



Modern Slavery & Smuggling

A Practical Guide

October 2024

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The British Ports Association is the national trade body for UK ports and harbours. Our members handle 86% of the UK's seaborne trade and as well as supporting other important maritime activity from offshore energy to fishing and marine tourism and leisure.

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We also thank *Voices of Industry* contributions provided by our members from the Security & Resilience working group, the Fishing Ports Group, and input from our associate members CCLA, Hill Dickinson and TT Club; as well as Orbcomm and QVSR.

BPA also thanks those that have reviewed and endorsed this Guide including political representation, regulators, enforcement and trade associations – for a full list of reviewers, see Appendix 8.3.

Disclaimer

This document has been produced to raise awareness on Modern Slavery and Smuggling (MS&S) activities in the Maritime sector. It provides practical information and case studies from BPA members and our wider network. As guidance this document represents a point in time (August 2024) and reflects contributions made rather than comprehensively approach across all risks and issues associated with these topics in all potential situations. The focus of this document is landside, port operations and our interfaces with the wider end to end (E2E) value chain, noting shipping aspects which are the subject of a UK Chamber of Shipping information document: Addressing Human Trafficking Movements – Raising Awareness in UK Shipping.

Assumptions

This Guide has been written for Maritime and non-Maritime audiences. It is anticipated that within ports, this Guide is likely to be of interest to Harbour Masters, CEOs and their Boards and Commissioners as well as Security and Sustainability professionals plus welfare organisations.

About the BPA

The UK ports industry plays a key role in the country's economy as 95% of the UK's international trade – imports and exports – is carried through our facilities, handling 500 million tonnes of freight and 60 million passengers each year. The British Ports Association represents the interests of over 100 port members, covering more than 400 ports, terminal operators and port facilities. BPA works with the UK Government, parliament and a series of international organisations in an effort to champion and protect the industry on behalf of its members. Learn more at: [The British Ports Association](https://www.britishportsassociation.org/)

Author

This guide was written and produced by Lisa Lewis for the British Ports Association.

Lisa's interest in combatting Modern Slavery & Smuggling began whilst working for a ferry and port operator. As she grew to understand the scale and nature of these crimes she became determined to act - to do something to drive change. Her approach in writing this practical guide has been to focus on risk & control and recognising the many stakeholders involved, consider perspectives across the end to end value chain.



Lisa is a Chartered Environmentalist and has been in Maritime since her MSc at the Institute of Offshore Engineering in Edinburgh and internship at IMO. Her Risk and Security experience includes Physical, Cyber and Information aspects, gained in multiple sectors including Maritime, Logistics, Oil & Gas, Infrastructure and Financial Services.

Lisa is active in the British Ports Association and UK Chamber of Shipping including Chair of Joint Ports & Shipping Environment Group, member of the Institute of Risk Management ESG Committee, and Trinity House YB. She is also an Ambassador (Maritime UK STEM and modern slavery charity Invisible Traffic) and UK national expert for ISO technical committee on Modern Slavery ISO 37200.

Lisa was recently Director of Human Rights & Modern Slavery for Europe with an international operator of Marine Services, Ports & Terminals and Logistics (DP World) and Modern Slavery Task Force Project Manager with a municipal port (PIP). Currently she is Director of Risk & Sustainability for a trust port (Cattewater, Plymouth) as well as Senior Director Security for Europe (DP World).

Executive Summary

This Guide is a BPA call to action, to galvanize the end-to-end (E2E) value chain associated with our members and their operations including business to business (B2B), business to customer (B2C) and business to government (B2G) relationships. It provides practical information and case studies to enable development and implementation of a Modern Slavery and Smuggling (MS&S) programme. It has been designed to complement and support other risk and control frameworks including: Maritime specific such as those required by Port Marine Facility Safety Code, Port Marine Operations Good Practice Guide, Ports Good Governance Guide, International Ship and Port Facility Security Code (ISPS); and topic systems such as Health & Safety ISO 45000, Security ISO 28000, ISO 27000 and CAF/NIS, Risk Management ISO 31000, and Modern Slavery BS 25700 plus new draft ISO 37200.

MS&S are addressed here together due to the commonality of threats i.e. these crimes are similarly perpetrated by individuals and organisations, with instigators typically unconcerned over who and what is moved (e.g. people, illicit narcotics, wildlife, weapons and stolen goods) and how people are treated (e.g. human rights and labour rights abuses). Risk and control actions that can be effective in identifying, interrupting, preventing and reporting these crimes are widely applicable too e.g. port security management systems simultaneously protect data/information, physical assets, colleagues and the public. In the same way, ethics and compliance frameworks protect multiple aspects including human rights, animal welfare and brand value, and enable required disclosure.

MS&S are global issues which are becoming increasingly prevalent in UK Maritime and wider logistics networks. The threats posed across the value chain on shore and at sea include those resulting from the ever-escalating activities of serious and organised crime (SOC). Port exposures are multiple and risks are complex: the UK coastline has hundreds of ports, terminals and harbours; transit routes are often multi modal; enforcement agencies and operators are typically resource constrained; goods and assets are required to transit at pace with limited contingency resilience; supply chains are usually multi tiered and international with considerable dependencies; and border security requirements are dynamic as are exposures – all of which make management of MS&S challenging for UK Maritime. Additionally there are escalating expectations of our regulators, investors, insurers, societies and customers - including disclosure on what our problems are and what we are doing about them.

Why should you act? Maritime operators are affected by MS&S to varying degrees, and whether commercial, municipal or trust organisations, are subject to some or all the following drivers:

- Compliance with legislation and industry Codes of Practice, avoiding penalties
- Supply chain disclosure expectations e.g. of customers and investors, retaining value
- Loss prevention e.g. damage to fiscal value of assets including cargo and brand
- Moral standing aligned to organisational values e.g. protecting fundamental rights

How should you respond? Our industry's strategic and tactical solutions are enabled by governments as well as civil society such as the many specialist MS&S NGOs and standards organisations that provide guardrails and watchdog oversight. To frame your approach it helps to consider what matters – colleagues with leadership, delivery or governance duties, and wider interfaces such as port communities and user groups plus customers, lenders and insurers – each has their own set of values, each values different things, individually and collectively. Are your stakeholders interested in criminality in terms of lawbreaking, existence of gangs and their use of violence, trading of people or narcotics, or corruption of workers and officials? Perhaps what matters is potential impacts on your brand value by being associated with these crimes, and corporate penalties for non-compliance, or perhaps it is a matter of conscience? Clarifying problems will inform your definition of success and roadmap, and enable you to formulate and prioritise actions.

Top 5 Recommendations

- 1 Policy**
Confirm zero tolerance for MS&S
- 2 Training**
Convey what to look for and how to report MS&S
- 3 Reporting**
Collect and evaluate data on MS&S events
- 4 Engagement**
Seek out value chain collaborators and cooperate
- 5 A Modern Slavery Statement**
Disclose what you are doing

1.Introduction

1.1. Aims

This Practical Guide on Modern Slavery & Smuggling (MS&S) seeks to raise the profile of these crimes within maritime and across the value chain so that you are better equipped to interrupt and prevent perpetrator activities and protect the subjects of harm – people and wildlife as well as goods and other assets.

British Ports Association (BPA) has developed this Guide for all stakeholders associated with maritime value chains to enable effective management of MS&S exposures. The Guide focuses on shore-based exposures and dovetails with the recently issued UK Chamber of Shipping (UKCS) information document: Addressing Human Trafficking Movements – Raising Awareness in UK Shipping.

The BPA recognises the importance of addressing MS&S which are often Serious Organise Crime (SOC) and has created this Guide to encourage and enable change – to galvanize the industry, and act as a call to action. The Guide will be updated to ensure readers benefit from evolving information.

1.2. How To Use This Guide

This document provides practical guidance on what you can do to respond to MS&S so that your organisation and your stakeholders can be protected from harm. The Guide is not exhaustive and further resources are referenced throughout. The Guide contains explanations of why to act and suggestions of how to act with case studies as well as prompting questions to help you define your own approach. There are a number of subject specific terms related to MS&S – acronyms, abbreviations and definitions are collated in Appendix 8.1. To ensure it is readily useable and aligns to existing management frameworks, this Guide is structured in stages: Plan-Do-Check-Act/Improve (see Appendix, section 8.7).



Good Practice

What Goods Look Like

These boxes will include practices you can adopt

1.3. Relevance to Maritime

1.3.1. *What Do We Mean By MS&S?*

- People that are in-house and within value chains (including wider communities) subject to labour abuses and other human rights infringements. Human trafficking, forced labour and modern slavery (HT/FL/MS) are terms used to describe enslavement, and inappropriate control and exploitation of people. This can occur within contractual settings e.g. direct hire employees, vendors and service providers, and where no contract exists e.g. domestic servitude, sex trade, forced marriage, and organ harvesting.
- Criminal movement of people and goods. Where there are borders there are opportunities for direct financial gain e.g. tax evasion on bonded goods (excise fraud), and indirect gain by movement of prohibited consignments including weapons, illicit narcotics, unquarantined livestock and well as counterfeit and stolen property. This criminality may represent predicate offences e.g. part of a larger campaign of money laundering or financing of terrorism.

1.3.2. *Maritime Aspects*

Due to the nature of Maritime transport, complex supply chains and interconnectedness to multiple modes there are many opportunities for MS&S to occur creating risks to: people and animals being moved under the control of others, commercial companies as well as municipal and trust organisations (their workers and assets), and the public (those travelling and affected communities) as well as government administrations, regulators and enforcement plus civil society (3rd sector). The inherent nature of Maritime can be conducive to MS&S instances e.g. itinerant and seasonal labour, and seafarers working offshore with limited access to welfare protections whilst faced with opaque labour rights jurisdictions. These aspects are reflected in legal regimes e.g. duty to prevent smuggling.

1.3.3. *Logistics Aspects*

Global supply chains have long been exploited for MS&S. Whether due to humanitarian crisis brought about by conflict or climate change, or people seeking a better way of life for themselves and their families, criminal movement of people poses challenges for logistics networks. The legitimate supply chain is an obvious choice for criminals who move people as well as animals and goods, unnoticed e.g. concealed in containers and compartments within vehicles or vessels, as well as those hidden in plain sight. As detection by operators and enforcement becomes more sophisticated, arguably the risk heightens for people and animals being moved criminally e.g. if hidden in reefer trucks and intermodal containers (ISOs), breathable air is limited.

1.3.4. *Control of Risks*

MS&S typically involves organised crime gangs (OCG) perpetrating serious and organised crime (SOC). The criminals are unlikely to be concerned about what

crimes they are committing and what they are moving – risk management and security controls will reduce the number of instances and severity of MS&S harm - whether physical e.g. fences; behavioural e.g. challenging suspicious actions; or procedural e.g. Know Your Customer (KYC) due diligence, segregation of duties, and online account password access. Existing control frameworks within Maritime operators and service providers typically include elements that address MS&S exposures e.g. Security, HR, Procurement and Finance. For most organisations, responding to MS&S threats is more likely to involve adding to existing practices rather than starting from scratch, and formalising (documenting) what you do.

1.4. Context of This MS&S Guide

1.4.1 *Scale of the Problem*

These crimes are extensive and escalating, globally, regionally and locally.

Modern Slavery: Difficult to quantify due to reporting constraints, estimates include;

- Modern slavery - 50 million globally, equating to 1/150 people ([World Economic Forum](#))
- Forced labour – 27.6 million globally, of whom 3.3 million are children ([International Labour Organisation](#)). UK forced labour can be estimated using modern slavery national referral mechanism data which equates to 17,000 potential victims (UK gov summary data 2023) however other estimates suggest this may be as many as 100,000 ([Centre for Social Justice](#))

Smuggling: Diverse and difficult to estimate, smuggled items include wildlife – this aspect alone is estimated to be worth £15 billion globally per year (World Economic Forum) and according to Interpol is the fourth largest international crime after arms, drugs and human trafficking. In the UK during October 2023 Border Force took part in Operation Thunder making 145 seizures that month containing thousands of nature-based products banned by the Convention on International Trade in Endangered Species of wild fauna and flora (CITES) including:

- 53 live CITES listed birds, and vulture and falcon eggs and a lesser flamingo feather bracelet
- 5.5kgs of ivory, 434 live plants, and 5 controlled wood products
- over 1,000 health supplements containing illegal plant and animal products
- 1 ceremonial headdress made with big cat fur
- 26 reptile skin products including crocodile and python, plus non-target discoveries
- 285kgs of cannabis, 329,000 cigarettes and 197kgs of tobacco
- 102kgs of prohibited products of animal origin

For further examples of UK seizures by National Wildlife Crime Unit see Appendix 8.2.4.

Another smuggling aspect is illicit narcotics, drugs and their precursors (chemicals used to make drugs). Globally this is estimated to be worth £518 billion, contributing 30% of the overall illicit economy (Economic Times, 2023). In the UK during February 2024 enforcement officers seized 5.7 tonnes of cocaine hidden in a shipment of bananas at Southampton. The drugs, with an estimated street value of £452 million, arrived from South America and were in transit to Germany.

1.4.2. *Complexity*

Ports are part of complex supply chains. UK ports welcomed 93,084 ship arrivals in 2022 and handled 458 million tonnes of cargo. Exposures associated with MS&S are interconnected, the risks are complex with wide reaching impacts e.g. as described by the UN Office on Drugs & Crime (UNODC) World Drugs Report 2023

1.4.3. *Multiple Regimes*

Administrations at UK, regional and international levels address MS&S to prevent, detect, pursue and prosecute the criminals. As illustrated in the graphic below MS&S issues are regulated by a range of legal instruments and agencies, which may be managed within organisations that need their own response strategies by multiple departments, often having to respond to separate functional approaches e.g. Cyber Assessment Framework for Critical National Infrastructure and Operators of Essential Services (NCSC and DfT guidance on NIS Directive)

1.5. Key Takeaways from this Guide

For those wanting a summary to guide leadership conversations and plan their response approach:

Top 5 Actions	
1	Policy Confirm zero tolerance for MS&S
2	Training Convey what to look for and how to report MS&S
3	Reporting Collect and evaluate data on MS&S events
4	Engagement Seek out value chain collaborators and cooperate
5	A Modern Slavery Statement Disclose what you are doing

2. Plan

Responding to MS&S exposures starts the initial stage of asking questions to clarify how best to act. These considerations should be documented – see section 3.6 for documentation checklist.

2.1. Aims

What do you want to achieve, and why? e.g. assured legal compliance, meet bid list requirements, satisfy shareholders, reduce losses and insurance premiums, or be an industry leader? Define your target state - what is your vision, what values are you trying to achieve and embody? You may already have a mission statement or set of principles enshrined in corporate Articles of Association or Trust duties within a Harbour Order, how do these relate to MS&S?

2.2. Scope

Set your boundaries. What problems do you have, when and where? Are things getting worse? Where are threats coming from internally and externally? Who is or can be affected by MS&S risks? Who and what affects your operations and performance? What are the limits of your control or influence on performance? What controls do you already have e.g. policies, procedures and training?

Be clear about what you mean by MS&S.

- **Modern Slavery** – This umbrella term is used to include human trafficking, forced labour and modern slavery (HT/FL/MS). The common aspect is enslavement i.e. control of people, and inappropriate exploitation. Do you want to address in-house first and external supply chain later? Think about labour rights and also who/what is being moved through your network. How far along the value chain will you consider, what are your limits?
- **Smuggling** – Criminal movement of people, animals and assets. Affected goods are commonly commoditised products such as weapons, illegal narcotics, alcohol, tobacco, food, livestock and wildlife parts, which may be imported or exported as cargo in a way that avoids paying tax duties or livestock vaccination costs. People may also be smuggled and trafficked.

	Human Trafficking	People Smuggling
Crime target:	against the individual	against the state
Relationship:	exploited as a commodity	provided with a criminal service
Duration:	longer-term exploitation	shorter-term, voluntary agreements
Profit Format:	ongoing appropriation	no debt bondage
Borders:	international or in-country	international only

Human trafficking

"The recruitment or movement of people for exploitation by the use of threat, force, fraud, or the abuse of vulnerability" (gov.uk)

People smuggling

"The procurement, in order to obtain, directly or indirectly, a financial or other material benefit, of the illegal entry of a person into a state part of which the person is not a national or a permanent resident" (interpol.int)

Forced

Transit may start as smuggling and transform into trafficking

Subject pays and is deemed willing

Which modern slavery crimes you are going to target?

**Sexual
Exploitation**

Forced Labour

**Domestic
Servitude**

**Forced
Marriage**

**Forced
Criminality**

**Organ
Harvesting**

To assess risks related to modern slavery and employment rights, consider the resourcing models in use, such as direct hiring or outsourcing, involving both in-house staff and your supply chain. Think about service providers at the port, including food and beverage vendors, hospitality services, cleaners, and construction workers. Also, consider the crews on visiting vessels, such as yacht hands and fishers, noting that limited connectivity at sea may make it difficult for them to report issues. Additionally, be mindful of potential victims hidden in plain sight, such as passengers, as well as clandestine individuals or stowaways who may be subject to modern slavery.

Which smuggling crimes you are going to target?

Drugs

**Human
Trafficking**

**Illegal Wildlife
and Timber
Trade**

Firearms

Consider Smuggling due diligence e.g. freight customer and pre-arrival cargo checks, and post arrival surveillance e.g. risk based intelligence led or random spot checks, and monitoring equipment e.g. drones, x-ray and instrumentation for detecting heartbeats and chemical signatures including CO₂.

To determine your scope in relation to MS&S also consider:

- **Organisational Context:** What is your physical situation for head office and operationally? Geography and proximity to others are relevant e.g. are you close to borders and fast crossings routes that don't require ID such as domestic islands? Who are your customers, suppliers and local authority, do they have issues with MS&S? Are you clear on who is in your value chain, upstream and downstream? What are your external pressures e.g. vessel turnaround times, border checks and new laws? Are you and the value chain resource constrained?
- **Communication / Engagement:** Information is essential to manage performance, your decision makers need it. Management information (MI) should include data on leading and lagging indicators and should be communicated to relevant stakeholders in an appropriate way and timing so that it can be effectively acted upon.

In addition to statutory requirements for MS&S incident reports issued to enforcement, you should keep and share data to understand issues you have, emerging trends and potential escalation. Think about who might want to know this type of information and how often e.g. annual reports, quarterly Board updates, monthly all-hands dashboards and community user groups. Also your customers, investors and insurers may want to confirm that MS&S risks are fully disclosed and being addressed. Consider your value chain, and what information you retain e.g. will you keep data on suppliers who don't have sufficient labour practices that fail your Procurement due diligence standards? Data should be managed carefully e.g. CCTV and passenger lists, ensure you engage your GDPR DPO, Security and Technology functions.

For information categories use simple and consistent definitions. Think about what is an MS&S reportable and recordable event in terms of near miss and incident. For Human Trafficking and People Smuggling consider categorising

events as 'Criminal Movement of People'. Smuggling may be used to categorise all types of illicit movements including people, using data sub-sets will help clarify the issues and you could also categorise events relating to Serious and Organised Crime (SOC) / Organised Crime Gangs (OCGs) e.g. insider threats.

- **Controls:** Review what you already have e.g. policies & procedures, and what you already do to control exposures e.g. risk assessments, training and communication campaigns. Consider all the things that you already use that can manage MS&S risks e.g. vendor checks / supplier due diligence, and cargo inspections. To address the full extent of MS&S exposures, bear in mind all the transport methods through ports which are susceptible to these crimes:

2.3. Leadership

Who is responsible and accountable, who has the power to decide policy, who sets strategy, agrees actions, controls budgets and assigns resources?

Confirm and promulgate MS&S duties at all levels e.g. Board / Commissioners, Executive leaders, and delivery teams. Consider who provides governance, owns procedures and checks compliance, manages training programmes and communication campaigns. Check what is in job descriptions and if there are team vacancies that affect MS&S performance. Find out what the existing responsibilities and accountabilities are and where there may be gaps. Check your Articles of Association e.g. Harbour Order and Board Terms of Reference for implicit and explicit expectations related to MS&S.

2.4. Plans

What do you want to change, how urgently should you act, and how will you get to target state? What are your risks of harms and opportunities? What are the legal and other requirements you must or choose to comply with e.g. industry Codes, insurance policy clauses and customer or lender expectations? Consider your exposures in relation to your operating model to confirm if your existing performance, controls (policies, procedures etc) and resources are sufficient - and what you will do to improve.

2.4.1 Risks

Risks can be positive (opportunities) as well as negative (harms). MS&S harms and opportunities for improvement should be identified and documented e.g. in an enterprise risk register or site risk assessment. See sections 7.2 and 8.2

Good Practice: Planning

Use a Formal Documented Risk Assessment

An example checklist:

- Events (what can go wrong?)
- Causes (what made the event happen?)
- Impacts (what is harmed by the event happening? e.g. MS&S crimes)
- Exposure scoring without/with controls
i.e. Likelihood and Severity (typically rated numerically or qualitatively e.g. 1-5 scale or High, Medium & Low). Ideally score without and then with controls, and describe status in relation to risk appetite
- Controls (what are you doing to reduce the risk to a level that is acceptable to you? e.g. ALARP)
- Who are the responsible role holders? (titles rather than names, the roles that own the risk or need to do something about it)
- Document information
i.e. author and owner / approver, file version control, and date of next review (good practice is annual refresh as a minimum)

Impacts

In determining the risks, consider potential and actual harms related to these crimes e.g. threats to colleagues and passengers, as well as infrastructure (asset damage) and customer goods (cargo). Also try to quantify potential benefits of changes e.g. improved community relations and reduced time dealing with enforcement checks and insurance claims.

Requirements

Consider which laws and other expectations apply to you e.g. IMO, EU and UK domestic for maritime operations and worker rights plus customer expectations for you to keep them and their goods safe and secure. Do you operate your own fleet of landside vehicles? Are you aware of required checks e.g. Vehicle security checklist: road transport companies & drivers and Drivers' Checklist. Do you know who is liable for prosecution, enforcement notices and fines if clandestines are found in the back of a lorry? Are you aware of the Clandestine Entrant Civil Penalty Accreditation Scheme: <https://www.gov.uk/government/publications/civil-penalty-accreditation-scheme/civil-penalty-accreditation-scheme>?

Objectives

Set improvement targets to achieve the performance you want e.g. all colleagues trained in MS&S, and Board members to review incident trends periodically.

PFSA: The Port Facility Security Assessment (PFSA) is a collaborative risk analysis of a port facility's operations in order to determine which parts are more susceptible to attack and exploitation. The PFSA is undertaken by DfT with input from the PFSO, and is an integral part of developing and updating the Port Facility Security Plan (PFSP). The PFSA must be periodically reviewed and updated when fresh security threats or major changes in the port facilities. The PFSA should consider all possible threats along with the vulnerability of each target and potential consequences, and be used to ensure there are effective controls. PFSA requirements are contained in ISPS Code (section 15) and the current template does not include references to modern slavery. Threats that are additional to the PFSA template cannot be added to the PFSA but these can be addressed within the PFSP. For further details on PFSAs and PFSPs in relation to OCGS see section 7.2.2.

Good Practice: Assurance

Assurance: Additional things to consider in undertaking risk assessments (noting PFSA template restrictions) relating to assured control and governance

- Document your risk assessment as required by formal control (e.g. risk procedure or policy) confirming author, reviewer and date plus identity of stakeholders who have been engaged. Ensure risk assessment is approved in writing by risk owner. Document changes with justification for amended risk rating and update version control. Retain on file as audit trail evidence and don't overwrite historic information.
- Ensure risk rating is considered within enterprise exposure. Retain on file as audit trail evidence.
- Ensure disclosure to insurers and acceptance of liability. Retain on file as audit trail evidence.
- Ensure risk acceptance by third parties including crew agent plus direct hire. Retain on file as audit trail evidence.
- Update risk assessment with changes e.g. new threats and alternative control approaches, plus aspects identified as lessons learned.

Risk management can be facilitated with technology e.g. automated vendor and transaction checks to enable enforcement, 3rd party service providers and colleagues to focus on suspicious activities. These tools can be effective at harnessing AI/machine learning and other technology, to enable risk-based management actions e.g. fast track cargo and personnel screening, and checks on selected vessels and containers deemed to be high risk.

2.4.2 Planning Your Actions

To counter MS&S vulnerabilities it can be helpful to focus on choke points where all traffic (people, vehicles and goods) has to pass through controlled entry points to ports and ships and interfacing modes e.g. railhead, for example:



Tourist vehicle screening



Foot passenger check-in

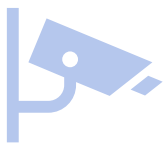


Container screening



Freight vehicle screening

The aim of stopping **all** crime is challenging. Each port has their own requirements for searching people, vehicles and goods - many do check 100% of passengers, bags and belongings. Similarly, many shipping lines conduct 100% searches of stores. However, even where 100% searching is achieved there is still a chance that crimes may still go undetected. Arrangements built on existing mature industry regimes such as ISPS, Port Safety Code, Port Good Practice Guide and Port Good Governance Guide – combined with harnessing the full range of resources such as ‘many eyes’ surveillance and access control - can significantly prevent and interrupt MS&S crimes.



Port Security



Customer facing colleagues



Operations



Stevedores



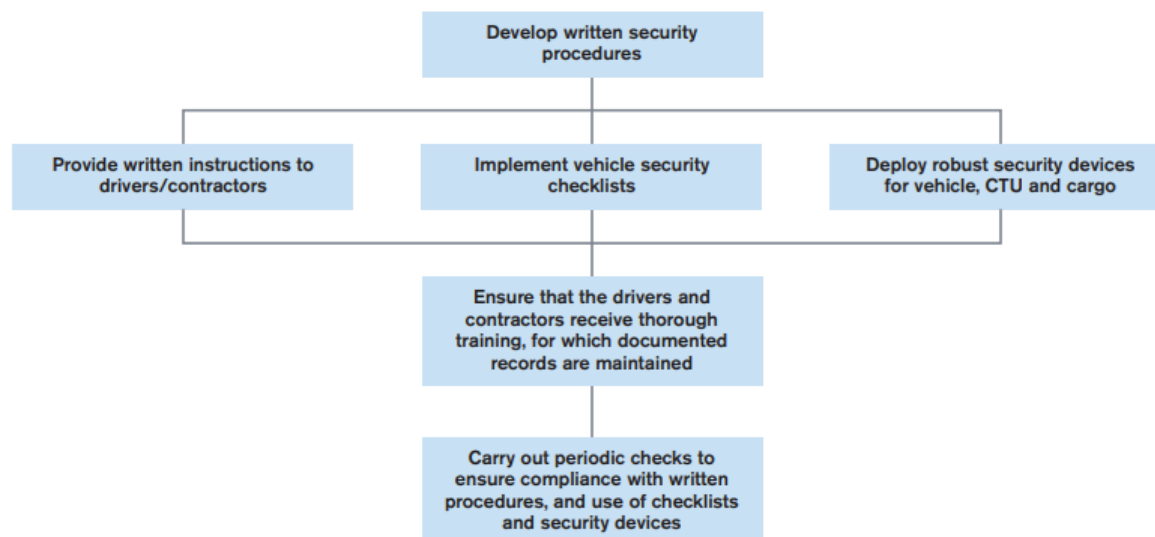
Access Controls

Controlled entry points are also relevant to smuggling of wildlife with consignments typically passing through multiple logistics stages and domains.

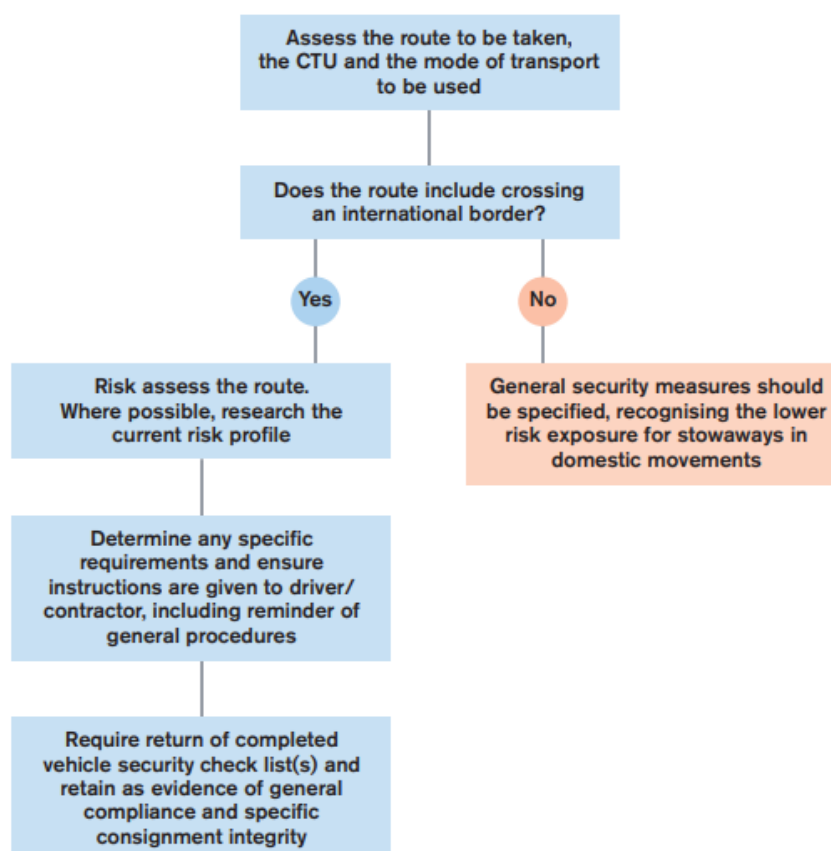
Cargo Transport Control

Recommended security flowchart from insurance provider TT Club (see Guide on Clandestine Migration STOPLOSS 10 – MY/AH/CD 06/20).

1. Corporate actions



2. Operational actions



Good Practice

Cooperation & Collaboration

Combatting crimes such as MS&S require partnerships between port operators and enforcement as well as other stakeholders such as local authorities, communities, and customers. As described by Global Initiative Against Transnational Organised Crime 'Organised crime can no longer be countered by law enforcement agencies alone. Effective responses must elicit consensus and collaboration among Governments, multilateral organisations, the private sector and, crucially, civil society in the form of NGOs, academia and the media'. As gateways for UK imports and exports, our ports already have arrangements in place to collectively achieve and maintain security as well as health, safety and welfare of workers, customers, tenants and the societies that they support. Investment required to enhance controls is likely to be incremental rather than step change and includes ways of working e.g. setting up joint forums and alert systems. Ports with proactive relationships with enforcement agencies and supply chains, and a strong safety and security culture based on collaboration, can benefit from enhanced communication, trust, colleague empowerment, organisational resilience and MS&S deterrent.

Holistic Checks

Look across your value chain considering your operational lifecycle during business as usual and transformational change e.g. KYC best practice, shipment due diligence, supplier audits, worker referencing, and performance surveillance (monitoring leading & lagging aspects).

Training

Make sure people know your expectations e.g. policies for zero tolerance of illegal and corrupt activities, what to look for e.g. red flags, and how to act e.g. incident response (see following section). Confirm that people are empowered to act.

Reporting

Make sure people know how and when to report, and that leaders get the information they need to act. Share information with customers, colleagues, communities and enforcement e.g. insider threat alerts.

2.3.3 Administrative Framework

UK policy on MS&S involves a number of government departments and enforcement agencies, resulting in multi-layered port jurisdictions, as illustrated in the tables and other information below.

Jurisdictions At Sea

Police powers of stop and search	Internal Waters	Territorial Waters	EEZ & International Waters	Foreign Waters	
UK Flag	Power to act UN Convention on the Law of the Sea (UNCLOS) s30 Police Act 1996 PCA 2017 s84 Territorial Waters Act 1878 s& PACE Powers	Power to act UNCLOS s30 Police Act 1996 PCA 2017 s84 Territorial Waters Act 1878 s& PACE Powers	SOS Rep UNCLOS SUA PCA 2017 s84	SOS Rep Foreign State Authority UNCLOS SUA PCA 2017 s84	
No Flag		SOS Rep Authority UNCLOS s30 Police Act 1996 PCA 2017 s84 Territorial Waters Act 1878 s& PACE Powers	SOS Rep Authority UNCLOS SUA PCA 2017 s84		
Foreign Flag Relevant Territory Flag					

Maritime enforcement is described within [Code of Practice, Maritime Enforcement: England and Wales – Policing and Crime Act 2017 \(publishing.service.gov.uk\)](#)

Who Does What?

In broad terms the government sets policy, government departments and agencies put policies into practice, and the civil service implements through practical and administrative functions. There are various ways this is influenced including representations by trade associations such as BPA and members directly engaging with politicians, departments, agencies and civil servants, and via forums such as All Party Parliamentary Groups (APPGs) and the Maritime Council.

MS&S crimes are regulated and enforced by a range of entities within the UK such as those selected within the table below i.e. there are more. Events may require responses by multiple entities e.g. smuggling of CITES listed wildlife and plants may involve crimes related to biosecurity, wildlife protection, tax evasion, money laundering and organised crime. Your reporting arrangement should include primary contacts e.g. Police and Border Force, who can then advise or coordinate further agency engagement as appropriate to the nature of the event. Also see section 5.1 on reporting.

HOME OFFICE Ministerial department	HIS MAJESTY'S REVENUE & CUSTOMS (HMRC) Non-ministerial department	DEPARTMENT FOR ENVIRONMENT, FOOD & RURAL AFFAIRS Ministerial department
<p>Border Force: Law enforcement command within the Home Office. Secure the UK border by carrying out immigration and customs controls for people and goods entering the UK.</p>	<p>Customs officers, enforcement for smuggling bonded goods and other tax evasion, plus payment of National Minimum Wage when working in UK territorial waters</p>	<p>DEFRA: responsible for: Environmental protection, food production and standards, agriculture, fisheries, and rural communities in entire UK. For fisheries, DEFRA is responsible for policy and regulation in England and Wales, with matters devolved in Scotland.</p>
<p>Police</p> <ul style="list-style-type: none"> • Territorial (onshore) geographic constabularies e.g. PSNI, London Met which has Marine Policing Unit, and Hampshire which has Marine Support Unit • Ports, jurisdiction typically up to one mile limit from boundary, with major incident / crimes managed by territorial police • Military including Navy 		<p>PHS: UK Plant Health Service (PHS) comprised of DEFRA, Scottish Government, Welsh Government, DAERA (Northern Ireland Executive's Department of Agriculture, Environment and Rural Affairs) and Forestry Commission. PHS is supported by the Animal and Plant Health Agency (APHA) and wider delivery bodies e.g. Forest Research.</p>
<p>National Collaborative Units (NCUs):</p> <p>Hosted by National Police Chiefs Council (NPCC)</p> <ul style="list-style-type: none"> • National Wildlife Crime Unit • National Counter Terrorism Security Office • National Vehicle Crime Intelligence Service <p>Hosted by territorial police forces:</p> <ul style="list-style-type: none"> • National Domestic Extremism & Disorder Intelligence Unit • National Fraud Intelligence Bureau • National Ballistics Intelligence Service • National Police Air Service 		<p>National Agencies</p> <p>EA: Environment Agency, non-departmental public body sponsored by DEFRA. Fisheries Enforcement Officers protect fish and combat poaching</p> <p>SEPA: Scottish Environmental Protection Agency</p> <p>EI: Environment Ireland</p> <p>NRW: Natural Resources Wales</p>

HOME OFFICE Ministerial department	HIS MAJESTY'S REVENUE & CUSTOMS (HMRC) Non-ministerial department	DEPARTMENT FOR ENVIRONMENT, FOOD & RURAL AFFAIRS Ministerial department
Special Police Forces <ul style="list-style-type: none"> Ministry of Defence Civil Nuclear Constabulary British Transport Police (rail) 		BSLC: UK Biological Security Leadership Council. Biosecurity is coordinated by unit within Cabinet Office. BSLC is linked to International Pathogen Surveillance Network (IPSN). Controls include Sanitary & Phytosanitary (SPS) at borders
Non-Police <ul style="list-style-type: none"> National Crime Agency (NCA) for SOC/OGC, manages child exploitation and online protection centre (CEOP) and National Cyber Crime Unit Gangmasters and Labour Abuse Authority (GLAA) similar powers to police constables Border Force (BF) frontline border control operations at air, sea and rail ports. Officers are dual-warranted as immigration and customs officers Immigration Enforcement (IE) responsible for preventing abuse, tracking immigration offenders and increasing compliance with immigration law 		FSA: Food Standards Agency, enforcement by National Food Crime Unit
Investigative <ul style="list-style-type: none"> Homeland Security Group, counter terrorism and organised crime Security Services, MI5 domestic (note Secret Intelligence Service (SIS) MI6 international, reports to Foreign Secretary) Serious Fraud Office, England, Wales & Northern Ireland 		

Border Force Activities

Officers work at around 140 sea and air ports across the UK and overseas to ensure the smooth flow of people and goods over the border. In doing so they help to support business and tourism which are vital to the nation's prosperity. For those entering the UK whenever there is reason to suspect criminality Border Force carries out rigorous work to stop illegal immigration and smuggling.

Clandestines, juxtaposed controls and use of technology

- Border Force conducts rigorous checks at UK ports, undertaken by skilled officers.
- All freight vehicles are screened for hidden people or other contraband before they get to the UK.
- Border Force uses a range of technology as well as visual checks and physical searches to detect stowaways hidden deep within vehicles. Officers also act on intelligence, targeting vehicles thought to be linked to organised crime. Checks involve state of the art scanning equipment, CO2 probes, x-rays, motion sensors as well as sniffer dogs. There have also been investments in new technology, such as e-Passport gates and motion detection to improve security and prevent illegal entry to the UK, benefit passengers and deliver efficiencies.
- Security and identity checks are carried out on 100% of passengers arriving at UK border on scheduled services together with intelligence led checks at smaller ports and airfields. Every passenger is subject to passport control checks against security and immigration watch lists they would be subject to if they arrived at a UK airport. Officers are experts in the detection of forged documents and imposters.
- The UK operates border controls in France, Belgium and the Netherlands. This allows Border Force officers to check passengers and freight destined for the UK before they begin their journey. These 'juxtaposed controls' are in place at Calais and Dunkirk ports, at the Eurotunnel terminal at Coquelles and in Paris Gare du Nord, Lille, Calais-Frethun, Brussels Midi and Amsterdam/Rotterdam stations for Eurostar passengers. The arrangement is reciprocal, with French officers completing Schengen entry checks in the UK. Outbound Schengen entry border controls at Dover are the responsibility of the French Police Aux Frontiers, who control entry to France, and the Schengen area, through their juxtaposed controls at the entry to Dover port. As well as illegal drugs, counterfeit goods and untaxed tobacco, thousands of attempts to enter the country illegally are stopped before vehicles leave juxtaposed locations.

Specialist Border Force work

- Forgery detection is a core part of training for all Border Force officers. Most ports have a team of specially trained forgery officers who will use specialist equipment to examine suspicious documents at ports.
- As well as detection and seizure work, Border Force also works to identify and protect vulnerable individuals including those at risk of trafficking, modern day slavery, forced marriage and female genital mutilation. A network of specialist Border Force safeguarding and modern slavery officers works across the UK. In 2018 the Home Office supported victims in 1,764 suspected cases of forced marriage, 574 of which involved under-18s.
- Close working with law enforcement colleagues
- Border Force works closely with the National Crime Agency, police, other law enforcement organisations and international partners. This joint work secures our borders against a range of threats, including modern slavery and human trafficking, terrorism, firearms, Class A drugs, and tax evasion whilst disrupting organised criminal groups.
- Border Force also works and shares intelligence with Immigration Enforcement Criminal and Financial Investigation (CFI) teams, who are an operational part of the Home Office, dedicated to investigating and prosecuting the criminal gangs behind illegal migration.
- Border Force work proactively with European law enforcement, including partners in France, Belgium and the Netherlands, to target the organised crime networks behind people trafficking and illegal migration.

National Counter Terrorism and Security Advice

Protect UK is an information sharing platform. Launched in 2022, this is a central hub for counter terrorism and security advice. Whether you're a business owner, work in security or are a member of the public, you can register with ProtectUK to become part of the community and receive the latest news and online courses that will enable you to be better protected.

Maritime Specific

PortSafe is a collaborative approach between law enforcement, first responders, partner agencies and industry to provide a benchmark of security within UK maritime commercial ports and port facilities. Membership is managed via the police team embedded within the Joint Maritime Security centre (JMSC) who can be contacted directly via PortSafe@hampshire.police.uk. There is no cost to join PortSafe, registering with JMSC will ensure you are added to a mailing list for timely updates and quarterly newsletter. This is aimed at but not limited to, those responsible for supporting commercial maritime, port and port facility activities. The police team within JMSC are available to answer questions and enquiries related to PortSafe. Members are encouraged to use the digital assets of PortSafe toolkits and the umbrella programme ProtectUK.

Wildlife

NWCU: The main role of the UK National Wildlife Crime Unit is to assist in the prevention and detection of wildlife crime. This is achieved by obtaining and disseminating information from a wide range of organisations and by assisting police forces in wildlife crime investigation. NWCU produces analysis which identifies and highlights local, national and international threats. We are also the conduit between police forces and PAW partners.

The Strategic Assessment sets out the NWCU's priorities for the next 3 years. However bi-annual analysis and risk assessments conducted specifically for the UK Tactical and Co-ordination Group (UKTCG) provides an opportunity for emerging issues to be raised and new priorities to be adopted. Similarly where the threat and harm has decreased, priorities can be lowered to intelligence requirements. This allows for a more robust approach to ensure that the unit are focusing on current threats. Current UK priorities for wildlife crime can be found [HERE](#). Information about other types of wildlife crime can be found [HERE](#).

PAW: A collaboration of organisations who work together to reduce wildlife crime. They do this through prevention and awareness-raising, better regulation, and effective and targeted enforcement. The Partnership for Action Against Wildlife Crime UK (PAW UK) helps statutory and non-government organisations to work together to reduce wildlife crime

Good Practice: Stakeholders

Stakeholder Map

Due to complex jurisdictions and numerous agencies, to manage MS&S exposures you will need to engage with many organisations, potentially with multiple in-house representatives too – so it is essential you clarify your stakeholders and relationship owners, have effective communications with them, and visibility at leadership levels. A stakeholder map can help manage this. Include:

- Name of stakeholder party/organisation
- Contact details
- Relationship owner
- Relationship needs e.g. information type and granularity, engagement cadence, and whether mandatory e.g. statutory ESG disclosure in annual report

You will probably find stakeholders in your value chain that are also interested in supporting your MS&S programme, perhaps already tackling the issues themselves #Never Underestimate The Power of Collaboration

Who To Tell

Your reporting arrangement should include primary contacts e.g. Police and BF, who can then advise or coordinate further agency engagement as appropriate to the nature of the event.

3. Do

3.1. Introduction

Organisations can take many different types of actions as suits their MS&S risk profile and performance aspirations. MS&S related guidance includes:

- [BS 25700: 2022 Organisational responses to modern slavery](#)
- ISO 37200 – new draft. *Guidance for the prevention, identification and response to human trafficking, forced labour and modern slavery*
- [ISO 20400 – Sustainable Procurement](#)
- Guidance on [Local Government Authority supply chains](#), and [Public Procurement](#) rules
- [ISO 27001 – Information Security, Cyber Security & Privacy Protection](#)
- Guidance from World Bank on [preventing wildlife trade through ports](#)

3.2. Resources

Identify resource needs to respond to MS&S exposures – consider your entire ecosystem and value chain e.g. direct hire and outsourced PFSOs, and account for anyone and everyone that can support your MS&S approaches. By harnessing enforcement and your supply chain (including customers) you can achieve ‘many eyes’ which as shown with terrorism threats is more effective than relying exclusively on your inhouse colleagues e.g. dedicated security team.

3.3. Competence

Think about what your people need to know i.e. risk-based approach to MS&S competence. For example front line colleagues should know about signs, the tell-tale suspicious behaviours that criminals exhibit. Additionally the indicators that are apparent when people are being moved by criminals e.g. those being trafficked. Further, the red flags that procurement professionals may need to be aware of to identify suspicious purchasing activities, and technology teams being alert to colleagues requesting access to secure manifest information that is superfluous to their role.

3.4. Awareness of Expectations

Colleagues should be made aware of your MS&S policies i.e. that these exist, what the documents say, liabilities (especially Directors), who are the interested parties, and their own individual responsibilities confirming how their performance may affect MS&S as well as the consequences of nonconformance with policies and other controls. Ensure you are clear about empowerment to act i.e. encourage all colleagues to feel a sense of agency, and also your wider network e.g. the public, customers and vendors who can support interventions (where safe to do so) and reporting on suspicious activities. Interventions may involve flagging concerns to supervisors and dedicated Security representatives within port operators and enforcement officials, or directly questioning or challenging acts that raise alarm bells – see section 4.1 on what to look for.

3.5. Communication

MS&S information can be conveyed by all the usual outreach methods e.g. inductions, notice boards and intranet sites, toolbox and all hands talks, articles in newsletters / magazines, and posters.

Expectations could be included within:

- Employee handbook
- Contractor Terms & Conditions and scopes of work
- Role specific guidance e.g. for Board, management, port worker and seafarer
- Function specific guidance e.g. HR, Procurement and Security
- Theme days e.g. community outreach events, and dedicated in-house campaigns

Good Practice

Continual Improvement

All policies, procedures and associated communications should be kept under review and maintained to ensure they remain effective.

Use Experts

To achieve effective messaging use subject matter experts or advisers e.g. MS&S Champions, who can discuss expectations and support colleagues with concerns.

3.6. Documented Information

To achieve your MS&S programme various process and output documents can and should be created and maintained. See checklist below and MS&S Programme Summary image in section 8.7.

#	STAGES	MS&S DOCUMENT CHECKLIST: TO CREATE & MAINTAIN
1	PLAN	<p>Discovery / gap analysis report to include: review of Target Operating Model and Vision, and outline MS&S needs including aims (target state) and scope (boundaries, organisational context, communications & controls)</p> <p>Stakeholders map confirming value chain and MS&S limits e.g. supply chain tiers</p> <p>Policies e.g. Whistleblowing, Security, Conduct, Modern Slavery, as well as Health, Safety & Welfare – are they sufficient?</p> <p>Leadership e.g. Board rep, duties of ExCo and Commissioners</p> <p>Governance forum expectation such as authorities, duties and information flows for reporting and escalation e.g. ToRs for Board and People Committee</p> <p>Strategy or programme – what are you going to change and how fast?</p> <p>Risk assessments e.g. PFSA, and Enterprise Risk Register</p> <p>Requirements register e.g. laws and contract conditions</p> <p>Objectives, targets and indicators – leading & lagging, and event reporting categories</p>
2	DO	<p>Resources - organisation charts and job descriptions, to achieve ‘many eyes’</p> <p>Competence – checks e.g. references, skills needs analysis, training plan, awareness information and course attendance records</p> <p>Awareness of expectations – approach to conveying e.g. Policies, and Contracts confirming expectations e.g. vendor SLAs and policy alignment, and empowerment</p> <p>Communications e.g. Monthly Board Report, and external disclosures e.g. ESG Report</p> <p>Documentation</p> <ul style="list-style-type: none"> - Process procedures on activities that need to be controlled such as: <ul style="list-style-type: none"> • Risk e.g. KYC, vendor checks, acquisition due diligence vendor due diligence • Financial conduct e.g. segregation of duties and levels of authority • Surveillance e.g. inspections - Outputs e.g. Modern Slavery Statement (see section 3.6.1 and Appendix section 8.6) and Performance data confirming progress e.g. against KPIs

#	STAGES	MS&S DOCUMENT CHECKLIST: TO CREATE & MAINTAIN
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Operations

- Governance & conduct e.g. Board Terms of Reference, plus outputs e.g. Management Review packs and minutes of meeting
- Culture e.g. programmes to drive towards chosen styles and ways of working
- Training e.g. delivery of mandatory modules using Learning Management Systems
- System wide approach e.g. integrated management system

Operational Plans e.g. Information Security Plan, Port Facility Security Plan and Biosecurity Plan. Address access control e.g. physical and cyber barriers, with tamper seals and breach alerts

Preparedness and response e.g. contingency and continuity plans, victim interview checklists, and risk-based intervention PPE, and tests/drills

3 CHECK

Data – list of sources confirming use & retention restrictions (GDPR), sharing agreements, and defined analysis processes whether manual or automated for reporting using tools such as PowerBi. Division of responsibilities/RACI for data management e.g. Security/CSO and Technology function

Performance reports e.g. Board, shareholder, colleague and community group updates, and statutory disclosures e.g. on ESG and financial reports, and Modern Slavery Statement

Management review - meeting schedule, minutes and action tracker

Audit - schedule, reports (by you and others) and corrective action request (CAR) tracker

Incident – reports, investigation Board lessons learned, and shared alerts

Inspection - schedules and checklists, for cargo, animals, vessels, vehicles and people

4 ACT / IMPROVE

Disclosure – tell stakeholders what you will do next

Management of change – updates for existing and new locations/activities e.g. risk assessment due to performance issues, and new business e.g. acquisition

3.6.1 Modern Slavery Statement

Due to the UK Modern Slavery Act 2015 organisations with a turnover of £35 million or more providing goods and services in the UK must disclose in an annual Statement. This Statement needs to detail steps taken during the last financial year to ensure that the organisation and supply chains are free from Modern Slavery. The Statement must be approved by the organisation's Board of directors, signed by a Director and published on the organisation's website with a Statement link on the home page as soon as reasonably practicable after the end of each financial year. Statements are expected to also contain the following information:

- 1) Organisation structure and supply chains
- 2) Policies in relation to slavery and human trafficking
- 3) Due diligence processes utilised
- 4) Risk assessment and management confirming actions taken to control risks
- 5) Key performance indicators to measure effectiveness of steps being taken
- 6) Training undertaken on modern slavery and trafficking

Statements can be added to the government Registry of Statements, see Appendix 8.6 for details.

Good Practice

Demonstrate Leadership

If your organisation doesn't have a turnover of £36m, you can still create a Modern Slavery Statement and put it on your website to confirm your awareness of and approach to this subject. Your value chain e.g. freight customers and investors may also want to know your position e.g. due to ESG disclosure laws.

3.7. Operational Control

Ensure sufficient risk treatment by controlling your operational activities to within appetite for risk.

3.7.1 Governance & Conduct

Governance controls could include:

- Consideration of MS&S exposure profile and extent of incidents by the Board and Executive Committee e.g. as a reportable metric within wider performance dashboard.
- Clear assignment of MS&S risks and controls across the business at leader and practitioner level to ensure that everyone is aware of their responsibilities.

- Where legally required, the organisation should as a minimum have a MSA Statement with annual reporting on activities and improvements, signed by leaders.
- Policies and procedures for preventing MS&S in your supply chain or wider value chain, endorsed by leaders.
- Conduct / ethics risks associated with MS&S include financial crimes such as fraud and insider facilitation of compliance breaches e.g. perimeter fence entry by external parties. An insider threat is a risk of harm that comes from within the organisation — usually from a current or former worker or other person who has direct access to facilities, as well as assets, data and intellectual property (of the organisation and customer), plus knowledge of processes, policies or other information that would help carry out an attack. See IMO's insider threat toolkit: [Insider Threat \(imo.org\)](https://www.imo.org/About/Press/Pages/2019/01/Insider-Threat.aspx)

Conduct controls could include:

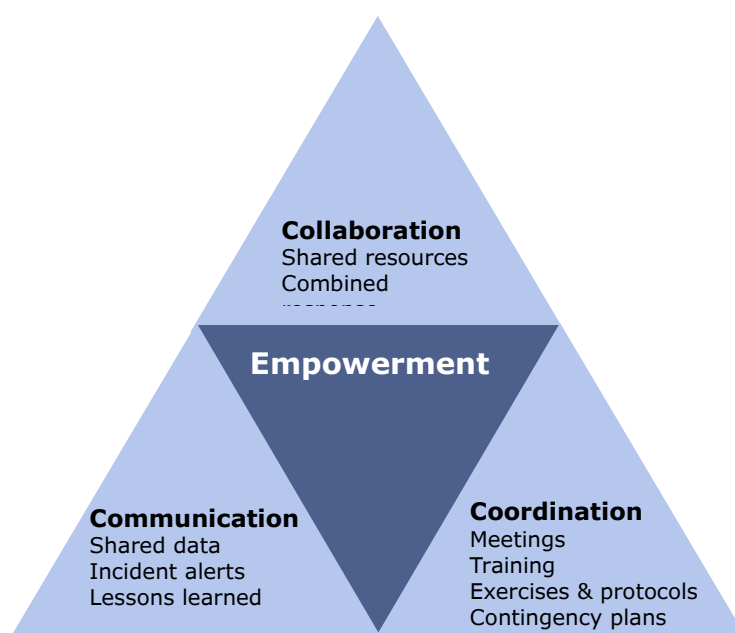
- Training on expectations e.g. induction for all plus risk-based content depending on roles
- Awareness of insider threats e.g. money offered to stevedores and gatehouse workers to turn a blind eye or assist in locating and decanting contraband containers. Additional examples of insider threats are technology, procurement and finance teams deleting evidence.
- Segregation of duties, defined levels of authority / authorisation, and multiple approvers.
- Know Your Customer (KYC) and Anti Money Laundering (AML) checks, plus external audits and statutory financial reporting.
- Whistleblowing hotline.

3.7.2 Culture

As described in section 3.4 above, enhancing empowerment of colleagues can improve port resilience and facilitate successful achievement of MS&S deterrents resulting in multiple benefits.

Enhancing co-operation, co-ordination and collaboration between port and enforcement representatives will also provide benefits e.g. setting up a Joint Agency Group can share knowledge on local insider threats, which can be **responded to - before events materialise**.

Going for Gold: Empowerment



3.7.3 Training

Programmes to address MS&S should include awareness training for colleagues across the port ecosystem and beyond to service providers, and can also be provided to communities e.g. through port user group forums.

Where to get help

Charities

Many provide MS&S training and other resources, examples include:

- **Stronger Together**¹ is a not-for-profit organisation with a mission to enable organisations to embed responsible recruitment and employment practices and mitigate labour exploitation in their operations and supply chains.
- **Invisible Traffick**² is a national charity with a mission to combat modern slavery locally and internationally, committing to making the invisible visible, by raising awareness of human trafficking in all its forms with specific focus of Port and Maritime operations. Offerings include tailored in-person and online training packages such as those supported by the Security Industry Association (funded by criminal proceeds).
- **Walk Free**³ is an international charity with extensive modern slavery data and toolkits.

¹ <https://www.stronger2gether.org/>

² <https://invisibletraffick.org/>

³ <https://www.walkfree.org/resources/>

National administrations




- UK Government and agencies have produced resources on MS&S including [National Crime Agency](#), [National Wildlife Crime Unit](#), [Modern slavery](#) and [MS resource page](#)
- Northern Ireland Executive has published resources such as [modern-slavery-and-human-trafficking](#), and [Police Service of Northern Ireland](#) provides useful guidance - [advice and information on modern slavery and human-trafficking](#)
- Scottish Government has published leaflets⁴ to raise awareness, and together with Police Scotland provides resources on the extent of trafficking in Scotland, the impact on victims, and how to find out more and report concerns – see migrationscotland.org.uk.

International entities and agencies

- UN Office on Drugs & Crime - [Course Catalogue](#), [Training manual on migrant smuggling](#) and [Wildlife](#)
- IMO - [Guidelines for the Prevention of Wildlife Smuggling](#)
- World Bank – [Reducing Maritime Trafficking](#), [Best Practice for Ports](#)

3.7.4 System-wide approaches

To be most effective MS&S controls should form cohesive frameworks across all your management arrangements, for example see the World Bank's report, [Combating Illegal Wildlife Trade through Ports](#).

 <h4>Due diligence and documentation:</h4> <ul style="list-style-type: none"> ☑ Know Your Customer – new customers and ongoing monitoring of established customers (see Box 1 for more guidance) ☑ Due diligence on new employees – geo-locate address, check website, contact info, tax/business registration ID. ☑ Collect (if national legislation allows) shipper, agent and consignee information ☑ Develop and maintain a caution list of fraudulent shippers/clients etc., ☑ Go digital – for documents, and automate transport processes 	 <h4>Internal/company policies and practices</h4> <ul style="list-style-type: none"> ☑ Adopt a zero-tolerance corporate policy for any act linked to illegal wildlife trade and related corrupt behaviour ☑ Training of employees on wildlife trafficking issues and latest trends (e.g. concealment methods and trafficking routes) ☑ Implement supply chain security programmes such as World Customs Organization's Authorized Economic Operator (AEO) programme and the Customs Trade Partnership Against Terrorism (CTPAT) ☑ Become a member of the National Association relevant to your line of business, the Chamber of Commerce and or other national, regional and international initiatives. 	 <h4>Interaction with customers and authorities</h4> <ul style="list-style-type: none"> ☑ Encourage shippers to use WCO's HS codes and include them in Bills of Lading (B/Ls) to strengthen Customs' ability in container risk profiling (see Box 2 for details). ☑ Ensure timely provision of shipping documentation to Customs. ☑ Support critical evidence for the Law Enforcement by providing shipper, agent and consignee information, such as phone numbers, email, and addresses (if national legislation allows).
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⁴ <https://www.gov.scot/publications/human-trafficking-resources/>

3.8. Preparedness & Response

MS&S situations that require preparedness and response actions may originate from within your organisation, and have the potential to affect you and your value chain, or conversely it may be an MS&S condition that has the potential to affect your organisation and value chain.

3.8.1 Preparedness for Events

Verify that your organisation has the processes in place which are ready to trigger a planned response to MS&S events i.e. contingency arrangements. These arrangements probably already exist as Health & Safety and/or Security processes:

- Identify potential event scenarios
- Respond to events (incidents and near misses) by triggering response actions
- Train personnel before they are required to participate in the response
- Regularly test (drill), review and revise responses
- Ensure that interested parties are made aware of these arrangements
- Prevent and mitigate impacts and risks that may be associated with events

Review these processes for MS&S aspects e.g. what sort of scenarios could occur, and specific issues related to looking for and finding smuggling of illicit cargo such as weapons and unquarantined wildlife, that may require colleagues and enforcement to use additional PPE. Reporting of instances e.g. suspected human trafficking is addressed in section 5 below.

3.8.2 Event Responses

Responses may be similar for MS&S but likely to need crime-specific management approaches.

Smuggling

Existing good practice Security and Health & Safety controls may be sufficient however the nature of what has been smuggled may represent specific or additional risks e.g. hotel containers with people inside or luggage with animals inside, may need urgent assistance. Narcotics and weapons finds may require special PPE.

Modern Slavery

In the event that victims are identified (being overtly trafficked or smuggled, or are clandestines / stowaways discovered in transit or at their departure or destination point) bear in mind the traumas they may have already endured. See [Operational_Handbook_for_PIU_Officer.pdf](#) (unodc.org)

Good Practice

Checklist for frontline workers

- Assess the situation, ensuring health, safety and welfare of all personnel as key priorities
- Do not confront victims, Speak with empathy and make eye contact
- Don't assume you know what is happening and challenge people, as the subjects of harm and perpetrators may be difficult to distinguish
- Speak to the subject / perceived victim in private – someone with them could be a criminal i.e. trafficker/smuggler
- Tell the subject you are concerned for their welfare and safety
- Use official interpreter service – don't rely on any persons accompanying them for the same reasons as above
- Use pen and paper, body worn video and/or phone applications so you can record what the subject says. Ask lots of questions as they may be more willing to speak to port / ship workers than enforcement officers, as officials in uniforms may be feared. Often frontline workers know that something isn't right but aren't sure exactly what questions to ask. Enforcement screening forms focus questions on the following topics:
 - Travel: When did it occur, who booked it and how, and who paid for it. Do they know where they are right now?
 - Recruitment: How did they get into the job / situation they are now in? Did they pay a recruitment fee? Were promises made that don't match up to reality?
 - Adverts (for sexual services): Are they in control of their own advert? Do they know what services they are supposed to offer?
 - Payment: If paid, how? By cash or bank transfer? Or are they not paid at all?
 - Accommodation: What are the arrangements? Many trafficking victims are required to live in property linked to the job or role, they might not pay rent but maybe aren't receiving a wage either.
 - Control Used: Any threats / force / coercion / deception (an important element of proving labour exploitation)
- Report events to relevant authorities and cooperate with enquiries
- If a vehicle is involved, do not move it until an inspection has been conducted
- Once people are moved away from the area/vehicle/vessel, check condition of assets e.g. cargo and cargo transport unit (CTU)
- Advise your customer/cargo interests (and insurers) of the incident. Working openly from an early stage will assist mitigating costs and manage reputational damage for all
- Report to relevant colleagues, ensuring escalation to supervisors as well as enforcement
- Workers and other interested parties e.g. port neighbours, who spot signs of MS&S should follow policies and procedures. Where applicable e.g. insider fraud, follow whistleblowing processes

4. Check

Establish actions that will find suspicious situations and activities so that you can pre-empt and respond to instances and also evaluate performance and effectiveness of actions, for example:

- Monitoring, measurement, analysis and evaluation
- Internal audit, and checks done by others e.g. enforcement including Flag State Control
- Management review

4.1 What to Look For

During your MS&S programme planning stage you should have defined what needs to be monitored and measured, identifying criteria against which your organisation can check its performance. Particular attention should be given to criteria that need to be communicated e.g. to external stakeholders, and where it relates to compliance obligations e.g. legal and internal controls.

Good Practice

Define MS&S leading and lagging indicators

Look for positive and negative aspects

Leading

1. Gate chats e.g. Security or unvetted externals/public, engaging port workers and customers
2. Competencies and headcount versus required organisation e.g. vacancies
3. Use of 3rd parties e.g. Security services
4. Untested plans e.g. crisis response, and business continuity
5. Unresolved audit findings and overdue close out of actions
6. Missing investigations and lessons learned
7. High value cargo by weight/volume
8. Segregation of duties for potential conflicts of interest e.g. operational manager is investigator

Lagging

1. Events – incident and near miss rates e.g. instances of hotel containers
2. Losses – direct e.g. insurance premium excess and uninsured costs, and indirect e.g. customer claims on their policies which impact contract renewals
3. Enforcement notices – agencies, public administration e.g. planning consent refusal / extra conditions
4. Turnover of personnel – rate of attrition, especially in certain roles/teams

4.1.1 Modern Slavery

Key indicators are outlined below – these can be added to training and checklists e.g. for frontline.

Signals by Victims

- Hand alert - Victims can display single handed alerts to a camera or directly to people, to discreetly indicate distress and need of rescue.



1. PALM OUT



2. TUCK THUMB



3. TRAP THUMB

The signal is performed in one continuous movement, by holding a hand up with thumb tucked into the palm, then folding fingers down, symbolically trapping the thumb by the fingers. See videos for demonstration [Hand signal by workers](#) and [Hand signal by Customers or workers off duty](#).

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- Luggage alert – an out of place item e.g. metal spoon stowed in hand luggage or clothing being worn to set off alarm enabling a private interview with enforcement, used by women and girls being forced to travel for unwilling arranged marriages (Sky News)
- Verbal alert – use of code words e.g. Ask for Angela (resources link)

Signs To Notice – Potential Victims

Physical appearance: signs of malnourishment; injuries or poor hygiene; fatigued or exhausted; and wearing inappropriate clothing/footwear for the season, location or work they are (or alleged to be) undertaking.

Psychological state: appear to be withdrawn, reserved, fearful, anxious, confused or traumatised.

Few or no personal effects: no money, no personal items, few or unsuitable clothing, with little or no food.

Isolation, and subject to control with restricted freedom: unable to provide their own identity documents such as a passport, driving licence or bank account, or someone provides these on behalf of the victim. Unable to come and go freely, handle money or communicate effectively perhaps having someone

communicating on their behalf. For example, not often left on their own and appear to be under the influence of others who present their documents and speak for them, book them on to work shifts, speak on their behalf or take them to and from work.

Reluctance to seek help: avoid eye contact, afraid to talk and reject offers of help.

ILO Forced Labour Indicators

These indicators flag risks of forced labour and should be used for targeting prevention and response actions, see [ILO Indicators for FL](#)

1. Abuse of vulnerability
2. Deception
3. Restriction of movement
4. Isolation
5. Physical and sexual violence
6. Intimidation and threats
7. Retention of identity documents
8. Withholding of wages
9. Debt bondage
10. Abusive working and living conditions
11. Excessive overtime

Awareness videos on what to look for

Many generic training packages are freely available from charities and other organisations such as:

- The UK Gangmasters & Labour Abuse Authority on how to spot the signs – see <https://www.gla.gov.uk/who-we-are/modern-slavery>
- The Home Office video on understanding modern slavery and human trafficking – see https://www.youtube.com/watch?v=Jv1H_fAoOG4
- Unseen UK: Can you spot the signs of modern slavery? – see <https://www.youtube.com/watch?v=CuqhvnWCHew>



Occupational Standards

Modern slavery risks include employment situations and so workplace inspections are an important element of controlling potential threats, by looking for signals, signs and indicators outlined above. The Merchant Navy Welfare Board (MNWB) charity runs a programme examining seafarer welfare facilities and services at **ports, as detailed below**. Other charities also provide outreach which include welfare checks on occupational standards e.g. QVSR (see Case Study section 6). Additionally, enforcement agencies undertake notified and un-notified checks e.g. Port Police and Border Force, boarding vessels to speak with crew which may include checking welfare standards and adherence to employment rights.



UK NATIONAL SEAFARERS' WELFARE BOARD

The Merchant Navy Welfare Board

(MNWB) was established in 1948 to support the Merchant Navy and fishing fleets. In 2021, it signed a Memorandum of Understanding (MOU) with the Maritime and Coastguard Agency (MCA), an Executive

Agency of the Department for Transport, formalising its role as the UK's National Seafarers Welfare Board (NSWB). This MOU supports the UK's compliance with the MLC 2006 and ILO Convention C188 and contains general objectives that the MNWB and the MCA are jointly responsible for, as well as MNWB specific objectives.

The MNWB is made up of 46 Constituent Organisations covering the UK Merchant Navy and Fishing charity sectors. These organisations are represented on its Council of Management along with shipowners, trade unions and UK ports. Regular attendance by the MCA, which has official 'Observer' status on the Council, ensures input from the whole sector and reflects the tripartite nature of MLC 2006.

The NSWB fulfils its role through MNWB's existing structure, which closely resembles that required by MLC 2006 (Regulation 4.4), and the Constituent Organisation membership. This allows effective communication within and throughout the UK Merchant Navy and fishing charity sectors.

The NSWB manages a network of 15 Port Welfare Committees (PWCs) covering the entire UK, with two Port Welfare Committee managers appointed to organise and oversee the committees. It also supports the National Welfare Board in Gibraltar and the Port Welfare Board in Falkland Islands.

There are three forums that review and discuss the broader issues affecting the welfare of seafarers and fishers: the *Serving Seafarers Forum*, the *Older Seafarers & Families Forum* and the *National Port Welfare Forum*. These forums provide an opportunity for key stakeholders to meet and discuss sector wide challenges rather than the localised matters raised at PWCs. The UK PWCs feed into the National Port Welfare Forum so that the NSWB is connected to front line operations and understands the needs of its constituent organisations and their beneficiaries.

The 350 strong PWC membership includes:

- Maritime Charities
- Maritime Trade Unions
- Port Owners/Authorities
- Shipowners
- MCA
- Port Health
- Border Force
- Police

The PWCs feed into the National Port Welfare Forum and, together with the Serving Seafarers Forum and Older Seafarers Forum, provide a complete picture of the UK's extensive welfare provision.

The NSWB reports regularly to Government through the Department for Transport following each round of PWC meetings. This ensures that the Government has direct visibility of welfare provision in UK ports.



WE ARE THE **UK NATIONAL SEAFARERS' WELFARE BOARD**

A leading national maritime charity supporting the maritime welfare sector, **MNWB has a membership of 46 major seafaring and fishing charities** and is increasingly recognised as the representative voice of the UK's Merchant Navy and Fishing Fleets.



We improve the lives of seafarers by driving growth and raising welfare standards in collaboration with our stakeholders.



Sector reports from each forum to build national picture of welfare provision

OLDER SEAFARERS & FAMILIES FORUM



Charities supporting older seafarers & fishers and their families

SERVING SEAFARERS FORUM



Charities delivering front line support to serving seafarers & fishers

NATIONAL PORT WELFARE FORUM



Managers and representatives of the UK's 15 PWCs

MNWB operates a network of
15 PORT WELFARE COMMITTEES (PWCs)

in the UK and the Seafarers' Welfare Board in Gibraltar that focus on improving welfare provision in the ports they represent.



Selected Organisations Supporting Work on Modern Slavery & Smuggling

The Seafarers Charity is focussed on achieving five long-term outcomes for seafarers to reduce the need and enable greater independence:

1. Enhanced financial resilience
2. Better working lives at sea
3. Safer working lives at sea
4. Improved health and well-being
5. Increased social justice



In terms of social justice, the charity's Thrive strategy aims to ensure that seafarers and their families have access to welfare services and programmes that are responsive to the unique needs of working at sea and provide support during retirement. This includes respect for diversity and cultural differences, reducing the fear of bullying or harassment, and supporting human rights. The strategy is delivered through access to services and outreach programmes. See [Charity for Seafarers | Donate to a Maritime Charity \(theseafarerscharity.org\)](https://www.theseafarerscharity.org)



The Fishermen's Mission is the only national charity that is solely dedicated to the welfare of active and former fishermen (and their families) in the UK – and are active in all four home nations.

Stella Maris is the largest ship-visiting network in the world. The charity aims to improve the lives of seafarers and fishers through their network of local chaplains and seafarer centres, expert information, advocacy, and spiritual support. Seafarer welfare and occupation standards are a key focus for this charity. In addition finding ways to cooperate and coordinate with industry, enforcement and others, are key aspects of the charity's activities. See Stella Maris

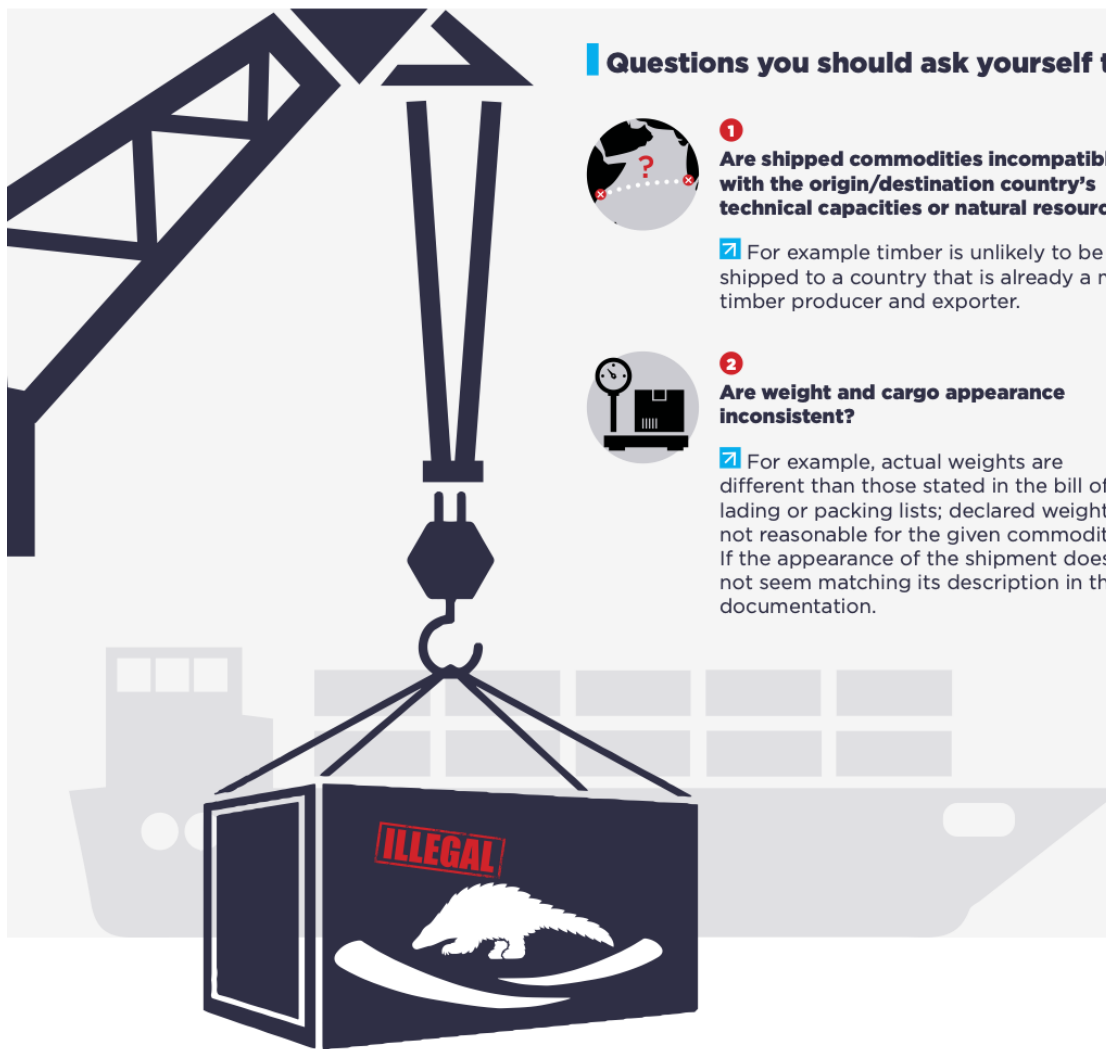


4.1.2 Smuggling


Signs and indicators associated with smuggling include:

- Cargo weight vs appearance discrepancies
- Questionable paperwork e.g. photocopies vs originals and incomplete information
- Abnormal routing and destination, or route change after journey initiated


Checks To Identify Smuggling Red Flags




Questions you should ask yourself to spot possible red flags:

- 


1 Are shipped commodities incompatible with the origin/destination country's technical capacities or natural resources?

For example, timber is unlikely to be shipped to a country that is already a major timber producer and exporter.
- 


2 Are weight and cargo appearance inconsistent?

For example, actual weights are different than those stated in the bill of lading or packing lists; declared weight is not reasonable for the given commodity. If the appearance of the shipment does not seem matching its description in the documentation.
- 

3 Are commodity descriptions dubious, vague or misleading?

For example, commodities described simply as 'shell', 'horn', and 'rosewood' (there are many species of rosewood, only some are illegal).
- 


4 Does the value of cargo tally with its description and size?

The value of cargo can help triangulate evidence as to whether a proposed shipment to be loaded onto a vessel matches what is stated in the Bills of Lading (B/L).
- 

5 Is the paperwork questionable?

For example, are photocopies used instead of original documents? Are there spelling mistakes or inconsistencies? Is there a mismatch of permit number or date? Are documents expired? Is the official counter signature missing or do the documents seem altered (for example, look out for odd formatting, blurry text or cut and pasted logos)

Supported by:





6

Is the shipping route abnormal for the product and destination?

For example, a) the shipment makes no commercial sense, e.g. is sent via a long slow route involving multiple stops when more direct routes exist; b) the shipping costs are abnormally high compared to shipment value; or c) the shipment has no clear market value, e.g. scrap metal being shipped across continents.



7

Was the shipping route changed after the ship has left the port?

Change of destination or diversion of cargo can be an indicator of illicit activities and an attempt to evade controls.



8

Was the Bill of Lading (B/L) switched?

This is when a freight or shipping agent files a new Bill of Lading for a shipment that is already en route. While often legitimate, this is a common tactic used by traffickers to disguise information about the port of loading (origin), port of discharge (destination) and routing of a shipment.



9

Was the use of a Letter of Indemnity (LoI) requested without just cause?

This can be legitimate where, for instance, the voyage is too short to issue B/Ls. However, the LoI can request different receivers, consignees and B/L contents and could therefore be used to evade enforcement agencies by using different receivers at short notice and to change the port of discharge.



10

Are Free Trade Zones or Free Ports used for the shipment?

The simplified import, export, transit and trans-shipment procedures and lax controls of free trade zones and free ports can make them prime sites for diversion of illicit shipments to sanctioned countries.



11

Is the shipper and consignee information false?

For example, look out for addresses that appear incomplete or overly simplistic (e.g., "1234 Main Street"); consignee names that are similar to large well-known companies; consignee addresses that are different to the businesses associated with the declared commodity; or when a freight forwarding company is listed as the recipient for a shipment.



12

Is a first-time shippers reluctant to offer information about their business and product end-use?

New customers need screening to rule out that they are shell companies created to obfuscate the actual ownership of the cargo.



13

Was shipment clearance requested last-minute?

This might be an attempt to avoid Customs' controls due to time constraints.



14

Are payments made in cash?

Paying with cash instead of wire transfer or financing is preferred by criminals since it is not traceable.

One risk indicator alone, or without additional information about the client or transaction, is not likely to be sufficient to confirm there is an illicit activity. If you suspect something suspicious, ask the client to provide you with more information and follow your internal company/organization Standard Operating Procedures for reporting.



Checks on Customers to Spot MS&S Risks

See The World Bank's guidance on combatting illegal wildlife trade through ports⁵ for some useful questions to ask when assessing potential new clients (or monitoring existing ones):

- 1 Is the shipper a registered business entity? Does it have a tax ID? Is it a member of the national Chamber of Commerce or the relevant business association?** Conduct searches on local corporate registry to verify that the company is active. (Remember: recently established companies maybe a risk factor!)
- 2 Does the company exist on the web? Own or third-party website? Does its website corroborate the stated line of business?** (For example, a Nigerian timber company sending a one-off shipment of cashew nuts should sound suspicious)
- 3 Can you geo-locate the company? Is it a private residence or commercial property? Are multiple other businesses registered at the same address?** (Remember: the inclusion of fake addresses on documentation is a possible indicator of a shell company)
- 4 Are the IP address, phone, and email address consistent? Is it a business email address or a gmail or yahoo account, etc? Who answers the phone?** (Conduct searches for adverse media coverage on shipper in local language sources. Links between Africa-based shippers and Vietnamese or Chinese individuals/companies it might be a risk factor)

⁵ <https://www.worldbank.org/en/news/video/2021/12/20/combating-illegal-wildlife-trade-through-ports>

Smuggling Red Flags: Wildlife & Timber



Shipment of commodities incongruous with origin and or destination country



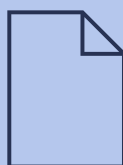
Weight and appearance discrepancy



Dubious or vague description



Value of cargo does not tally with description or size



Questionable paperwork



Consignment split across multiple shipments



Shipping route is abnormal for the product and destination



Change of shipping route once the ship has left port



Switch Bill of Lading



Request for use of Letter of Indemnity without just cause



Use of Free Trade Zones and Free Ports



Failure to disclose true shipper or consignee information



First-time shippers and shipper's reluctance to offer information about their business and the end-use of a product



Last minute request for shipment clearance



Cash payments

united for wildlife

United for Wildlife is an unprecedented global alliance of private sector, law enforcement, governments and not-for-profit organisations, working together at pace to raise awareness, target, disrupt and prevent cases of illegal wildlife trade. At its core United for Wildlife fosters global collaboration in the private sector to stop the trafficking of wildlife products. It does this through two Taskforces: a Financial Taskforce and a Transport Taskforce. These Taskforces bring together some of the world's largest businesses in the transport and financial sectors to break the chains of the illegal wildlife trade.

By sharing knowledge and information across sectors and between countries, United for Wildlife (UfW) is transforming illegal wildlife trade prevention and the prosecution of those who profit from these crimes. The Transport Taskforce convenes airlines, ports, shipping companies, freight organisations and logistics firms, to prevent illegal wildlife products from being successfully trafficked across borders. As described by Ian Cruikshank, The Royal Foundation Transport Taskforce Manager "Wildlife crime poses an international threat to our nature, health and security. UfW offers a global solution to end this global problem. Criminals look to exploit weaknesses in transport supply chains to move products. Perpetrators facilitating wildlife trafficking typically use commercial transport infrastructures to move products from source to destination countries – and this includes maritime operations.

To tackle these crimes UfW has engaged companies across the transport sector to raise awareness of criminal activity, identify the sector's exposure, and find solutions to stop the illegal wildlife trade. The Transport Taskforce brings together global transport and freight industry experts including airports, shipping companies, and airlines with law enforcement and other agencies to identify and facilitate action led by the private sector. In 2016 its founding members signed the Buckingham Palace Declaration which lays out 11 commitments including taking a zero-tolerance pledge to illegal wildlife trade, enhancing data systems and innovation, and improving information sharing across the transport sector. The Taskforce's membership is constantly growing which is testament to the power of UfW's unique partnership approach.

Taskforce partners have helped Microsoft explore pioneering new scanning technology which has the potential to greatly increase detections of wildlife products in cargo. The partners have also worked with WWF and TRAFFIC to create new guidelines adopted by the International Maritime Organisation and endorsed by the UN, for the 'Prevention and Suppression of the Smuggling of Wildlife on Ships Engaged in International Maritime Traffic.' See UfW website for other resources including:

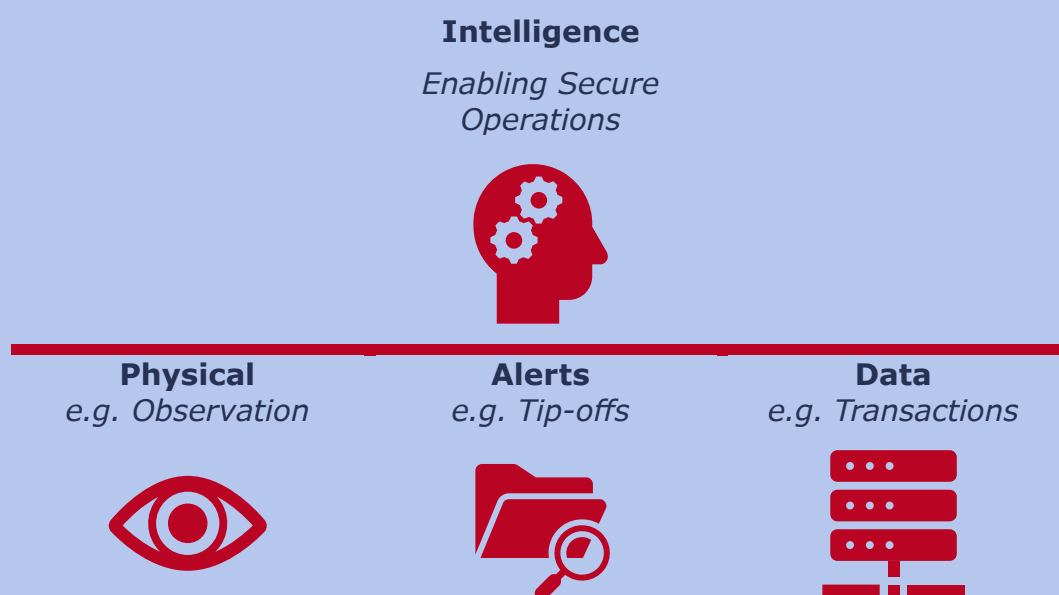
Robert Campbell, The Royal Foundation's Programme Director for United For Wildlife comments "We applaud this BPA initiative and endorse the Guide's aspirations, recognising this as a much-needed development that supports our intent of encouraging improvements in industry level standards that enhance the sectors response to IWT".

4.2 Monitoring, Measurement, Analysis & Evaluation

This section considers using data to analyse performance against MS&S requirements and objectives.

Like all crimes, smuggling can be detected by looking for suspicious activity across your operations and within each function's activities (inhouse and outsourced) – evidence could be found anywhere, such as from purchasing to sales. Relevant information may be identified before, during and after crimes i.e. planned breaches before events occur, events in flight, and post event evidence.

The aim of an MS&S programme is to prevent or minimise harm, using risk based approaches to create and protect value. Aspects that provide relevant intelligence include physical signs (e.g. broken seals), behavioural signs (e.g. nervous driver), and data based signs (e.g. transaction records - as is often the case, it can be illuminating to follow the money).



4.1.1 Data Sources

Surveillance is essential to combatting MS&S. Paperwork can provide rich intelligence as described in section 4. Security detection systems include direct observation, use of cameras e.g. CCTV, and drones (see section 6.2 ABP Case Study), sensors and technology which harnesses data such as Artificial Intelligence and Internet of Things (IoT) e.g. for automatic number plate and facial recognition, all of which equip personnel with information which supports establishing when to act. Critical to this is culture and training enabling empowerment to intervene – when you see something concerning or suspicious, what stops you from taking action?

Good Practice: Data

Sources

Define your MS&S data sources in relation to your requirements e.g. statutory reporting, and objectives e.g. aligned to risk indicators. It may help to map these against port operations in terms of locations, functions and stakeholder relationships. Also review your existing plans e.g. PFSP and Cyber Security Plan, and these will contain existing data sources.

Select

Choose the most appropriate data, the aim is to be able to turn it into useable information to target MS&S.

Data Flow

Think about who has data and who to share with. They may be internal or external, there will be dependencies and potential quality issues e.g. if your workers are 3rd parties, that organisation will be responsible for vetting. The cargo coming to your port will be documented by many parties e.g. owners, carriers, couriers and freight forwarding agents.

Analysis

Consider existing collation and analysis activities you can harness e.g. daily reports and dashboards that can be mined for MS&S aspects – preferable to the alternative of creating new data vehicles such as a new form for colleagues to complete.

Containers

Security for container shipping and terminals has long been one of the shipping industry's biggest challenges. The last decade has seen a rise in smuggling of trafficked people and contraband. What makes shipping containers seemingly vulnerable to security breaches is that of the 500 million containers transporting 90% of the world's cargo, UNODC estimates only 2% are inspected. Against this backdrop, achieving a level of visibility, transparency and early detection can make a significant contribution to the problem. That's where technology can step in: telematics driven by IoT and machine to machine (M2M) technology can play a key role in minimising the potential for smuggling.

Smart containers are in use globally. These are standard containers fitted with internet-connected devices and interconnected sensors that collect, collate, and transmit container data. These sensors and devices act like traditional data loggers but users can view the information across the globe.

Monitoring container doors is key to preventing intrusion. Container tracking solutions for shipping lines support IoT door sensors that can track unauthorised or unexpected door openings in real-time. These sensors monitor door status and send email or SMS notifications to alert cargo owners, shipping lines and port

personnel on door openings that take place outside a pre-determined geofence or report sensor damage. Associated platforms can detect if there have been any route deviations of the container.

Using Tools

Operators and enforcement can use risk profiling tools to identify hotspots in the supply chain based on threat intelligence and reported events e.g. in relation to routes, supply chain brands and cargo types. Data analysis can be used to frame actions which will minimise risk factors. For port operators benefits include avoiding potential problems, being ready to respond and fast track border controls.

Multiple sensors can be deployed to provide richer data focussed on particular perceived threats. For human trafficking and livestock including wildlife – CO2, sound, temperature, humidity, motion detection and gyroscopes (to detect impact and vibration) are particularly useful. Contraband such as weapons and illicit narcotics may be detected through detection of particular chemical signatures.



ORBCOMM is a pioneer in IoT technology, empowering customers with insight to make data-driven decisions that help them optimize their operations, maximize profitability and build a more sustainable future. With 30 years of experience and the most comprehensive solution portfolio in the industry, ORBCOMM enables the management of over a million assets worldwide for a diverse customer base spanning transportation, supply chain, heavy equipment, maritime, natural resources and government.

The company's ESG Report 2023 describes maritime surveillance applications related to Modern Slavery and Smuggling with an example from Thailand. The country's leading service provider of maritime satellite communications (ETNECA) is using ORBCOMM's vessel monitoring system to promote responsible and sustainable fisheries management, protect the marine environment and ensure regulatory compliance while improving maritime security such as monitoring for suspected human trafficking. Read the full case study <https://blog.orbcomm.com/vessel-monitoring-system-helps-tackle-fishery-management-in-thailand/>

4.1.2 Data Driven Decisions

To ensure leaders and decision makers have visibility of exposures and opportunities for improvements, management information (MI) is required. MI can enable effective targeting of resources and allow objective decision making based on risk and data rather than subjective views which may be unreliable. With so much data it can be difficult for people to synthesise information, to see patterns of suspicious activity and behaviours – technology can assist.

The large amount of data associated with MS&S can be leveraged using Artificial Intelligence (AI) or Machine Learning. With the speed that technology is moving, and the promise of what AI can do by reasoning over large amounts of unstructured and disparate data sources which can be shared in commercial and public e.g. enforcement arenas, as well as public/private partnerships – maritime value chain data lakes can be harnessed to focus on MS&S. There are opportunities to move from an investigative/reactive posture to an intercept/proactive posture. AI has the ability to play a role in multiple areas such as: being able to recognise changes in MS&S patterns, interpret governance documentation, and facilitate real-time cooperative information sharing.

Using separate data in silos can provide limited and even mis-leading conclusions and ineffective outcomes. Ports are ecosystems with multiple stakeholders within their facilities and extending wider ashore and afloat. Successful control of risks requires collaboration which includes data use and analysis. To be most effective MS&S programmes and associated data should be cohesive. Collaborative partnerships are most powerful when there is the ability to share data across value chain parties - when historic data silos are collapsed and trust is established. To get there the technology is not typically the blocker, instead it is more often organisational sensitivities i.e. regulatory, cultural and commercial issues.

Good Practice: Data Collaboration

Data Collaboration

Success can be enhanced with careful planning around:

1. Governance

- Legal structures and interfaces
- Data integrity
- Responsible use of AI
- Trust – engendered by clear expectation and protections/careful sharing

2. Organisational Models

- Data ownership
- Funding vehicles
- Contributors
- Feedback loops

3. Data Access

- Legislation/partnerships
- Usage rights/restrictions/enforcement

4. Technology Platform

- Shared data areas
- Common governance and security model
- Data sovereignty
- Data rights and providence

Suspicious Interfaces

Similar to other financial conduct checks e.g. KYC and AML, data is already being leveraged to detect, interrupt and prevent illegal wildlife trade globally. This is most effective when a wide range of stakeholders share their data into virtual lakes that can be interrogated by Machine Learning / AI. Tools can be used to scrape transaction data across the value chain e.g. invoices, manifests, bills of lading, and payments. This interrogation can identify patterns that humans are unable to detect – and flag suspicious relationships and events. This may involve people that initially appear unconnected which are in fact within some type of network that facilitates offences e.g. partners, families and criminal gangs. Relevant information may be public domain as well as that held commercially and by enforcement. For example, individuals sending permitted cargo could be connected to others that work at the zoo and those that supply luggage – such interfaces could be worth extra scrutiny.

5. Act

The fourth and final stage is to act on the information obtained and events that occur, to improve.

5.1. Nonconformance & Corrective Actions

Where events (incidents and near misses) occur e.g. instances of MS&S are detected, action should be taken to correct situations and prevent recurrence. Follow existing processes e.g. for Security events or Health & Safety incidents, making sure action is taken promptly. Actions may include initial reporting and incident responses, followed by investigations, correcting non-conformities and ensuring they are prevented from happening again e.g. changing procedures and improving training.

5.1.1 Reporting

Events should be reported internally and externally – some of which is mandatory e.g. National Referral Mechanism for Modern Slavery is a legal requirement. Your insurers may require information about asset damage regardless of whether you or your customers claim.

Consider what to report, who to tell, how and when, bearing in mind legally required reporting responsibilities. Where reports are made, it should be clear what aspects are confidential and consequences on affected parties e.g. to protect whistleblowers, and victims.

Empowering frontline colleagues is not just ensuring they know what to look out for, the closing of the MS&S exposure cycle requires workers to have confidence to raise concerns and the knowledge in terms of who to contact, when and how. All ports are different however similarities exist, and nationally the core UK structure which enables effective and timely communication includes:



Speak to your supervisor or port security



Contact Port Police, where they exist, or dial 101



Contact Portsafes
0800 141 2927

The most important message to colleagues is: they should trust their instincts - if it does not look right then it probably isn't. As with terrorism, enforcement agencies would rather know about concerns even though it may turn out to be nothing, rather than not know at all. Everyone has a responsibility to act.

If a colleague has concerns related to a vessel crossing e.g. a ferry port worker, and does not have time to raise their concerns to a supervisor or an enforcement

officer, they could contact the location where the ship is destined to arrive, so that the team in that port can carry out the necessary checks and interventions.

Internal Reporting

Most ports already have existing reporting systems for Security, Fraud and H&S/welfare, you may need to amend these processes e.g. for Modern Slavery. Consider:

1. What to report: Each organisation will need to define this e.g. red flags or confirmed events.
2. Who to tell: Supervisors, dedicated personnel, and external parties e.g. independent whistleblowing hotline and enforcement.
3. How and when: prompt reporting is essential. Some is anonymous to protect reporters, however some level of information will be documented e.g. by call handlers to log and track reports. Reporters should be protected from consequences by perpetrators and others.

External Reporting

There are various communication pathways provided by external organisations which can be used as appropriate to the situation i.e. different agencies enforce different activities, and a large number of charities are active in relation to MS&S. Example contacts and methods are listed below.

Telephone calls:

- 999 – Emergency number to all services, for immediate safety concerns and wildlife crime
- 101 – Non-emergency police number for non-immediate safety concern and wildlife crime
- 0800 555 111 – Crimestoppers, for anonymously reporting all crimes
- 08000 0121 700 - UK Modern Slavery & Exploitation Helpline, for non-immediate concerns
- 0800 432 0804 - Gangmasters & Labour Abuse Authority, national enforcement agency which protects workers from labour exploitation, for non-immediate concerns
- 0141 276 7724 - Trafficking Awareness Raising Alliance, supports women where there are indicators of trafficking for commercial sexual exploitation, for non-immediate concerns

Project Kraken is a joint law enforcement operation tackling maritime border crime which encourages and facilitates reporting, targeting suspicious activity on the coast or at sea: Project Kraken. All reporting to the Coastal Crime Line is managed by Crimestoppers which is 100% anonymous.



DON'T IGNORE IT. REPORT IT.

Call the police on 101 or report online: gov.uk/report-border-crime

Project Kraken is a joint law enforcement operation tackling maritime border crime in the UK



Border Force



ACT

ACTION
COUNTERS
TERRORISM

Online reporting:

- Home Office, can be contacted online for reporting suspicions of smuggling people, goods or cash into the UK <https://www.gov.uk/report-smuggling>
- Charities
 - Unseen (unseenuk.org)
 - Hope for Justice (hopeforjustice.org/get-help)
- CHIRP (chirp.co.uk/maritime)

5.1.2 Investigations and Lessons Learned

MS&S events should be investigated as per other types of events. The results of investigations should be considered e.g. by incident review board, to share knowledge, drive changes and ensure that lessons are learned so that events are prevented from recurring.

5.2. Continual Improvement

Organisations should conduct a periodic Management Review to check on the effectiveness of the controls, confirm risk management activities are effective at achieving the organisation's aims, and ensure that leaders with duties and powers to direct resources have sufficient visibility and awareness of performance to take necessary decisions. These reviews should include MS&S in terms of recap of aims, compliance status, performance e.g. incidents recorded and trends, transformation programmes, and further proposed changes. During such reviews ports are able to address trends e.g. patterns of organised crime activities, which are important for operators to know as well as enforcement. If you are not measuring and reviewing, how do you know you are improving?

5.3. Disclosure

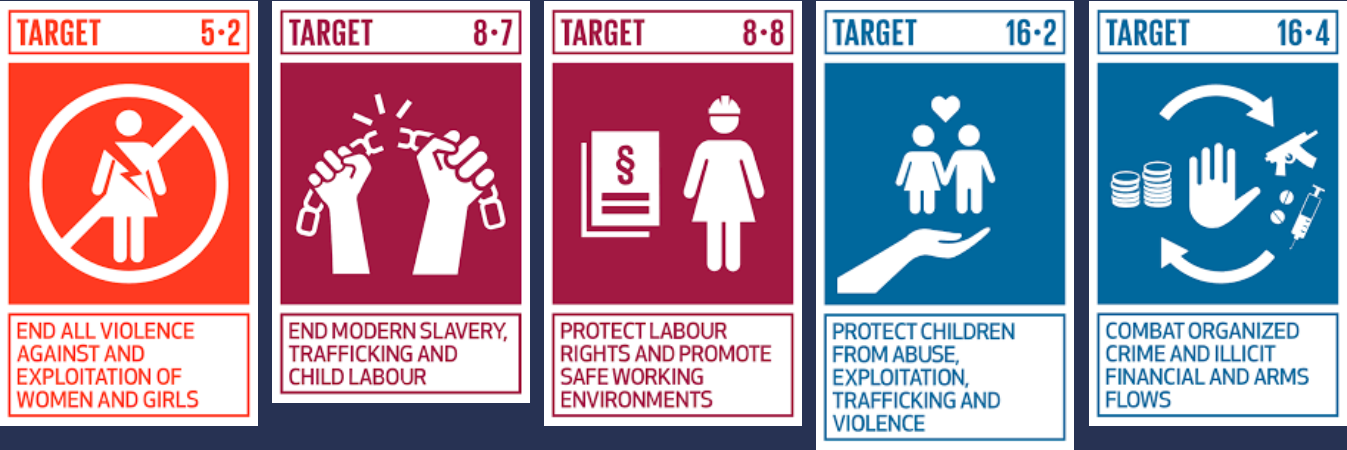
Some of your external stakeholders will want or require you to provide MS&S information. Your Stakeholder Map and Requirements Register can be used to clarify these expectations i.e. who do you need to tell, what information is expected, and what the format is e.g. online statement. Public domain engagement includes reporting on Sustainability, Environmental, Social & Governance (ESG) and Corporate Social Responsibility (CSR) – telling and showing stakeholders what you are aiming for and how you are performing. Over recent years disclosures have shifted the conversation from how profitable an organisation is, to how they are making their money.

For your disclosure needs consider available reporting frameworks. The need to consider MS&S is addressed by United Nations Sustainable Development Goals (SDGs). Illicit trade aspects have been mapped by UN Conference on Trade & Development and Transnational Alliance to Combat Illicit Trade (TRACIT) against all seventeen SDGs (unctad.org 2019) and specifically in relation to SDG 8 on Decent Work & Economic Growth.

Sustainable Development Goals



SDGs have defined targets, some of which deal with MS&S



There are many other MS&S disclosure expectations, voluntary as well as mandatory including:

- UN Guiding Principles on Business and Human Rights (UNGPR Framework).
- EU law affecting you directly/indirectly due to supply chain relationships e.g. CSRD and CSD3.
- National laws for where you are based such as UK Modern Slavery Act, and those affecting international supply chain interfaces e.g. German links may trigger that country's Supply Chain Act for you even though you are based in the UK.
- **Industry** e.g. BPA launched a new security alerts system in May 2023 for rapid information sharing amongst industry to help prevent and detect criminal activity. The new system will involve BPA disseminating details of activity submitted by ports to others in the same region. This will improve security posture and raise awareness of suspicious individuals or patterns of behaviour. Any UK port can sign up to receive alerts although recipients are checked regularly by BPA to ensure they have a legitimate need to receive such data. The system complements the existing reporting regime, whereby ports report incidents to government. UK ports can submit an alert on the BPA website or by contacting a member of the team. To read this article in full, please click [here](#)
- **Public** – your community and user groups may want information.
- **Customers** – commercial and private citizens may expect you to proactively declare or respond reactively to their queries, which can be very time consuming if everyone asks for different data in various formats. Check if there are data sharing portals or standards e.g. for types of customers such as Cruise (CLIA), or sectors such as Oil & Gas (IPIECA and OCIMF).

Good Practice: Disclosure

Duties

Use your Requirements Register and Stakeholder Map to check your disclosure duties and ensure: leaders are aware of compliance statuses, and that requirements are included in policies and procedures, with auditable evidence available e.g. Modern Slavery Task Force minutes of meeting, ESG Report, and Modern Slavery Act Statement

6. Case Studies

6.1. Introduction

Organisations that are actively managing MS&S threats typically see material benefits such as:

- **Loss prevention** – Reduced damage to fixed and mobile assets, contributed to by preventative controls including training and deterrents plus enhanced vigilance to provide early warning and rapid response.
- **Reputational enhancement** – Recognition by workers, customers and increased talent attraction. Overt MS&S programmes enhance brand value in the travelling public as well as wider stakeholders who have vested interests in ESG performance. Port community neighbours and users share industry concerns over social impacts and human rights. Active programmes and transparent disclosure build confidence with stakeholders.
- **Performance** – Reduced friction e.g. caused by incident management and enforcement interruptions.
- **Culture** – Active programmes that include effective communications and training can provide a range of positive impacts such as improvements in wider compliance including safety, security and financial conduct, plus enhanced individual and collective empowerment, worker engagement and motivation.
- **Relationships** – Greater collaboration and teamwork across workforce, supply chain (ships, ports and service providers) plus enforcement, as well as community. Increased coordination and intelligence sharing enables targeting of resources and facilitates successful threat management.

The most effective approaches integrate risk identification, management, surveillance and improvement as per the familiar Plan-Do-Check-Act cycle. Active MS&S programmes facilitate the embedding of ESG and when adopted as business-as-usual controls, training across the organisation can ensure the widest possible adoption with key personnel leading in particular areas e.g. CSO, PFSO, IT Director and Head of Procurement. Below are case studies which illustrate some of the wide-ranging Maritime MS&S experiences and responses deployed in a range of settings.

6.2. Case Study: ABP Southampton



ABP has an active MS&S programme across the UK wide ports group. As detailed in the company's website: ABP is committed to tackling the risks from serious and organised crime including modern slavery. As detailed in our Modern Slavery Statement this crime is a violation of fundamental human rights, and we recognise that human trafficking is the fastest-growing criminal industry in the world, with discoveries of trafficked migrants in shipping containers and trucks a regular occurrence at ports in the UK. We are committed to operating in an ethical manner with integrity and ensuring that no slavery, forced labour or human trafficking takes place in ABP's business or supply chain.



ABP utilises a suite of technology to target security threats with systems deployed according to location specific exposure types and levels. For invasive drones, many ports rely on manual monitoring (worker sightings) however this is challenging and many events may be missed. A few UK ports have an aerial geofence or no fly zone however it is possible for these to be breached. ABP Southampton is the only UK port with a drone detection system.

Look left, look right, look up...

Like many ports in the UK, ABP Southampton has seen unmanned aerial vehicle (UAV) activity increase over the last 10 years as drones have become readily available and more affordable off the shelf. Historically drone flights infrequently occurred when the newest big shiny cruise ship came into port and enthusiasts wanted to capture a nice picture. This changed with the advent of COVID-19, when cruise ships stopped operating and drones were seen more frequently. While the drones were seen more regularly during this period, the true extent of their activity was unknown - so in September of 2021 ABP Southampton partnered with Houndstooth Wireless (recognised by the National Protective Security Authority) and started a drone detection program. This program has enabled ABP to capture true data on drone flights over the port to better understand the risk presented and help provide mitigation. Before the program, there was reliance on reports from people who could see or hear the drones, now the detection technology is in place there's evidence to more than 10 times the number of flights than were previously reported, and alerts are instant to operational teams. This information has been instrumental in enhancing port security including identifying and responding to threats, which helps to mitigate a variety of risks including serious and organised crime.

"This project has produced some remarkable data. I think many other ports would find it truly eye opening to go through this same process to help them better understand and manage their security risks. Simply, you don't know what you don't know!" Ben Toomer (ABP Southampton Security Manager)

6.3. Case Study: Grimsby

The Port of Grimsby East / Grimsby Fish Docks, is located on the south bank of the Humber Estuary at Grimsby in North-East Lincolnshire and has the largest number of vessel movements in and out on the Humber. Grimsby East / Fish Docks fall within the jurisdiction of the wider Grimsby port area which is the DfT designated facility. The case study location is home to multiple businesses:



- Grimsby Fish Market, a major source of supply in the UK fish industry, handling mainly containerised fresh fish from Iceland as well as overland supplies from Norway, Denmark, Scotland and Ireland;
- Grimsby Shipyard Services Ltd, is a 200t boat hoist facility for maintenance and repairs of fishing vessels and crew transfer vessels (CTVs) for the renewables industry;
- Grimsby Offshore Renewables (Gro Centre) which provides services to the offshore wind sector; and
- Offshore Training Centre Ltd, which provides bespoke training in sea survival, fire awareness and first aid etc for the offshore and onshore industries.

The port has diversified over the years going from the biggest fishing port to the biggest Operations and Maintenance base for offshore renewables in the UK by adapted to this growing sector. Whilst port operations cater mainly for CTVs now, there are still a significant number of fishing vessels involved in shellfish.

A few years ago a vessel arrived at the port which was a recently purchased old seine net trawler. The owner wanted a permanent berth and said he would be in and out when it suited him. The vessel was allocated a berth and the owner left to their own devices. There were no issues or problems with the owner, who paid his dock dues on time, in what appeared to be a typical operation so no concerns were noted. After some time port authorities were contacted by Police hundreds of miles away in Devon querying the ownership details of the vessel that had been using Grimsby port. It transpired that the owner was operating two vessels around the UK and had converted the hold of the vessel into bunks, which turned out to be accommodation for human trafficking. The perpetrator was duly convicted and associated crimes were thereby stopped. The vessel using Grimsby was abandoned in situ which resulted in the Port picking up the cost of removal. This startling case provided invaluable lessons which resulted in the Port team adopting new ways of working to potentially catch instances of this illicit trade and made us aware of the threat of modern slavery and smuggling.

Any innocent looking vessel operation could be involved in illicit trade of smuggling of goods or even people. Up the estuary from Grimsby is Immingham which handles all the containerised fresh fish for the Humber region. The Humber is the busiest estuary in the UK serving Immingham, Grimsby, Hull and Goole so there is consistent local enforcement from HM Customs, Border Force, Special Branch and local Police who use rummage crews and drug detection dogs. The fresh fish supplied into Grimsby Fish Market is customs cleared in Iceland before it leaves through arrangements with the Icelandic Fisheries department 'Fiskistofa'.



We were aware of the threat that modern slavery and smuggling poses. Our member ports have had real experience of the consequences of this illicit activity and now share information to combat the threat. All ports are seen as the same but in reality everyone is different and we have to approach this threat accordingly.

Martyn Boyers

Chair of the BPA Fishing Ports Group

Good Practice

1. Risk Reduction at Source

Chain of Custody controls can be used to ensure stock is approved before departing for the destination e.g. fish leaving Iceland is customs cleared before being transported to UK fishing ports. This can reduce instances of illicit goods arriving e.g. landing of restricted fish catches, and unbonded imports avoiding tax duties.

2. Monitoring

Successful intervention relies on intelligence, ports have too many vessels and containers to check them all so effective surveillance and awareness is key. Where customers are generally repeat business (e.g. at Grimsby they are typically 96% the same) complacency can creep in. This can be combatted by ensuring all site areas and operational aspects are checked, considering potential risk presented by every trawler and berth, and increasing inspection frequencies 'for cause'.

3. Culture

Check representations i.e. don't assume everyone and everything is as it seems. Empower the team to challenge what they see and hear. Be suspicious and follow up on concerns.

4. Reporting

Important to share intelligence, cross country enforcement is often key to success.

5. Plans

Port Marine Safety Plans and Port Marine Security Plans can include reference to crew changes and where the supply chain are complex and extend to international ports, as this information may provide alerts to new and evolving risks. Equally refer to OCGs and MS&S threats.

Globally there have been and are still too many instances where fisher welfare is insufficient. A range of organisations provide worker outreach and support in maritime, many being charities that visit ports to talk to those working landside and on ships about their working conditions e.g. [QVSR](#) (see section 6.8 below) and [Fishermen's Mission](#) (officially the Royal National Mission to Deep Sea Fishermen, RNMDSF, see section 4.1.1 on Occupational Standards) which is a charity helping those working in the UK fishing industry by providing financial, emotional and pastoral support to fishers and their families. Do you and your workers know which welfare organisation provide support in and around your port?

Looking for one aspect of MS&S can lead to finding other instances. For example, in the wider Grimsby area, the operator ABP built an intelligence picture for the police who were following a lead, which led to a multi-million-pound cannabis seizure in Grimsby Docks. Enforcement found two Vietnamese workers who had been forced into the OCG activity and had been restrained in order to cultivate the illicit crops. As a result of looking for illegal narcotics, organised crime was disrupted, drugs were seized and removed from supply lines, and two individuals were rescued from Modern Slavery.



6.4. Case Study: Larne & Cairnryan

LARNE PORT

Larne Harbour Ltd (LHL) owns two commercial ports in Larne, Northern Ireland and Cairnryan, Scotland – operating a freight and passenger ferry service as well as providing harbour services to third-party shipping including bulk and other customers.

Since 2019 LHL has collaboratively worked with the NGO Invisible Traffick, delivering Human Trafficking Awareness training to all Port Security Teams, Frontline Staff, Dockers / Stevedores and Crews onboard the ferries which operate from these two ports. The training is tailored specifically to port operations and job roles within a range of functions:

Port

- Tourist Traffic (Foot Passengers and Vehicles) – check-in, screening and marshalling
- Freight Traffic – check-in, screening, loading / unloading, and marshalling

Vessel

- Customer services on board including hotel / hospitality and entertainment
- Vessel marshalling of traffic and passengers on vehicle decks

The content of the training was designed to make workers aware of the signs and indicators of traffickers and their victims and also confirm the appropriate reporting procedures in the event that suspicious activities were observed.

Although all workers had previously received regular ISPS training and Project Kraken training, the results from this Human Trafficking training provided immediate results, and was commended by attendees for empowering and engaging staff.



Within ports, bottle neck areas such as check-in, security screening, loading, on-boarding and unloading areas for processing people, vehicles and goods - provide the time and space for operatives to observe potential victims and suspicious activities. Indicators can be verbal and visual, and are known as tell-tale signs or red flag indicators.

William Dill
Security SME (and initiator of the LHL programme)

Results: within the first three months of the initial training sessions being delivered, the harbour was able to confirm that eight observations were raised by front line workers to the Police Service of Northern Ireland (PSNI) - which resulted in eight arrests. PSNI confirmed that from these eight arrests, enquiries and enforcement activities contributed to disrupting two international trafficking chains.

This training has been delivered a number of times within LHL ports and on board vessels with the following results:

Impacts - Results accredited to port workers	Benefits - Safety and engagement of workers with colleagues and government agencies
<p>Observations</p> <p>2019: 8 people 2020: 4 people (COVID) 2021: 42 people 2022: 84 people 2023: incomplete reporting</p>	<p>Sickness levels and absenteeism within Security teams reduced.</p> <p>RIDDOR Accidents among workers dramatically reduced, resulting in 3 years of no RIDDOR events.</p> <p>Increase level of Security reporting and Hazard Observation reporting</p>
<p>Puppy Smuggling: Identification of instances and information gathering. Located 375 Puppies with 60+ seized.</p>	<p>Developed and instigated the Larne Joint Agency Group (JAG) Meeting which enhanced communication, co-operation, co-ordination and collaboration between Harbour Authority and agencies.</p>
<p>Food Smuggling: Identification of instances and early notification to enforcement agency of in-transit contraband. 4.6 tonnes of food identified by Security workers was seized by enforcement.</p>	<p>Enhanced the effectiveness and resilience of Harbour Emergency procedures.</p>
<p>Drug Smuggling: In addition to finds by enforcement within the port, LHL Security were credited with identification of instance which enabled a single police seizure of £200,000 of illegal narcotics.</p>	<p>Enabled joint port exercises with Harbour Authority and Policing Agencies.</p>
<p>Interpol Person of Interest: A person notified to Police by LHL workers as acting suspiciously was identified as a diamond smuggler wanted by Interpol.</p>	<p>Supported wider enforcement beyond UK agencies, reinforcing relationships with local enforcement</p>

To illustrate Modern Slavery aspects here are two examples that occurred at LHL involving foot passengers and tourists in vehicles:

- A young woman arrived at the check-in desk at 23:00 just before closing time. She handed the Customer Operations Agent a piece of card which had written on it 'please book me a crossing for this boat' and handed the Customer Operations Agent cash to cover the sailing cost.
- A group of young women arrived at check in at 03:00 accompanied by a taxi driver, who had brought them on a 125 mile journey. He spoke for the passengers, then booked and paid for the crossing.

Would these situations raise suspicious for you and your team? What would you do about it?

LHL has now built up a network of stakeholders and government enforcement agencies (such as PSNI, HMRC, UK Border Force and HM Immigration Agency) to assist with tackling human trafficking and other forms of modern slavery, as well as smuggling.

Good Practice

Identify Risks to Port

Enhance what you are doing, include risks from Organised Crime. Report and measure incidents which Security & other colleagues deal with. See red flags list.

Train Workers

Identification signs and indicators i.e. absence of the normal and the presence of the abnormal.

Reporting Procedures

Clarify what to do and not to do when raising your observations.

Collection and use of information

Collect and analyse all incidents to identify trends / patterns to ensure corrective and preventive actions. Share information with agencies.

Set up a joint agency forum

Include enforcement, partners, suppliers and community. This enhances communication, co-ordination and collaboration.

Share information and resources

Collaborate within agencies during business as usual and emergency situations.

Modern Slavery & Smuggling Red Flag Indicators for Ports & Vessels

- People travelling alone or in small group who look like they do not belong in the immediate environment.
- People who rely on others to speak for them, making their booking for travel.
- Looking afraid, withdrawn, ill or frail, potentially due to lack of food, sleep or affected by drugs.
- Dressed inadequately for travelling or for the local climate.
- Showing signs of physical abuse, including bruising, scarring and torture e.g. cigarette burns.
- Not in possession of any personal ID / passport.
- Frightened to make eye contact or speak to port workers.
- Don't look comfortable with people they are traveling with.
- Appearing just before check-in to book and board, in the assumed logic that they will be rushed through security.
- Group in a vehicle, with one or two people in the group appearing uncomfortable and do not appear to belong with the group.
- People in a vehicle who are not allowed out of the vehicle with other members of the group.
- Passages and messages being passed between vehicles.
- Driver may be overly friendly in conversation with port workers
- Unusual or suspicious modifications to the external structure of the trailer including underneath.
- Lack of a visible or intact seal on trailer
- Suspicious noises or banging coming from the trailer.
- Weight of trailer appears strange.
- Unusual or suspicious activity by people or vehicles around trailer in port or in lorry parks near port.
- Driver consistently arriving just before closing of sailing.
- Lorries parked in unusual places.
- Seafarer / fisher doesn't look comfortable with the rest of the crew or the ship's Master.
- Appears disoriented, showing lack of knowledge regarding their location.
- Boats arriving, departing and mooring in strange locations at strange times of day or night.
- Groups of people arriving in pleasure craft and being led away or running to nearby cars.
- Groups of people arriving near port appearing to not know where they are.
- Taxi drivers arriving with people outside terminal in early hours of the morning.

6.5. Case Study: Hovertravel

Hovertravel is a carrier which operates between the UK mainland south coast and Isle of Wight, flying daily to provide passenger, business and medical traveller services, as well as light cargo services e.g. medicines.



Neil Tulloch MD Hovertravel comment: As a domestic ferry operator, offering a life-line service for the community and the fastest travel between Portsmouth/Southsea to Ryde on the Isle of Wight it's our company priority to ensure all those who travel, do so with the knowledge that their safety is our top priority. Therefore it's vital we provide and support our teams with the training and tools to manage the threats of modern slavery & smuggling, with consideration of the 'no hard borders' on our routes, and the requirement for seamless connectivity with our island and mainland transport partners.

Good Practice

Recognise and respond to your particular exposures -
specific to your operations and context including customers and communities.

Domestic carriers such as this have no requirements to seek or retain customer identification, and with speedy turnaround times front line representative s need to be especially vigilant to note concerns. Another issue with some operations is foreshore owners e.g. Hovertravel's landing and passenger area at Ryde is owned by the MCA. All of which created specific risks and control

6.6. Case Study: TT Club



TT Club is an independent provider of mutual liability insurance and related risk management services to the international transport and logistics industry. Services include specialist underwriting, claims management and risk and loss management advice, supported by a global office network. TT Club and many of its customers are BPA members. TT Club has developed a cohesive integrated ESG programme which includes active management of MS&S. This programme addresses Club member services as well as internal TT Club arrangements - aspects that relate to MS&S include the areas below:

Mission: TT Club's mission statement is to make the global transport and logistics industry safer, more secure and more sustainable, seeking to raise awareness of risk and prevent losses from happening in the first place. Knowing that mitigation of loss itself builds a more sustainable industry, the Club strives to achieve its mission through the provision of loss prevention guidance, helping to mitigate the impact of accidents on the environment, industry and local communities. The Club continues to act as a hub for sharing sustainability best practice and industry innovations, helping the industry deliver more sustainable and inclusive economic growth, while protecting worker safety.

UN SDGs: TT Club strategy recognises all the UN Sustainable development Goals (SDGs) and for 2023 the Club specifically focussed on: #5 on gender equality, #8 on decent work and economic growth, #9 on industry, innovation and infrastructure, #12 on responsible consumption and production, and #14 on life below water. The Club's associated ESG actions that relate to MS&S include:

- Improving safety and security of transport and logistics workforce through loss prevention guidance
- Facilitating training and industry knowledge sharing
- Acting as Loss prevention conduit for industry innovations

Goals: Include MS&S aspects e.g. Governance & tax policy, and Regulatory scanning & action.

Standards: TT Club aligns with the United Nations Principles for Responsible investment (actions include Principle 3 where TT commits We will seek appropriate disclosure on ESG issues by the entities in which we invest) and UN Principles for Sustainable Insurance (actions include Principle 2 where TT commits We will work together with our clients and business partners to raise awareness of environmental, social and governance issues, manage risk and develop solutions).

Partnerships: TT Club actively engages in partnering to drive collaborative ESG performance improvement. In relation to MS&S these improvements include issues such as worker safety, promoting economic growth, addressing freight crime & illicit trades, and maritime corruption. Partners for addressing these issues include: IAPH, BSI and Transported Asset Protection Association, International Cargo Handling Coordination Association, International Federation of Freight Forwarders

Association, Maritime Anti-Corruption Network, British Ports Association, and National Vehicle Crime Intelligence Service.

Training: TT Club's loss prevention initiatives include encouraging and championing innovation and supporting education and training of its Members' workforce to promote a more sustainable transport and logistics industry including through strengthening and broadening the base of skilled workers in the industry.

Technology: New digital technologies give rise to the increased risk of fraud and cyber-attack but also the opportunity to better understand and mitigate risk. The Club works closely with innovators to help foster innovations that will make a real difference to safety, security and sustainability for Members, from container tracking and secure seals to artificial intelligence prediction software and smart port mapping.

Own operations: TT Club's MS&S risks are addressed through Financial Services controls e.g. Know Your Customer due diligence, and Insurance processes. The Club adheres to the UK Modern Slavery Act and applies these same principles across global operations including its Network Partners. Details are contained within TT Club's Modern Slavery statement May 2023 and Thomas Miller's statement July 2023. As described within TT Club's Modern Slavery Policy "This obligation is met through a well-developed risk culture based on good governance and the three lines of defence risk management model. TT Club has developed a number of policies that reflect its approach to risk management and bear on the requirements to combat slavery and human trafficking and on its corporate social responsibility as it relates to the environment. TT Club's policies promote consistently high business and ethical standards, designed to support employees and other stakeholders, and ensure business partners and suppliers operate to equivalent standards. Through the Managers, Thomas Miller, TT Club has procurement procedures in place for professional services and also for goods and services other than professional services, where the requirements of the Act are mandated when considering the suitability of potential suppliers".

Reporting standards: TT Club uses SASB and the new ISSB performance reporting standards, see TT Club Sustainability Report 2023

Good Practice

1. Define and convey your aspirations

e.g. Mission statement

2. Share information

e.g. set up an ESG Hub for stakeholder, and provide outreach engagement
e.g. user group presentations, and industry network training

3. Comply with appropriate disclosure standards

Depending on your activities, products and services plus particular risk profile.

6.7. Case Study: Portsmouth International Port

Portsmouth International Port (PIP) is Britain's biggest municipal port, a department of Portsmouth City Council and part of a coastal community that includes Portsmouth Freeport and MUK Solent Cluster. PIP is used by a range of operator types: Ferries, Cruise, Freight & Cargo as well as Leisure. In term of Fishers, The Camber is home to the inshore fishing fleet comprising 20 to 30 vessels landing caught finfish and shellfish daily, plus a thriving fish market.



PIP has identified instances of MS&S through the vigilance of a network of stakeholders including port workers, carriers (ferries), enforcement and local charities. PIP has existing MS&S risk management arrangements including cohesive Security controls interfacing with multiple agencies such as Border Force and Maritime Police. PIP is planning to trial this BPA Guide's MS&S programme approach i.e. as proof of concept, which will involve enhanced stakeholder engagement and collaboration across the supply chain. A 'port charter' will initiate a dedicated Modern Slavery Task Force led by the port authority (PIP), local authority (Portsmouth City Council), carriers (Condor and Brittany ferries), enforcement (Border Force and Police Marine Support Unit) plus charities (Medaille Trust, Portsmouth City of Sanctuary, Port Chaplain and Stella Maris). The Task Force is in the process of defining their Modern Slavery programme and toolkit, with aims to:

- Demonstrate members' individual and collective commitment to tackling Modern Slavery;
- Determine proactive actions to be adopted within member organisation operations and supply chains to reduce Slavery risks and manage events where these occur; and
- Support engagement with workers, employee representatives, suppliers and partners, to protect people and prevent exploitation.

Practical actions that are planned include:

- Make a written commitment to collectively address Modern Slavery – the Charter
- Assign Board level responsibility
- Map key internal and external stakeholders
- Develop an implementation plan for members to adopt
- Create a communication campaign to be used consistently throughout the member organisations and with key interfaces e.g. tier 1 suppliers
- Review and uplift controls with Modern Slavery aspects e.g. policies and procedures
- Ensure use of due diligence checks, auditing and performance reporting
- Provide training to colleagues and suppliers on expectations and what to look for
- Establish where the greatest risks exist and how to find out about changing exposures e.g. engaging with external parties including enforcement and NGOs
- Identify barriers and impediments to programme deployment and compliance

Progress and outcomes will be shared to facilitate lessons learned across the sector.

Portsmouth City Council (PCC) is one of the Task Force members. As a local municipal authority PCC follows public sector procurement practice and additionally there is an ever increasing element of social value being assessed within purchasing activities. As part of this modern slavery preventative policies have a weighting within the PCC procurement process in line with services being delivered. Modern slavery response approaches at PCC include:

- Governance and Audit and Standards Committee Sept 2023 Report
- PCC Modern Slavery Statement July 2023
- Municipal procurement via LGA information portal - modern slavery
- Flow chart process to manage modern slavery concerns related to the Ukrainian refugee scheme

Good Practice

1. Collaborate

Share information

2. Be consistent

Align within your own value chain

3. Governance

Use robust control e.g. clear scope, Taskforce with Terms of Reference, audit trail of decisions within Minutes of Meeting, Charter confirming commitment to intent, and disclosure sharing information with wide disclosure e.g. public website

What To Do If Victims Are Identified?

Taking Modern Slavery victims into custody isn't appropriate. A number of organisations are available to support, and in Hampshire these include:

- Salvation Army – care for and locate accommodation for victim, however this is not a 24-hour service
- Medaille Trust – provide support to victims and enable enforcement (Hampshire Police) in terms of evidence gathering and arranging accommodation

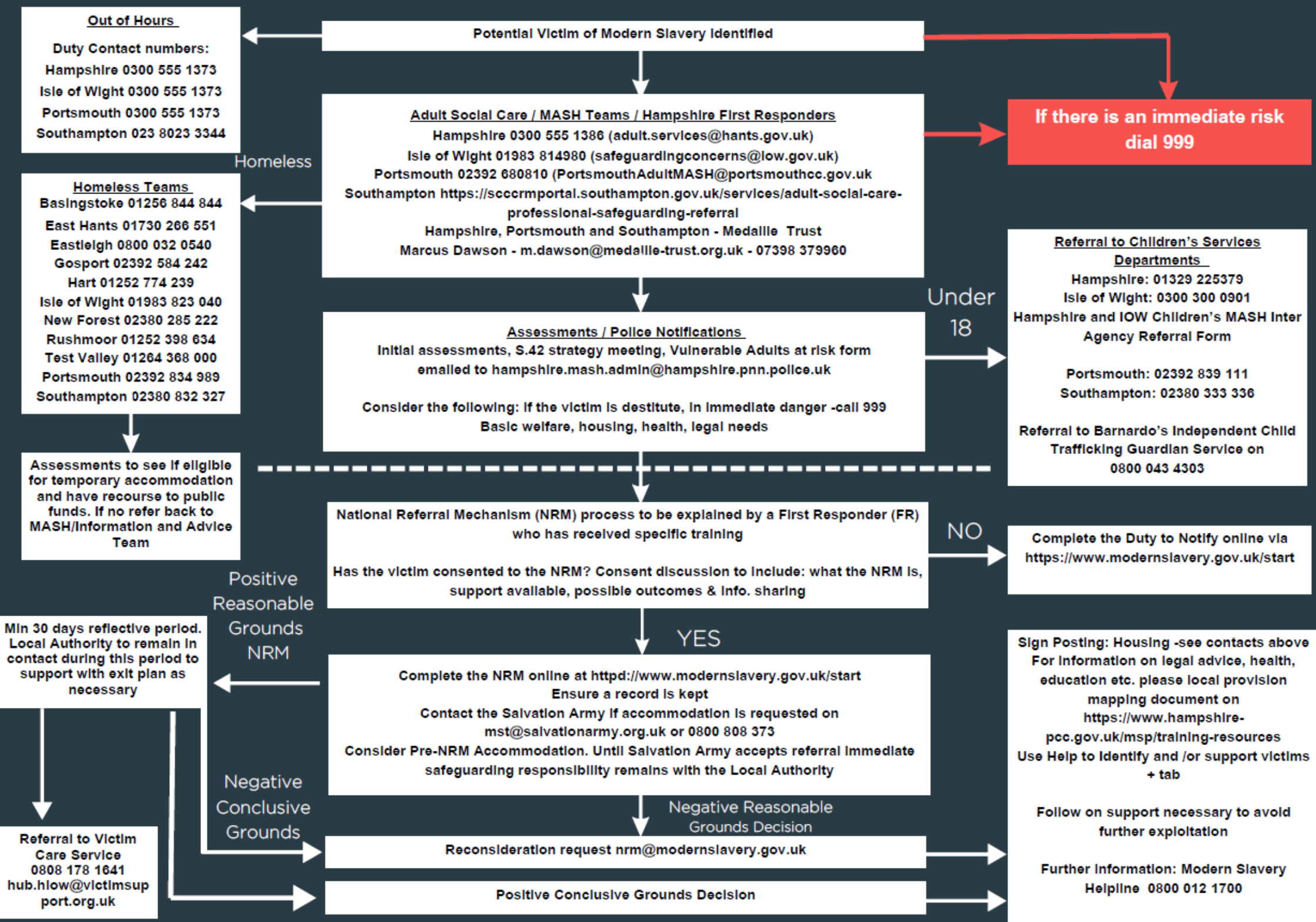
Medaille Trust's mission is to provide refuge and freedom from modern slavery. The Trust is one of the leading providers of support for survivors of modern slavery in the UK. The approach taken by the Trust includes activities which address the three key aspects: Prevent, Protect & Pursue. See medaille-trust.org.uk



When victims are identified e.g. by Hampshire Police Marine Support Unit during activities at sea, having a known set of contacts ready to engage when arriving back at shore enables prompt victim support, as well as early evidence gathering and rapport building - which can support subsequent enforcement action. Hampshire Police Marine Unit utilises a flowchart based approach for identifying and actioning support needs for victims of Modern Slavery – see image on following page.



**Do you know who
to phone locally?**



6.8. Case Study: QVSR

On the continuum of Modern Slavery, Human Rights, Occupational Health, Labour Rights and Safety is Worker Welfare. Established in 1843 as the



Seamen's Mission of the Methodist Church, the Queen Victoria Seamen's Rest (QVSR) has a long history of serving those in need, both on land and at sea. This charity provides:

- London accommodation for 175 active & retired seafarers, ex-servicemen and other homeless men
- Seafarers' centres at Tilbury, the London Cruise Terminal, DP World London Gateway, Felixstowe, Bristol & Immingham provide a warm welcome and pastoral support for those who have spent many months at sea and are far from home
- Chaplaincy services based in Bristol, Felixstowe and London Tilbury

Outreach organisations can engage in a different way to others – in some parts of the world the wearers of enforcement uniforms are feared, and this could prevent workers from confiding about instances of MS&S. Having vetted independent organisations operating at your port and engaging with stakeholders such as seafarers may add effectiveness to your MS&S programme. Charities such as QVSR can also uplift general welfare and respond to human needs. As described by Chief Executive of QVSR Seafarers Centres (Alexander Campbell OBE): A life at sea often sounds glamorous but in reality it can be a dangerous environment that often leaves you feeling isolated and alone. QVSR works at the human-face of this industry and we often encounter humanity at its most vulnerable. We run a number of maritime welfare facilities throughout the UK and our mission is to raise awareness of the sea and those who labour upon the waves.

During my 20+ years working for a maritime welfare charity I have witnessed firsthand moments of great joy and sadness. One of the most touching stories was when I learnt that two seafarer brothers were due to arrive into the Port of Tilbury, they were both on different ships and hadn't seen each other for seven years. By some amazing coincidence their ships were in the UK at the same time, in the same UK port and at the same time of day, this in itself is a minor miracle as ships sail the seas of the world and are often in port for a short time, sometimes just 8 hours. You can imagine the tears of joy as these brothers embraced at the QVSR Tilbury Seafarers Centre, we were privileged to share in their joy and listen to their stories. These moments underline the importance of seafarers and highlight the sacrifices they make to ensure we have our daily supplies and goods.

I recall another occasion when one of my chaplains (ship visitors) came to me to tell me that a group of seafarers wanted 'grass' - I was very concerned about this due to the slang meaning. In exploring the request a little further I discovered that they wanted no more than to go to a public park and take their boots and socks off to feel the grass beneath their toes. Their environment onboard their container ship was hard and noisy, a structure of iron echoing and amplifying every little noise. For them the most pleasurable experience in the world was to sit in a public park near Tilbury, with the sun upon their face and grass beneath their feet.

Seafarers are important to each one of us, we need to value them and look after them, protect their wellbeing and ensure that they have a voice. When you consider their life of isolation, the hard environment they experience, the months away from family and friends, all to bring us our goods and food. It is important that we each stand up and applaud all they do, but more important that we do all we can to look after their welfare and protect them. QVSR is determined to do all we can to enhance the lives of seafarers, working with ports, agents, owners and the public to publicise the hardships they face and make them visible within our consumer led society.

Good Practice

Respond to actual exposures

Prepare for every eventuality, listen to what you are told, and address situations at hand e.g. international crews travelling from the tropics and arriving in the UK in January, may need warmer clothes than those they packed.

Be humane

Remember that those associated with MS&S include victims which may be difficult to distinguish from perpetrators, and human rights apply to everyone.

7. Conclusions & Look Ahead

MS&S are global crimes which no single organisation can resolve on its own. To tackle these crimes and restrict the ease with which organised gangs and individuals perpetrators can operate, greater co-operation, co-ordination and collaboration is needed within supply lines and between private and public sectors.

Maritime operators and the wider value chain are particular targets for MS&S and that is unlikely to diminish. Across the range of MS&S exposures – where threat management effort is made, the return on investment is high. Key information in this Guide that can inform your threat management approach is: MS&S Programme Summary (8), Document Checklist (3.6) and Top Five Actions (7.1)

7.1. Priority Actions

This Guide is designed to illustrate how Maritime operators, service providers and customers at all scales can contribute to combating these crimes, help protect victims and also enhance deterrents and resilience within ports, harbours and terminals. It has been developed to explain why you should act and what you can do.

Top 5 Recommendations	
1	Policy Confirm zero tolerance for MS&S
2	Training Convey what to look for and how to report MS&S
3	Reporting Collect and evaluate data on MS&S events
4	Engagement Seek out value chain collaborators and cooperate
5	A Modern Slavery Statement Disclose what you are doing

BPA is committed to supporting efforts to eradicate MS&S. Some of the ways we will do this include:

- Communicating - highlighting MS&S concerns, engaging with governments and other stakeholders so that we can better work together to combat MS&S
- Promoting and sharing - facilitate information provision including data and best practice solutions
- Supporting - proving forums such as our Security & Resilience group for members
- Disclosure – developing our own Modern Slavery Statement

7.2. Horizon Scan

This section considers what lies ahead including exposures and planned actions by governments and industry, noted at this time. This Guide will reflect changes in subsequent version updates.

7.2.1 Risks

Dynamic threats are identified and reported by our sector e.g. Maritime Risk Register owned by the Joint Maritime Security Centre, and nation e.g. UK Risk Assessment 2023 (in relation to MS&S see sections on malicious drones, animal disease and plant pests). General MS&S risks including specific to Maritime are described below in section 8.2.

Technology

The use of drones is ramping up and as with other technology, consideration of risks and controls lag behind practices. Various organisations are reviewing drone use cases e.g. University of Loughborough is researching scenarios to determine the best way to involve technologists, entrepreneurs, policymakers, and members of the public in decisions and ensure the technology is viable, safe and sustainable. Future Flight is the broad name for air taxis (think driverless helicopters for short-distance flights), deliveries (think drones delivering your Amazon parcel) or air freight (drones providing supplies and resources where they are time critical). Additionally there are in water / under water equivalents i.e. Remote Operated Vessels (ROVs).

From a Maritime perspective drones have numerous potential applications with opportunity to broaden the scope from land-based applications e.g. delivery of spare parts or medical supplies to ships or even long-term replacement of pilot boats with air taxis. However drones can also be used by bad actors for nefarious purposes e.g. smuggling illegal narcotics.

Autonomous vessels requirements have been developed by MCA - see UKSoN 113 Proposal for EN system Rev6 v7 (ymaws.com) as well as WBC3 and IMO MASS Code. This technology uses remote operators based on other vessels or more typically on land. Having crew in a different location to the vessel may have MS&S implications which each operator will have to evaluate e.g. lack of personnel onboard may make the vessels more vulnerable to smuggling.

7.2.2 Controls – Port Facility Security Document Scopes & OCGs

The DfT's Port Facility Security Assessment template (PFSAs) and Plans (PFSPs) do not specifically reference organised crime gangs (OCGs). IMO's Security Act and resolution (Combating security threats by organised crime in the maritime industry) supported by Interportpolice, will hopefully encourage UK uplifts. Additionally new Security Acts in some European countries have included OCG activity within Port Facility Security Plan expectations, which has been achieved by inter-agency and industry collaboration efforts e.g. ports of Rotterdam and Antwerp plus shipping companies.

Public and Private Sector Policy and Programme Developments

Multiple layers of MS&S change being undertaken and planned are illustrated in these examples:

- Council of the European Union approach to maritime security - [Maritime security: Council approves revised EU strategy and action plan](#)
- European Commission port protection - The European Commission (EC) has funded the Scalable multidimensionAl sitUation awaReness sOlution for protectiNg european ports (SAURON) project to reduce the vulnerabilities of EU ports, as one of the main European critical infrastructures, and increase their systemic resilience in the face of a physical, cyber or combined cyber-physical threat.
- National law - Belgium [New legislation to better protect ports from organised crime \(belganewsagency.eu\)](#)
- Nations and companies - [Six European countries call for global approach to drug crime \(belganewsagency.eu\)](#) June 2023, **Belgium, Germany, France, Italy, the Netherlands and Spain. This agreement builds on** agreement signed this year by the Netherlands, Belgium and five major international shipping companies to combat organised crime in the ports of Rotterdam and Antwerp. This includes using smart containers, screening employees, mutual exchange of information and working towards further international security standards in the global fight against criminal practices and drug smuggling.
- IMO regime on International Ship and Port Facility Security (ISPS) Code and SOC - Recognising evolving M&S risk IMO has adopted a resolution on enhancing frameworks to fight against organized crime in the maritime sector by raising awareness on associated security threats. Member states have been invited to submit proposals for changes to bring the fight against organized crime into the scope of IMO preventive measures e.g. ISPS. Resolution on [Combatting security threats by organized crime in the maritime industry A.1190\(33\)](#) was adopted in 2023, see [IMO Assembly 33](#) item on Enhancing the framework of the fight against organized crime in the maritime sector, which was supported by [Interportpolice](#).

7.2.3 Industry Pledge

Some sectors and locations utilise disclosed agreements to assert their collective position on issues and concerns. This may be because of regional risks e.g. uptick in OCG narcotics activity at particular ports, or a drive to have supply chain and community based cooperation e.g. Charter of Commitment around a port ecosystem. In the USA this approach is used to stand against MS&S:

TRANSPORTATION LEADERS AGAINST HUMAN TRAFFICKING PLEDGE

The U.S. Department of Transportation's Transportation Leaders Against Human Trafficking initiative calls on all transportation industry leaders to join us in our commitment to employee education, raising public awareness, and measuring our collective impact by signing this voluntary pledge.

We pledge with one voice to join with partners across the transportation industry to work together and end human trafficking by:

- Educating our employees and organizational members on how to recognize and report signs of human trafficking
- Raising awareness among the traveling public on human trafficking issues by utilizing common messaging in targeted outreach campaigns
- Measuring our collective impact on human trafficking by tracking and sharing key data points

By uniting our efforts across the transportation sector, we will see greater progress in reaching our ultimate goal of eliminating human trafficking

Signature, and Date:

Name, Title and Organization/Address:

Phone and Email:

By signing this Pledge, you affirm that you are authorized to make this voluntary commitment on behalf of your organization, and you acknowledge and agree to grant USDOT permission to publicly reference that your organization is a TLAHT pledge signatory.

transportation.gov/TLAHT trafficking@dot.gov

Good Practice

PFSP upgrade

Whilst waiting for regulatory standards to evolve, in the meantime BPA members and wider Maritime network can adopt this now i.e. enhance your existing PFSP to include references to OCGs, as well as specific references to Modern Slavery and Smuggling.

Internal audits

Ensure your internal audits identify control strategies for MS&S.

Commit

Consider adopting a pledge such as USA DoT or Charter such as the Portsmouth Modern Slavery Taskforce, as individually or collectively as BPA members and with others.

8. Appendices

8.1. Acronyms, Abbreviations and Definitions

TERM	EXPANSION
APPG	All Party Parliamentary Group
B2B	Business to business
B2C	Business to customer
B2G	Business to government
CAR	Corrective action request, used in auditing to address non-conformities / improvements
CSO	Company Security Officer, interfaces with PFSO and Ship Security
CTU	Cargo Transport Unit e.g. 20 TEU
E2E	End to end, indicating across the supply chain or value chain
HTFLMS	Human Trafficking, Forced Labour and Modern Slavery
ILO	International Labour Organisation
Insider threat	Person(s) who appear to work for you but are actually being controlled by others e.g. criminal gangs, who may use threats and rewards to coerce See Insider Threat (imo.org)
KYC & AML	Know Your Customer and Anti Money Laundering, regimes to prevent & detect fraud
MI	Management Information
Modern Slavery	Umbrella term for HT/FL/MS, enslavement and inappropriate exploitation of people
MS&S	Modern Slavery & Smuggling
NCA	National Crime Agency
NGO	Non-governmental organisation e.g. charity
OCG	Organised crime gang
PFSA	Port Facility Security Assessment (DfT template)
PFSO	Port Facility Security Officer
PFSP	Port Facility Security Plan
Risk	Potential for harm and benefit
SDGs	Sustainable Development Goals developed by the United Nations
Smuggling	Criminal movement of people, animals and assets
SOC	Serious and organised crime
TBML	Trade Based Money Laundering
UNCLOS	United Nations Convention on the Law of the Sea
UNODC	UN Office on Drugs & Crime

8.2. Risks

A risk-based approach to MS&S increases the effectiveness of response programmes. As described by **Mike Yarwood**, Managing Director Loss Prevention, TT Club “*When considering risk management, particularly around MS&S risks, one should not underestimate that we are dealing with the most sophisticated organised crime groups ever seen. These groups typically have huge financial resources and in addition will think nothing of using bribery, violent coercion and duress to persuade people to help them. Not only are these criminals well-funded,*

but they have an intricate knowledge of the supply chain and the potential that it holds in allowing them to facilitate their business. For the criminals it should be recognised that these activities are lucrative, where they are unable to facilitate themselves, they will quickly seek to recruit insiders to assist them.

When considering this area of risk, operators should consider even low-level criminality, that once established will typically develop quickly if the perpetrators identify weaknesses in security. What might manifest as low-level criminality at the outset, must be resolved to prevent full scale onset of criminal activity. There is a real human impact when considering all associated criminal activity, including MS&S. There is a material danger to people that should compel all to act. TT Club commends this BPA initiative to raise awareness of these challenges and provide practical strategies that can be employed to mitigate the associated risks”.

8.2.1 Risk Factors & Toolkits for Modern Slavery

As described in BS 25700, Modern Slavery risk factors include: Geography, labour market structure, migration for work, discrimination, long and opaque value chains, corruption, vulnerable groups (workers that are migrants including seasonal, woman & marginalised, precarious/informal, young / children, and socially disadvantaged) and supply chain volatility.

MS due diligence requires that organisations critically assess their own operations and delivery models, and how these can influence the incentive structures, commercial decisions and labour practices of vendors across supply chains. To help you undertake due diligence, identify and address modern slavery risks in your operations and supply chains, see:

- Walk Free Foundation’s Business and Investor Toolkit
- Ethical Trading Initiative – Base Code Guidance: Modern Slavery
- Ethical Trading Initiative – Guide to Buying Responsibly
- IHRB – Implementing Responsible Recruitment
- CORE Coalition – Tackling Modern Slavery Through Human Rights Due Diligence

8.2.2 Protecting People

When managing MS&S, people are at significant risk of harm such as:

- Workers as targets for OCG retribution e.g. port workers and hauliers who find contraband
- Members of the public who may be unsafe around OCG activities e.g. neighbouring communities of ports where crimes are being committed
- Subjects of MS&S e.g. victims who are trafficked and smuggled, with some roles more vulnerable to Modern Slavery e.g. construction, cleaners, nail bars, car washes and agriculture (<https://www.antislavery.org/slavery-today/slavery-uk/>)
- Those used to conduct MS&S e.g. children in county lines gangs, and adult drug mules

Risks to Seafarers and Fishers

UK government recognises seafarer and fisher vulnerabilities to labour abuses with guidance for officials⁶.

Modern Slavery risks faced by seafarers include:

- Abandonment: Reported within ILO Database (approx.12,000 seafarers recorded since 2004)
- Wages withheld: Consequences of indentured servitude & debt bondage
- Seaman's Record Books and passports withheld: Failure to gain new employment
- Vindictive behavior by owners, manning agents and flag States

Fishers

Specific risks are faced by fishers, though the current evidence at the time of writing is that in UK waters, the incidents are limited to a few bad employers known to state authorities. Nonetheless, and as general observations, migrant fishers can be vulnerable to being deceived and coerced by unscrupulous labour recruiters, employers and vessel managers, and could be forced to work on board vessels under the threat of direct and indirect violence, coercion or by means of paying off unlawful debt resulting in individual and/or family debt bondage. Some may be charged unlawful recruitment fees and related 'administration' costs, such as for document preparation (including obtaining fraudulent training certificates) and for lodging and travel during visa and document processing in their countries of origin. Some migrant workers may also required to pay a "runaway guarantee" or a deposit before their employment, a sum which they forfeit if they attempt to terminate the employment early. In some cases, migrant fishers are told they are required to pay a lump sum before they can terminate their contract with exact amounts unclear, unrecorded or not audited. On board, retention of wages is one means through which they are coerced into remaining in their jobs. Another practice which may occur is use of national skippers and migrant crew, with the vessel masters/skippers rotating for rest periods but with no such breaks for the crew breaching international law under the Maritime Labour Convention 2006 and International Labour Organization Work in Fishing Convention No.188 (ILO C188), as applicable.

UK Transit Visas

Employment paperwork is often relevant to Modern Slavery exposures. The [International Transport Workers' Federation](#) has published a [technical briefing](#) which explains how [transit visas](#) for seafarers create conditions that can enable labour abuse, with the paper written specifically in relation to migrant fishers working on UK vessels. Additionally the UK Seafarers Visa regime results

⁶ <https://www.gov.uk/government/publications/seamen/seamen-arriving-in-the-uk-caseworker-guidance-accessible-version>

in migrants working exclusively outside the 12 nautical mile limit of territorial waters, not being included in the National Minimum Wage protections.

Border Force Maritime Command

In response to these risks, Border Force Maritime Command has initiated Operation Hebwich specifically targeting Modern Slavery associated with UK commercial fishing.

Border Force's Operation HEBWICH

Purpose: To combat modern slavery by labour exploitation in the UK commercial fishing sector

1. De-criminalise exploited workers through legitimate visa routes
2. End the coercive control of employers over migrant workers
3. Educate the industry to force cultural change
4. Enforce new visa regulations through civil and criminal action

Preventing Modern Slavery in UK fishing

- Report ALL cases of abuse to authorities or NGOs
- Ensure workers employed in UK waters have Right to Work
- Register as a Home Office sponsor
- Obey UK employment and salary legislation
- Identify debt bondage in new crew
- Make sure workers know their statutory rights including sick pay, holiday pay, and shore leave
- Report absconders

8.2.3 Financial Drivers

Financial markets are increasingly seeking wider performance information beyond balance sheets and direct profit and loss. Financial Services sector interest in Modern Slavery exposure risk and control is ramping up nationally and internationally: see <https://modernslaverypec.org/resources/financial-markets-modern-slavery>

Investments

Modern Slavery is endemic in supply chains according to the Global Slavery Index by Walk Free. If you have the right systems in place to look for it, you will find it.

CCLA shows that investors have a key role to play in helping companies deliver systemic change in the fight against Modern Slavery. In 2023 CCLA launched a Modern Slavery Benchmark assessing 100 of the largest UK companies by market capitalisation on how they approach and manage modern slavery. This Benchmark is a first of its kind tool for investors to assess the level to which companies are active in the fight against Modern Slavery.

Modern Slavery is a material risk. The potential harms include reputational damage, litigation, tightening legislation and fines – all of which can have financial impacts. While the UK's Modern Slavery legislation is not perfect, the Modern Slavery Act is world leading and important. It enables investors and others to see which organisations are taking action. Benchmarks may be crude measures but the gathering of such data is important and enables more meaningful, targeted and potentially fruitful discussions which help tackle Modern Slavery within an organisation's own operations as well as its supply chain.

VOICES OF INDUSTRY: Investment Risk

CCLA

GOOD INVESTMENT

As described by Dr Martin Buttle: CCLA believes modern slavery exists in the supply chains of almost every business. Yet this pernicious practice is hidden and difficult to tackle. CCLA has been working in this area since 2012, but in 2019 we launched Find it, Fix it, Prevent it – a collaborative investor engagement programme with the aim of using our leverage as investors to help companies find, fix, and prevent modern slavery in their supply chains. The initiative was launched at the London Stock Exchange in November 2019. Since then, the initiative has grown in both scope and depth. There are currently 65 investors in Find it, Fix it, Prevent it, with a collective asset under management and advisory of £15 trillion. The programme has three complementary workstreams

1. Corporate engagement – aiding companies in developing and implementing better processes for finding, fixing and preventing modern slavery
2. Public policy – promoting a meaningful regulatory environment through work with the government, policy-makers and regulators
3. Developing better modern slavery data – working with data providers, NGOs, and academia to identify and develop better data.

The engagement has succeeded in taking some of the businesses under engagement on a journey that improves their risk assessment processes, supporting companies to remediate harms, and putting in place practices to ensure issues do not recur. In 2023, CCLA launched the CCLA Modern Slavery Benchmark which assesses the largest UK companies by market capitalisation on how they are taking steps to eradicate modern slavery in their operations and supply chains. The benchmark provides institutional investors with an account of a company's management and associated disclosure practices. Comparisons over time will enable investors to understand where there has been progress and highlight areas where more work is needed. Through the regular, consistent and repeated assessments of companies on their modern slavery commitments and practices, it will provide an accountability mechanism, allowing investors and other stakeholders to assess whether companies are effectively managing the business risks associated with modern slavery.

Good Practice

Data

Identify what matters, gather data and analyse trends.

Share

Actively engage stakeholders and base decisions on your data e.g. what to invest in.

Support

Work with your value chain to collaboratively achieve change.

8.2.4 Wildlife Trade Risk Assessment & Enforcement Penalties

UK National Wildlife Crime Unit (NWCU) is working with HMRC, NCA and Interpol to develop a global threat assessment. It is due for completion end 2024 with a public version to be made available.

The UK's National Wildlife Crime Unit (NWCU) utilises a focussed Illegal Wildlife Trade risk assessment approach, which is updated regularly to highlight priorities in terms of engagement and collaboration, as well as types of animals subject to exploitation e.g. during 2024 these include European Eels and Raptors. This risk assessment recognises that illegal wildlife trade is a criminal and anti-money laundering issue which should be recognised as a serious financial crime.

A common theme is that the illegal trade is hidden within legal markets. It's highly likely the majority of UK CITES listed species targeted for the purposes of the illegal trade are almost exclusively concealed within lawful, legal or licenced activities. This makes traditional policing methods intrinsically difficult to employ when tackling IWT. The UK is one of seven countries that have agreed to a multilateral collaborative approach to tackling financial crime which fuels the illegal wildlife trade. Additionally there is ever increasing collaboration between UK domestic agencies. Greater partnership working has helped to expand multi-agency working, with HM Treasury, NCA and FIUs (Financial Intelligence Units) now engaging and supporting/providing the appropriate guidance to illegal wildlife trade investigations as well as Trade Based Money Laundering (TBML).

Trade Based Money Laundering (TBML)

As described by UK National Wildlife Crime Unit (NWCU) Chief Inspector Kevin Lacks-Kelly “The illegal wildlife trade is the beating heart of organised crime. Studies over the years show the convergence into this area of criminality is desirable from organised crime gangs due to the low risk and high reward. IWT is the 4th largest crime type globally behind drugs, firearms and people smuggling. We have been applying the principles of follow the money for some time now and this leads us rightly to the juncture of trade based money laundering. A significant amount of the illegal wildlife trade is concealed within the lawful trade. As enforcers we overtly look for criminals acting suspiciously. However, with TBML we must shift the narrative and look further into lawful, legal and licenced practice that is exploited by criminal actors to facilitate IWT. This is meaning that traditional enforcement methods may not be entirely suitable to identify this criminality. Taking a risk-based approach and being more intrusive into transactions for risk species, or business in high risk locations, or asking more around trade routes will be key to identifying criminality. To help raise awareness of the global risk picture, the UK NWCU working with Interpol are producing a global threat assessment that will overview global threats. Including species and high risk locations, trade links and global organised crime groups”.



Annually UK Border Force enacts Operation Thunder which results in significant wildlife seizures as well as perpetrator prosecutions. Previously this occurred every October, and to ensure that offenders do not react to that regular timing e.g. avoiding shipments at that time, Operation Thunder timing has now been adjusted.

To provide a sense of context and scale, in 2023 UKBF wildlife finds included 459 seizures and previous UK wildlife crime enforcement impacts include these listed below:

Wildlife crime activity / operation name	Predicate offences	Estimated gain	Asset recovery	News article Link
IWT European Eel (one investigation) 2015	Money Laundering, tax evasion	£56 million estimated profit over four years	nil	https://www.bbc.co.uk/news/uk-england-london-51770954
IWTT Rhino horn 2017	Tax Evasion	Criminal benefit agreed as £961,777 and available assets agreed as £100,642. Other major funds / valuables / property up to the benefit amount that criminal accumulates during their lifetime will be removed as and when these come to police notice	£100,642 through POCA	https://www.nwcu.police.uk/news/wildlife-crime-press-coverage/metropolitan-police-confiscation-order-for-trade-in-endangered-species/
IWT Big Cats Fur Coats 2018	Tax evasion	> £45,000	£45,000 through POCA	https://www.dailymail.co.uk/news/article-6193949/Rogue-eBay-trader-40-sold-illegal-fur-coats-killed-endangered-animals.html
IWT Ivory 2021	5 x Fraudulently evade any duty / prohibition / restriction / provision		£61,266.97 through POCA and forfeiture of all ivory	https://www.derbytelegraph.co.uk/news/derby-news/derby-engineer-illegally-dealt-ivory-5805005
IWT Taxidermy 2021 – Rhino, Elephant,	Tax evasion	£99,137	£27,264.32 through POCA	Burnley taxidermy dealer jailed for the second time for illegal trade in critically endangered species

Wildlife crime activity / operation name	Predicate offences	Estimated gain	Asset recovery	News article Link
Sawfish Rostrum, Sperm Whale, Pangolin and Albatross				National Wildlife Crime Unit NWCU
Operation Tantallon IWT 2023 Peregrine Falcons (one investigation)	Tax evasion	£106,000	Approx. £50,000 of birds, POCA enquiry ongoing	DNA testing snares father and son who raided peregrine nests - BBC News https://www.scotland.police.uk/what-s-happening/news/2024/february/two-men-sentenced-for-wildlife-crime-offences-in-the-south-of-scotland/ https://www.dailyrecord.co.uk/news/scottish-news/scots-father-son-who-illegally-32107340 https://raptorpersecutionuk.org/2024/02/12/part-time-gamekeeper-timothy-hall-and-his-son-lewis-hall-avoid-custodial-sentence-for-laundering-of-wild-peregrines-in-scotland/ https://www.theguardian.com/environment/2024/feb/13/peregrine-falcon-thieves-dna-database-scotland-wild-raptors-birds-aoe

8.3. Reviewers, Contributors and Endorsers

ENTITY
ABP
Border Force (BF) National Command and Maritime Command
BPA Workgroup for Security & Resilience
BPA Workgroups for Fishing
Cattewater Harbour Commissioners, Plymouth
CCLA
Fishermen's Mission
Grimsby Fish Market and Ports
Hampshire Police Marine Unit
Hill Dickinson LLP
Home Office Immigration Enforcement
Hovertravel
Human Rights At Sea International
Invisible Traffic
Larne Harbour
Merchant Navy Welfare Board (MNWB)
National Crime Agency (NCA)
National Wildlife Crime Unit (NWCUC)
Orbcomm
Police Marine Support Unit Hampshire
Police Service Northern Ireland
Portsmouth International Port
QVSR
MS&S Subject Matter Expert and Risk Practitioner
Seafarers' Charity
Security Practitioner and Subject Matter Expert
Trinity House
TT Club
UK Chamber of Shipping

8.4. Modern Slavery & Smuggling Policy

Policies on MS&S should:

- Contain a message from the organisation's Chief Executive or equivalent
- Set out the organisation's commitment to the elimination of MS&S from operations e.g. within the port and logistics routes as well as onboard ships, and the goal of respect for the well-being of all people including shore-based operatives, seafarers, suppliers and the public, as well as preventing and reporting MS&S
- Confirm zero tolerance of these crimes
- Identify a director or appropriate member of senior management as the person with overall responsibility for delivering the policy
- Contain examples of instances that may be classed as MS&S e.g. smuggling of illicit wildlife, drugs and bonded goods, as well as criminal and unlawful movement of people
- Contain contact information to enable incidents to be reported, including but not limited to whistleblowing

Communicating the policy

The organisation may wish to discuss the policy with worker representatives and/or collective rights' organisations to obtain their support and commitment. The organisation should ensure that all relevant personnel (ashore & afloat) are made aware of the policy and understand it. Individuals should be advised how to access the policy and it should be displayed prominently on noticeboards in workplaces including shore-side offices and onboard ships.

The organisation might also consider running workshops to facilitate implementation and understanding of the policy. A leadership statement to all workers about the policy, standards of behaviour expected and the support available can help make all individuals fully aware of their responsibilities.

Additionally the organisation should document positive actions and activities to address policy infractions, which could be within an anti-Modern Slavery Programme and roll-out training.

8.5. UK Modern Slavery Statement

A commercial organisation is required to publish an annual Statement if all the criteria below apply:

- It is a 'body corporate' or a partnership, wherever incorporated or formed
- It carries on a business, or part of a business, in the UK
- It supplies goods or services
- It has an annual turnover of £36 million or more

Extensive information on Statements is available from government here. The high-level actions are:

- Write a Statement and update every year
- Show Board (or equivalent) approval with sign off (name, title & date) by Director or equivalent
- Include Statement on your website, and add to the Registry

What to include:

- Organisations are not expected to guarantee that all their supply chains are 'slavery free'. However, statements must describe the steps your organisation has taken during the financial year to deal with modern slavery risks in your supply chains and your own business. If your organisation has taken no steps to deal with modern slavery risks, you must still publish a Statement setting this out.
- Home Office guidance recommends that you cover the following six areas in your Statement:
 1. Organisation structure and supply chains
 2. Policies in relation to slavery and human trafficking
 3. Due diligence processes
 4. Risk assessment and management
 5. Key performance indicators to measure effectiveness of steps being taken
 6. Training on modern slavery and trafficking

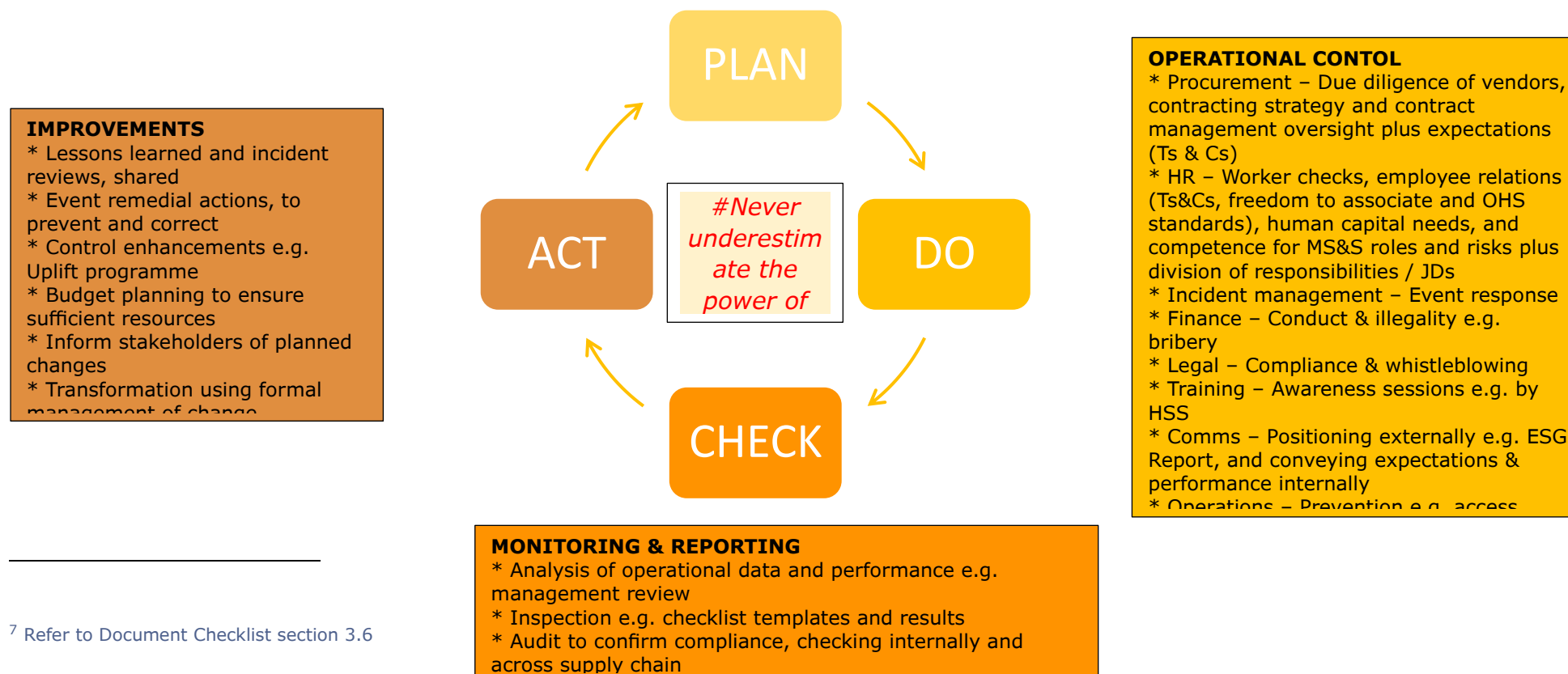
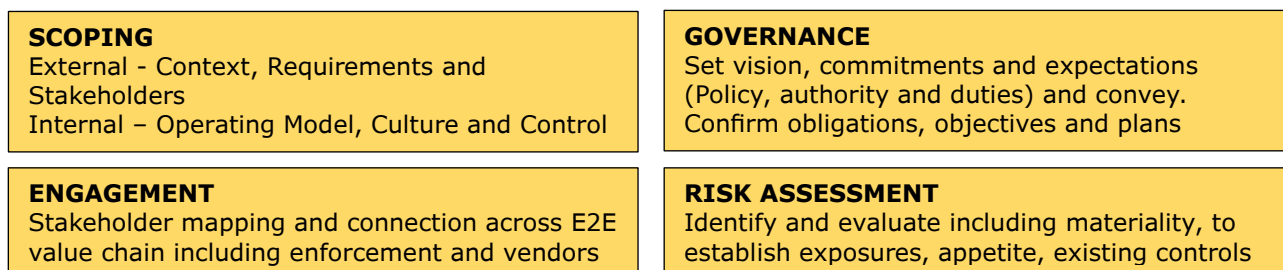
Use your Statement to show how you are:

- Acting transparently and disclosing information about any modern slavery risks you have identified and what actions you have taken in response to them
- Targeting your actions where they can have the most impact by prioritising your risks
- Making year-on-year progress to address those risks and improve outcomes for workers in your business and supply chains.

Guidance from NGO Unseen includes a tool to build your own Statement: Tool to Build MS Statement. Additionally see:

- [Ethical Trading Initiative – MS Statement Evaluation Framework](#)
- [CORE Coalition – Recommended Content for Modern Slavery Statement](#)
- [CORE Coalition – Examples of Weak and Notable Practice](#)
- [CORE Coalition – Beyond Compliance: Effective Reporting Under the Modern Slavery Act](#)

8.6. MS&S Programme Summary ⁷



⁷ Refer to Document Checklist section 3.6