists in a related fishery\* OR in unspecified fisheries? N/A

Source URL	Source type	Year published	Related fishery: Y/N Summary of findings Fishery name, if available	Any remarks on the credibility of this source?

<sup>\*</sup> In related fisheries, species are commonly caught together, species occur together in space and time (species assemblages), and/or species are caught in the same area with similar gear.

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#### Does the country meet the Seafood Slavery Risk Tool's country criteria? NO

Criteria	Sources	Description
Is this country ranked Tier 1 or Tier 2 on the U.S. Department of State Trafficking in Persons report?	U.S. Department of State Trafficking in Persons Report (USDOS TIP Report)	Yes. Tier 1 (2018), pp. 252-255.
Has the country ratified the Palermo Protocol (on human trafficking)?	United Nations (UN) Treaty Collections: Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime	Yes.
Has the country ratified the International Labour Organization's (ILO) conventions on forced and child labor (ILO 29, 105, 138, 182)?	International Labour Organization's (ILO) NORMLEX Database	No. Ratified 29, 138 and 182, but not Convention 105 - Abolition of Forced Labour Convention.
Has the country ratified the Port State Measures Agreement?	FAO: Port State Measures Agreement	Yes.
The country is NOT cited with a yellow or red card for inaction on illegal, unreported, or	EU Rules to Combat Illegal Fishing (IUU)	Yes.

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Criteria	Sources	Description
unregulated fishing by the European Union (EU).		
Does the country have legislation that criminalizes forced labor and human trafficking and protects children from hazardous child labor?	USDOS TIP Report  ILO NATLEX Database	In the 2018 USDOS TIP Report, Japan was upgraded from Tier 2 to Tier 1. The report notes the Government "fully meets the minimum standards for the elimination of trafficking." The report also notes, "Japan did not have a comprehensive antitrafficking statute that included definitions in line with international standards. However, it criminalized sex and labor trafficking offenses through disparate laws pertaining to prostitution of adults and children, child welfare, immigration, and employment standards." See TIP, p. 253 for detailed information.  The ILO's NATLEX Database has no relevant entries other than Ordinance Implementing the Promotion of Youth Employment Law with Respect to Seafarers. Additional information about this ordinance was not found, and the PDF had protections that prevented online translation.
If the country has not ratified any of the ILO conventions listed above, the Palermo Protocol, and/or the PSMA, has equivalent national legislation been enacted and put into force for all non-ratified instruments?*	2017 Country Report on Japan's Human Rights Practices	Yes.  Japan has not ratified ILO Convention 105 (Abolition of Forced Labour), but according to the U.S. Department of State Bureau of Democracy, Human Rights and Labor 2017 Country Report on Japan's Human Rights Practices:  The law prohibits all forms of forced or compulsory labor. The government effectively enforced the law, although there were small segments of the labor market, such as some categories of foreign workers, where violations

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Criteria	Sources	Description
		persisted and enforcement was lacking. Legal penalties for forced labor varied depending on its form, the victim(s), and the law that prosecutors used to prosecute such offenses. Not all forms of forced or compulsory labor were clearly defined by law, nor did they all carry sufficient penalties. For example, for recruitment for forced labor, the law allows maximum punishment of a fine of 200,000 yen (\$1,784), which was not sufficient to deter violations. Some NGOs argued that the legal definition for forced labor cases was too narrow.
Is there credible evidence of effective enforcement of national legislation and obligations under international conventions?*	USDOS TIP Report  The Global Slavery Index 2016  ILO NORMLEX Database: Committee of Experts on the Application of Conventions and Recommendations (CEACR)	No. In the 2018 TIP, Japan was upgraded from Tier 2 to Tier 1. The report notes the <b>Government</b> "fully meets the minimum standards for the elimination of trafficking." The Government increased some law enforcement efforts, increased some efforts to protect victims, and increased efforts to prevent trafficking. However, a deeper dive into the USDOS TIP Report reveals significant improvement is still needed with respect to enforcement, prevention, and victim protection in the <b>country's</b> Technical Intern Training Program (TITP), which places interns in multiple sectors, including fishing. Relevant findings from the 2018 USDOS TIP Report include:
	UN Office of the High Commissioner  Media sources.	Prosecution  The government did not report convicting any individuals for involvement in the forced labor of TITP participants. However, following on-site inspection of TITP implementing organizations, the Labor Standards Office and regional immigration authorities referred 34 cases of "severe" labor abuses to the Public Prosecutor's Office for further criminal investigation (40 referrals to prosecution for lesser violations in 2016); the government did not report whether these cases included forced labor indicators, or whether they culminated in prosecutions. NGOs claimed courts set prohibitively high

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Criteria	Sources	Description
		evidentiary standards for forced labor cases involving foreign victims, thereby stymying appropriate law enforcement action.
		Protection
		Only one victim identified in 2017 was male, and the government has never identified a forced labor victim within the TITP despite substantial evidence of trafficking indicators. Authorities continued to arrest and deport TITP participants—particularly those from Vietnam—who escaped forced labor and other abusive conditions in their contracted agencies.
		Prevention
		Authorities began implementing the 2016 Act on Proper Technical Intern Training and Protection of Technical Intern Trainees (TITP reform law)Despite an increase in inspections leading to a range of administrative and law enforcement actions, NGOs reported the [Organization for Technical Intern Training] was too understaffed to adequately investigate allegations of abuse within such a large program—particularly as the number of participants continued to grow. Observers remained concerned that most TITP participants still did not have the right to change employers once in Japan; some participants reportedly absconded from abusive conditions in their contracted workplaces, thereby violating the terms of their visas and becoming more vulnerable to trafficking in unemployment.
		In an attempt to prevent TITP participants from incurring high debts in their

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Criteria	Sources	Description
		sending countries, the government entered into memoranda of cooperation with Vietnam, Cambodia, India, Laos, Mongolia, and the Philippines, affirming it would accept TITP trainees only from state-approved organizations that would not charge participants excessive fees. However, some sending organizations in these countries were able to circumvent the fee restrictions and still secure their respective governments' approval by charging high "commissions" in lieu of fees; trainees from these countries therefore remained vulnerable to debt bondage once in Japan. The Labor Standards Inspection Office conducted 299 on-site investigations into allegations of TITP employer misconduct, leading to "corrective notifications" for 213 organizations and at least four ongoing criminal investigations for "severe abuses." The MOJ also banned three companies, 27 supervising organizations, and 183 implementing organizations from receiving TITP interns in 2017, compared with two, 25, and 202, respectively, in 2016.
		Trafficking Profile
		Cases of forced labor occur within the TITP, a government-run program originally designed to foster basic technical skills among foreign workers that has effectively become a guest-worker program. TITP participants from Burma, China, Cambodia, and Vietnam pay sending organizations in their home countries up to \$10,000 in excessive fees, deposits, or vague "commissions"—despite new international agreements aimed at curbing the practice—to secure jobs in fishing, construction, and manufacturing. Many participants are placed in jobs that do not teach or develop technical skills, contrary to the program's original intent; others are placed in jobs that do not

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Criteria	Sources	Description
		match the duties they agreed upon beforehand. Some of these workers experience restricted freedom of movement, passport confiscation, threats of deportation, and other conditions of forced labor. Some sending organizations require participants to sign "punishment agreements" charging thousands of dollars in penalties if they fail to comply with their labor contracts. Some participants who abscond from their contracted TITP jobs are reportedly subjected to sex trafficking. (Emphasis added)
		The 2018 USDOS TIP findings concerning the Technical Intern Training Program are reaffirmed in the 2018 Global Slavery Index's (GSI) Japan Country Study. In addition, the 2018 GSI includes a new Fisheries analysis, which concludes that Japan's fishing industry has a high risk for modern slavery. In addition, the 2018 GSI includes a new Fisheries analysis, which concludes that Japan's fishing industry has a high risk for modern slavery.
		Like the 2016 rating, the 2018 GSI rates the Government's Response as CCC, which indicates a "government has a limited response to modern slavery, with limited victim support services, a criminal justice framework that criminalises some forms of modern slavery, and has policies that provide some protection for those vulnerable to modern slavery" For the full explanation of this rating, see GSI: How Did We Measure Government Responses?
		In 2016, the ILO's Committee of Experts on the Application of Conventions and Recommendations (CEACR) followed up on previous comments regarding Japan's

<sup>&</sup>lt;sup>1</sup> "Japan Country Study" (The Global Slavery Index, 2018), <a href="https://www.globalslaveryindex.org/2018/findings/country-studies/japan/#footnote:marker:56">https://www.globalslaveryindex.org/2018/findings/country-studies/japan/#footnote:marker:56</a>.

<sup>2</sup> "Fishing" (The Global Slavery Index, 2018), <a href="https://www.globalslaveryindex.org/2018/findings/importing-risk/fishing/">https://www.globalslaveryindex.org/2018/findings/importing-risk/fishing/</a>.

Criteria	Sources	Description
		Technical Intern Training Program. CEACR's Observation describes reforms to the program. It also notes that the Labor Union of Migrant Workers has observed that despite the changes, abuses persist. In its Observation, the CEACR requested that the Government take steps to strengthen protections for foreign interns, provide information about inspections and provide statistics "on the number and nature of the violations reported, the number of cases that have led to prosecution and convictions, with an indication of the situations that gave rise to these convictions." (Emphasis added)
		The most recent report from the UN Human Rights Committee was in 2014. The Committee observed in its Sixth Period report of Japan that "despite the legislative amendments introduced to extend labour legislation to foreign technical interns, 'there are still a large number of reports of sexual abuse, labour-related deaths and conditions that could amount to forced labour in the technical intern training programme' and it requested the Government to 'consider replacing the current programme with a new scheme that focuses on capacity building rather than recruiting low-paid labour.'" (Emphasis added)

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<sup>&</sup>lt;sup>3</sup> "Observation (CEACR) - Adopted 2015, Published 105th ILC Session (2016) Forced Labour Convention, 1930 (No. 29)," International Labour Organization, 2016,

http://www.ilo.org/dyn/normlex/en/f?p=1000:13100:0::NO:13100:P13100 COMMENT ID,P11110 COUNTRY ID,P11110 COUNTRY NAME,P11110 COMMENT YEAR:3256111,102729,Japan,2015.

<sup>&</sup>lt;sup>4</sup> "Concluding Observations on the Sixth Periodic Report of Japan" (United Nations Human Rights Committee, 2014), http://docstore.ohchr.org/SelfServices/FilesHandler.ashx?enc=6QkG1d%2fPPRiCAqhKb7yhsuBJT%2fi29ui%2fb4lh9%2fUlJO9nQa93BoyOcroOoLTDvEPGY0kpzt yF26TNPPD6smh3p9YJ5KgXGu0vYZb1NM8mpET5PRv%2fLCx0HP6sZ3QjgcWI.

Criteria	Sources	Description
		A 2017 Japan Times article reports that the Labor Ministry has found the "number of factories, offices and other businesses nationwide where violations were found came to 4,004, the highest level since 2003, the year such data was first collected In addition, joint probes carried out by the labor ministry and regional immigration bureaus of the Justice Ministry investigated 23 businesses for suspected human rights abuses involving forced labor, violence and confinement."
		A report by the Institute for Human Rights and Business <sup>6</sup> (IHRB) entitled, <u>Learning Experience? Japan's Technical Intern Training Programme and the Challenge of Protecting the Rights of Migrant Workers</u> (PDF), includes data on the types of human rights and labor abuses workers have experienced. The data is from the 2016 annual reports of Ministry of Health, Welfare and Labor's Labour Standards Inspection Office and the Ministry of Justice's Immigration Bureau. <sup>7</sup>

<sup>&</sup>lt;sup>5</sup> "Record 4,004 Firms with Trainees from Abroad Found to Have Violated Labor Laws in 2016," *The Japan Times*, August 10, 2017, <a href="https://www.japantimes.co.jp/news/2017/08/10/national/record-4004-firms-trainees-abroad-found-violated-labor-laws-2016/#.WiTKdkrtyUk.">https://www.japantimes.co.jp/news/2017/08/10/national/record-4004-firms-trainees-abroad-found-violated-labor-laws-2016/#.WiTKdkrtyUk.</a>

<sup>&</sup>lt;sup>6</sup> According to the organization's website, "IHRB is the leading international think tank on business and human rights. IHRB's mission is to shape policy, advance practice and strengthen accountability in order to make respect for human rights part of everyday business." <a href="https://www.ihrb.org/about/about-home">https://www.ihrb.org/about/about-home</a>

<sup>&</sup>lt;sup>1</sup> Takeshi Hayakawa and Jon Barnes, "Learning Experience? Japan's Technical Intern Training Programme and the Challenge of Protecting the Rights of Migrant Workers" (Institute for Human Rights and Business, October 2017), <a href="https://www.ihrb.org/focus-areas/mega-sporting-events/japan-migrant-workers-titp">https://www.ihrb.org/focus-areas/mega-sporting-events/japan-migrant-workers-titp</a>.

Is there credible evidence of forced labor, human trafficking, or hazardous child labor in seafood processing, agriculture, forestry, or aquaculture in the country?\* YES

Source URL	Source type	Year published	Sector / Industry	Summary of findings	Any remarks on the credibility of this source?
https://www.jap antimes.co.jp/ne ws/2017/03/08/ national/abuse- foreign- trainees-spiked- 2016- immigration- bureau/#.WiOM	Media: The Japan Times	2017	Fisheries, Agriculture	The source reports Japan's Immigration Bureau announced in 2016, "383 acts of fraud were committed against foreign trainees in 2016, a record high since the current Technical Intern Training Program was launched in 2010. Major fraudulent acts included 121 cases where trainees went unpaid, with 94 of those involving the forging of paperwork that was submitted to the government to hide such acts. Fifty-one cases involved the use of a fake name so as the trainee could work in nonregistered workplaces. Of 239	The Japan Times is the oldest and largest English-language daily newspaper in Japan. It is not state-owned, and the paper seeks to "bridge the perception gap that exists between America and Japan."

<sup>\*</sup> It may be acceptable where a State has not ratified any of the convention(s) listed above, that a State has passed and brought into effect wholly and fully legislation and relevant accompanying regulation, where needed to implement legislation, that is at least materially identical in substance, intent, effect and spirit to the provisions of the relevant convention(s). It is expected that relevant legislation and regulation will include provisions that are suitably onerous and comprehensive in nature and intent to provide for its full and proper enforcement. Where this is the case, the country may be assessed as fulfilling the country criteria, despite the non-ratification(s).

<sup>\*\*</sup> The assessment of a country's enforcement relies primarily on comments by the Committee of Experts on the Application of Conventions and Recommendations, which supervise the application of ILO conventions, and the U.S. Department of State's Trafficking in Persons Report. Both sources are credible, global in scope, and publicly available. Additional, credible sources may also be used. This assessment does not constitute a full and complete analysis of law enforcement in any country.

<sup>&</sup>lt;sup>8</sup> http://articles.latimes.com/1990-01-25/business/fi-1040\_1\_japan-times-weekly

Source URL	Source type	Year published	Sector / Industry	Summary of findings	Any remarks on the credibility of this source?
rkrtyUk				businesses and other organizations reported to have defrauded foreign trainees, 67 were in the agriculture and fisheries sector, 61 in the textiles and clothing sector and 38 in the construction sector. Some 33 business associations were also named In addition, numerous human-rights violations have been reported over the years, including cases of overwork and sexual harassment. Passport confiscations have also been reported." (Emphasis added)	
http://usa.china daily.com.cn/wo rld/2017- 03/03/content 28425244.htm.	Media: China Daily, U.S. edition	2017	Fisheries (oyster shuckers)	This media source has first-hand accounts of two workers, one in who was made to sew clothes and another who worked at a construction company.  The article states, "With little legal protection, the foreign trainees are often underpaid, and illegally placed as oyster shuckers, construction workers and other unskilled positions. Many of the indentured work force are exposed to substandard, sometimes even deadly working conditions." (Emphasis added)	China Daily is China's largest English-language newspaper. It is state-run. China Daily publishes a U.S. edition.

Source URL	Source type	Year published	Sector / Industry	Summary of findings	Any remarks on the credibility of this source?
				It also reiterates the many of the same allegations about the TITP that other sources have reported.9	
http://document s-dds- ny.un.org/doc/U NDOC/GEN/G10 /132/88/PDF/G1 013288.pdf?Ope nElement  If the document fails to download, go to: https://documen ts.un.org/prod/o	Intergovernment al report: United Nations General Assembly, Human Rights Council	2010	Agriculture	Paragraphs 26-36 in the Special Rapporteur's 2010 report reports on the TITP. The report states, "Many trainees pay huge amounts of money as a "guarantee" prior to leaving their country and this money is only paid back if they complete the period of training and internship. They are also often requested to offer their house as an additional guarantee. They are therefore trapped: forced to continue to work and live under very harsh conditions and subject to practices similar to slavery and servitude."  The Special Rapporteur heard testimonies from trainees, and these accounts detailed in the report. "In one case, a young Chinese woman who was supposed to be a trainee in	

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<sup>&</sup>lt;sup>9</sup> The TITP's job categories in fisheries are skipjack pole and line, longline, squid jigging, purse seine, trawl and seine net, gillnet, set net, and crab and shrimp basket fisheries. In seafood processing, marine heated fishery processed foodstuff manufacturing work, non-heated fishery processed foodstuff manufacturing work, and fish paste making. For the complete listing, see "New Technical Intern Training Program." Immigration Bureau, Ministry of Justice Human Resources Development Bureau, Ministry of Health, Labour and Welfare, April 2017, p. 4. <a href="http://www.moj.go.jp/content/001223972.pdf">http://www.moj.go.jp/content/001223972.pdf</a>. Note: No identified cases of forced labor, human trafficking, or hazardous child labor were found in these categories.

Source URL	Source type	Year published	Sector / Industry	Summary of findings	Any remarks on the credibility of this source?
ds.nsf/home.xsp  And search by Symbol: A/HRC/14/32/A DD.4				a farm to acquire agricultural skills was taken by the entrepreneur to work as a servant in her house and raped on a regular basis until she could escape." (Emphasis added) (See New Technical Intern Training Program for a listing on TITP job categories.)	

<sup>\*</sup> Evidence of forced labor, human trafficking, or hazardous child labor in a country's seafood processing, forestry, agriculture, and aquaculture industries may be examined as *indicators* of risk for the at sea portion of a fishery. See the Seafood Slavery Risk Tool's conceptual model to view which pathways trigger an examination of related or similar renewable resource industries.

#### Summary of Risk Rating

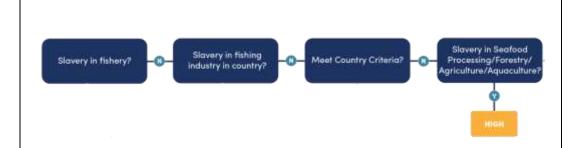
Albacore caught by Japanese-registered vessels in Japan's Exclusive Economic Zone is rated a HIGH RISK. The U.S. Department of State's 2018 Trafficking in Persons report (TIP) upgraded Japan's rating from Tier 2 to Tier 1. However, a deeper dive into the 2018 TIP reveals significant improvement is still needed with respect to enforcement, prevention, and victim protection in Japan's Technical Intern Training Program, which places interns in multiple sectors, including fishing. In addition, the 2018 Global Slavery Index's (GSI) Japan Country Study reaffirms the TIP's findings, and the GSI's Fisheries analysis concludes that Japan's fishing industry has a high risk for modern slavery. Consequently, Japan does not meet the Seafood Slavery Risk Tool's country criteria due to insufficient enforcement. Because Japan fails to meet the Risk Tool's country criteria, evidence of forced labor, human trafficking, and hazardous child labor in the country's seafood processing, forestry, agriculture, and aquaculture industries was examined as an *indicator* of high or moderate risk for the profile fishery. Again, credible evidence exists that foreign nationals in the Technical Intern Training Program have experienced forced labor in agriculture, resulting in a high risk rating for the Japan albacore fishery. The Risk Tool team will continue to monitor enforcement evidence from Japan in light of the recent regulatory reforms to the Technical Intern Training Program and encourages Risk Tool users to evaluate current information when conducting their due diligence.

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#### Conceptual Model Path

#### High Risk: Path 1

- 1. There is NO credible evidence of human rights abuses in the FISHERY
  - AND -
- 2. There is NO credible evidence of human rights abuses in FISHERIES of the country
  - BUT -
- 3. The country criteria have NOT been met
  - AND -
- 4. There IS credible evidence of human rights abuses in seafood processing, agriculture, forestry, and/or aquaculture



Note: This rating is based on country-level information due to the absence of fishery level information. Therefore, high risk is the best rating that all fisheries from a country on this pathway can score.