

Social Responsibility Assessment (SRA) Tool Equivalency Mapping Assessment Instruction

Fair Trade USA Capture Fisheries Standard

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Background & Purpose

Although the Social Responsibility Assessment (SRA) Tool is not a certification, it can be used in conjunction with other established standards that have the same objective of improving the wellbeing of workers, fishers, and farmers in the seafood industry.

One such program is the Fair Trade USA (FTUSA) Capture Fisheries Standard (CFS). The CFS offers voluntary third-party certification that allows producers to demonstrate they are meeting industry best practices in relation to crew welfare and safety, among core fisheries management requirements as well. The certification process provides assurances to buyers that the seafood they are sourcing is meeting requirements as defined in the CFS criteria through third-party verification. The CFS also takes a strong worker/fisher-driven approach to sustainability, with key elements of the Fair Trade USA program that encourage leadership of fishers in their supply chains. Processing facilities often fall within the scope of a CFS certificate as well and may be included in the scope of the SRA depending on the purpose of the assessment¹.

The equivalency mapping (EQ mapping) between the CFS and the SRA highlights the synergies between programs and provides guidance on how to effectively implement the SRA with Fair Trade Certified™ fishery, with the goal of allowing buyers to easily compare risk levels between certified and non-certified vessels and reducing assessment fatigue when vessels are supplying to buyers with different certification requirements. The SRA EQ mapping to the CFS was reviewed by FTUSA representatives for accuracy and was published online as a tool to streamline the implementation of the SRA in a Fair Trade Certified™ fishery, allowing data collected during the CFS audit to be used to evaluate risk levels through the SRA.

The following documents² should be reviewed prior to using this instruction:

- + *Applying and Using the SRA Equivalency Mapping*: This document provides information on how to apply the EQ mapping. It includes an explanation of the types of matches (full, partial, no alignment) and indicates the steps to be taken when using the EQ mapping.
- + *SRA Equivalency Mapping: FTUSA*: This document provides a mapping of relevant CFS criteria to the full list of SRA performance indicator scoring guideposts (PISGs), along with the type of match, and specifies where additional data need to be collected for full assessment against the SRA.

The purpose of this document is to provide detailed instructions on how to apply the SRA on groups of vessels that are part of an FTUSA certificate³. This document focuses on how to take specific CFS program details into consideration when implementing the SRA, such as the CFS continuous improvement model timeline, size categorization, and any differences in scope between the CFS scope and the SRA Unit of Assessment.

Note that the purpose of this document is to help the Certificate of a Fair Trade Certified™ fishery to use the data they have accessible to them through their most recent audit report to map to the SRA framework and allow the Certificate Holder to use the results to understand risk against the Monterrey Framework and/or for other purposes, such as for reporting compliance with the FisheryProgress Human Rights and Social Responsibility Policy.

¹ For example, for FisheryProgress reporting, only the vessel data need be included in scope of the SRA.

² All documents available on [RISE](#).

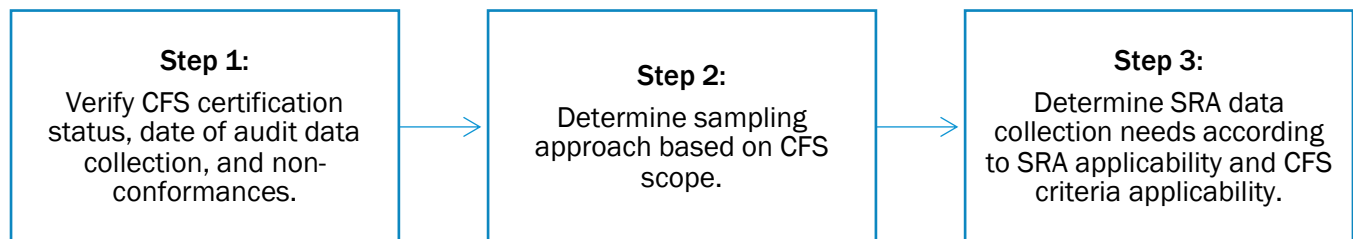
³ Note that this document provides instruction on how to use CFS audit findings to complete an SRA. If a site has conducted an SRA and wishes to use the results to become certified by CFS, they will need to reach out to CFS to discuss feasibility.

The detailed findings from the Fair Trade USA audit report do not need to be made public. For example, if the final report detailed an incident where a captain hit a member of the crew, this can be summarized as abuse and harassment as a finding for indicator 1.1.1, and the details of this interaction do not have to be included to the report. If a CFS criterion was verified in the CFS audit, the certification status of the fishery is sufficient to demonstrate alignment with an SRA performance indicator scoring guidepost. Any specific CFS audit report data referenced in the SRA report should only be captured in the copy that is shared with the Certificate Holder.

Additionally, if a third-party was brought on to convert a FTUSA audit report into an SRA, the Certificate Holder should request that the third party sign a non-disclosure agreement to ensure audit results are not shared. It is essential that the assessor has access to the full report to ensure they have the context needed to complete the SRA.

Converting CFS Audit Results into an SRA

The key to using a CFS audit to complete an SRA is rooted in identifying the applicable CFS criteria, and carefully indicating where data need to be collected during an SRA to adequately assess risk according to the SRA framework. The following steps should be taken to convert your CFS audit results into evidence for the SRA:



Step 1: CFS Certification Status

The first thing that should be verified before using CFS audit results to complete an SRA is to review the certification status of the fishery. You can verify the certificate status of a fishery by contacting FTUSA staff (seafoodsc@fairtradeusa.org). In order to remain certified, the fishery must be audited by a third party approved by FTUSA at least once each year. If an audit was completed in the past and the fishery that was previously FTUSA certified decided to not continue their certification, the data collection from the previous audit can only be used for the SRA if the audit took place within the past 12 months. It is also possible that a fishery that was certified has failed to maintain their certification. There are several reasons a fishery may be suspended according to FTUSA:

- 1) Failure to close non-compliances through the Corrective Action Plan (CAP) process.
- 2) Zero Tolerance non-compliances, depending on the severity, may lead to immediate suspension
- 3) Failure to follow zero tolerance procedures
- 4) Failure to implement CAP from previous audit
- 5) Third-party allegations of non-compliance with one or more compliance criteria substantiated through investigation

- 6) Non-compliances raised during an unannounced audit that were previously found to be compliant (transparency issue)
- 7) Obstructing audit process of an announced or unannounced audit (i.e., not allowing auditor access to information or sites)
- 8) Failure to schedule a required surveillance, follow up, or re-certification audit within the timeframe specified by the Conformity Assessment Body (CAB)
- 9) Breaking contractual obligations (e.g., non-payment of fees)

Fisheries who are suspended will need to complete their CAP and/or may require a follow up audit in order for their certificate to be re-instated. A fishery may be decertified under the following circumstances according to FTUSA:

- 1) Voluntary withdrawal
- 2) Expired certificate that has not been renewed
- 3) Failure to resolve issues that lead to suspension within defined time frame
- 4) The resultant suspension process could not be resolved therefore the certificate was not reinstated
- 5) Lack of responsiveness from the certificate holder in relation to audit scheduling and/or non-compliance resolution.

If a site has been suspended or decertified, be sure to carefully review the circumstances to get a good understanding of the potential risks associated, and so that these issues can be an area of focus during the primary data collection for the SRA (i.e., applying a risk-based approach to data collection based on suspension or decertification circumstances).

If a fishery has been suspended, decertified, or was unable to achieve CFS certification due to non-compliances, the results from the final audit can be used under the following circumstances:

- a) The data collection for the audit has taken place in the last 12 months; AND,
- b) The audit findings are reflected accurately in the SRA. This means that for any non-compliances in the CFS audit, the evidence suggests that the corresponding PISG is not met, and it should be recorded as such in the SRA report. While it is not required to collect any additional data for that PISG, it is recommended to include it in the assessment if progress has been made since the time of the CFS audit to re-assess risk for SRA purposes, otherwise that indicator may be listed as high risk.

Non-compliances

Even if a fishery's certification status can be verified, it is possible that non-compliances were uncovered during the CFS audit. Fisheries must close out all non-compliances via a CAP process to receive or maintain a certification. At a minimum, along with the SRA report, the assessor conducting the assessment must record the total number of non-compliances raised in the most recent audit. The report reviewer can then verify with FTUSA whether the number of non-compliances shared in the SRA matches what was in their report.

In the SRA, a non-compliance from the CFS audit can be used to show alignment with the corresponding SRA PISG **only if a corrective action plan has been successfully implemented as confirmed by the third-party auditing body**. If this is the case for any criteria, the fishery should be sure to include the corrective action plan details and non-compliance closure as part of their evidence to demonstrate risk. This is applicable regardless of the certification status of the vessel/group. The SRA report should specify the following in relation to corrective actions, at a minimum:

- + The specific details of why there was a non-compliance
- + The actions taken to resolve the non-compliance
- + The timeline within which the non-compliance was closed

Step 2: Determine SRA sampling approach based on CFS scope

Scope

CFS Scope

The CFS certification has a number of key eligibility requirements a fishery must meet in order to be eligible for certification. This pertains to the type of fishing, target species, maximum days at sea, among others. The scope of the assessment is generally defined as any individual fishers, vessels, and processing sites that fall under management of or supply to the legal entity that has applied for certification. Often, this is a company, and processing may be included in a vertically integrated supply chain. The “legal entity” can also encompass a cooperative of fishers.

SRA Unit of Assessment

In most cases an SRA will be conducted on a sample drawn from the population of vessels that makes up the scope of the SRA, known as the Unit of Assessment (UoA). Because the sample must be representative in order for the results of the SRA to be accurate, it is important to understand how the CFS scope is different from the SRA UoA.

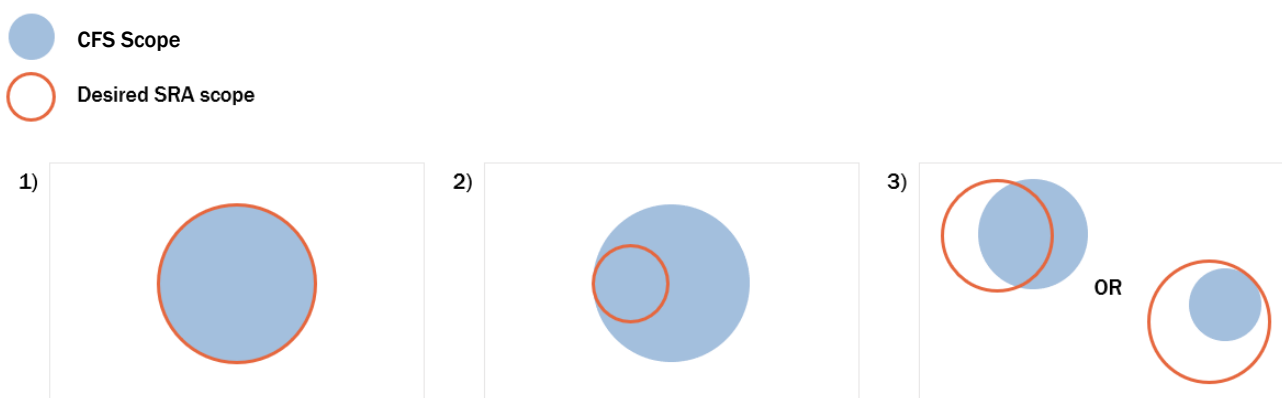
Sampling based on scope

In cases where the CFS scope differs from the SRA UoA, there may be different data collection needs for groups included in the SRA UoA. Furthermore, the sampling technique used will need to be altered so as to ensure the sample used for the SRA is representative.

There are three possible scenarios when comparing the SRA UoA to the CFS certificate scope (see Figure 1 below):

- 1) The SRA UoA is the same as the CFS certificate scope
- 2) The SRA UoA is different, but entirely within the CFS certificate scope
- 3) The SRA UoA is different, including vessels that are not within the CFS certificate scope

Figure 1: Possible outcomes of SRA UoA relative to the CFS scope of certification.



Matching the scope (scenario 1) can be valuable to extend the assessment beyond the subject matter in the CFS and also to convert the CFS findings into a risk assessment. The CFS may have a broader scope (scenario 2) if the certificate covers a fleet of vessels, but only some are of interest for the SRA. The CFS may include vessels that are not in the certificate scope if, for example, the vessels within scope of the CFS certificate are part of a Fishery Improvement Project (FIP) that includes other vessels.

Sampling according to differences between CFS certificate scope and desired SRA Unit of Assessment

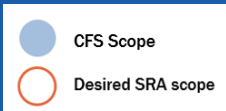
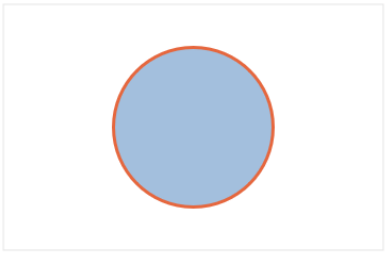
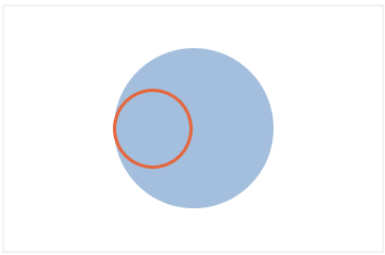
Depending on how the scope of the CFS certificate differs from the desired SRA UoA, a different sampling approach will need to be taken for each of the possible outcomes.

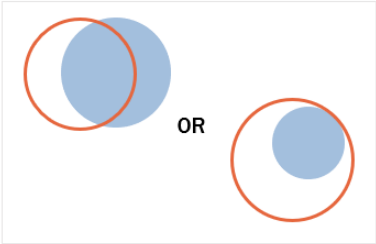
During an audit, FTUSA applies the following sampling approach:

- + Sites: square root of the total number of sites
- + Interviews: square root of the total number of fishers / workers
- + Vessels: square root of the total number of vessels

Table 1. Details about how the sample will need to be adjusted according to how the CFS scope compares to the desired SRA UoA.

For each of the examples in Table 1, the CFS scope includes 20 vessels and 300 individuals. Using the CFS methodology, the CFS audit would have included a sample of 5 vessels. With a total of 300 individuals, there would have been 18 interviews conducted for the CFS audit.

CFS Scope relative to SRA scope	Sampling Approach	Example
		
<p>1) The desired SRA UoA is the same as the CFS certificate scope</p> 	Any additional data that need to be collected according to the CFS EQ mapping shall be collected using the same sampling methodology as the CFS audit.	<p>Additional data collection on the SRA indicators of interest shall be collected on 5 vessels and 18 interviews.</p> <p><i>Note this does not mean you must include the same individuals and vessels that were part of the sample for the CFS audit, just that the number of interviews and vessels inspected will be the same.</i></p>
<p>2) The desired SRA UoA is different, but within the CFS certificate scope</p> 	Any additional data that need to be collected according to the CFS EQ mapping shall be collected using the same sampling methodology that was used for the CFS audit, but only on those individuals and vessels included in the SRA UoA.	<p>Suppose the SRA UoA comprises 10 vessels and 150 fishers, all of which were within scope of the CFS audit.</p> <p>Any additional data to be collected would be collected from a sample of 4 vessels (instead of 5) and would require only 13 interviews (instead of 18).</p> <p><i>Close attention should be paid to ensure the sample only includes vessels and individuals that are part of the SRA UoA. Similarly, to scenario 1, the sample does not need to include any of the same individuals and vessels.</i></p>

<p>3) The desired SRA UoA is different, but includes vessels that are not within the CFS certificate scope</p> 	<p>A different sampling approach is to be used on each group:</p> <ul style="list-style-type: none"> + Audited sample: Those vessels and individuals that were part of the CFS scope need only collect the additional data as specified in the CFS EQ mapping using the same sampling methodology as the CFS audit. + Non-audited sample: Those that fall outside of the CFS certificate scope must have a full SRA conducted using the same sampling methodology used for the CFS audit. 	<p>SRA UoA: 30 vessels and 450 fishers.</p> <p>For the 20 vessels and 300 individuals in the CFS certificate scope, only the areas identified in the CFS EQ mapping that indicate additional data needs (partial matches and no alignment) should be collected using the sample from the CFS audit (refer to #1) in the table).</p> <p>For the 10 vessels outside of CFS certificate scope, full SRA data collection must take place on a sample of those 10 vessels. Using the CFS methodology, this would be 4 vessels and 13 interviews.</p>
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It is very important when devising and executing the assessment schedule that you have a comprehensive list of vessels that were part of the CFS audit and those that were not. Verify this early and repeatedly during the SRA to ensure you are collecting all required data. Additionally, it is recommended to review data collection needs at the end of each day to make sure you are on track.

Step 3: Determine SRA data collection needs according to SRA applicability and CFS clause applicability

There are two key applicability factors to take into consideration to identify the SRA data collection needs: SRA indicator applicability and CFS criteria applicability.

SRA Indicator Applicability

The SRA was designed for applicability in a number of different contexts, which means that several indicators are only applicable depending on the characteristics of the fishery. This ensures that key risks unique to a certain context in the fishing industry can be assessed as part of an SRA and need not be included in contexts where they are not relevant. In the SRA, there is an applicability Decision Tree that poses a number of questions that are to be answered based on the characteristics of the Unit of Assessment. In answering these questions, you will be able to determine which SRA indicators are applicable.

For example, indicator 1.1.5: Earning and Benefits is only applicable when the Unit of Assessment has waged workers/fishers/farmers.

CFS Criteria Applicability

The applicability of CFS criteria is determined based on four factors:

- 1) the type of production site (land-based facility vs. vessel, and hired-labor vs. independent fishers)
- 2) the number of individuals at each production site
- 3) the length of continuous fishing trips
- 4) the continuous improvement model (criterion types: best practice, progress, critical)

Refer to Appendix 1 for detailed information on CFS applicability. The simplest way to determine which CFS criteria were audited in the most recent audit, you can simply use the CFS audit report⁴ as your key source.

Once you have the CFS EQ mapping open, you will go down the SRA PISGs, find the CFS criteria that has been mapped, then refer to the CFS audit report to see whether or not that clause was audited. In the CFS report, those listed as N/A will not have been audited and were therefore not applicable at the time of that particular CFS audit. For these requirements, data will need to be collected during the SRA. Verifying this is of particular importance in relation to Progress criteria. See more information on Progress criteria in Appendix 1 below.

In relation to best practice criteria, there is one additional step that needs to be verified for the continuous improvement model: Depending on numbers 1) and 2) above, some CFS criteria may be best practice. These best practice criteria are evaluated during an audit and will appear as non-compliant if they are not met, however, a fishery may not have to meet those requirements depending on 1) and 2) above, and will therefore still pass regardless of these non-compliances. If the CFS scope includes those that are considered a “Small Operation” or a “Short Fishing Trip”, be sure to double check these best practice criteria, as some will be applicable in the case of the SRA as the SRA does not use this kind of classification.

Mapping Out Data Collection Needs

Before going into the SRA, it is important to clearly indicate data collection needs in the SRA Report Template.

First you will mark all SRA indicators that are not applicable as “N/A”. For example, if the UoA is a cooperative of self-employed fishers, certain PISGs such as 1.1.5 and 1.1.6 may not apply depending on the fishery (e.g., if the self-employed fishers hire crew, this may be different).

Second, you will determine which data need to be collected for which sample. This will depend on which scenario from Figure 1 above applies. Appendix 2 includes a table that can be used to help track sampling needs. Once you have determined this, you will mark the additional data collection needs in the SRA Report Template (Figure 2). You will be able to use one assessment template to conduct this SRA if you clearly keep track of the data collection needs for each group.

Figure 1: Example of how to track data collection needs in the SRA report for a case where the scope of the Fair Trade Certificate is smaller than the SRA UoA (i.e., there are vessels that are not in the FTUSA Certificate scope that are in the scope of the SRA UoA).

In this example, before collecting any primary or secondary data on SRA indicators, the assessor should go line by line in the template to mark down the relevant SRA indicators and their CFS matches, as well as data collection needs. As you can see in SRA Indicator 1.1.1 below, all the PISGs have a match in the CFS, so data need only be collected from vessels and individuals that are in the SRA UoA that are not in the scope of the Fair Trade Certificate.

⁴ Reminder that the audit reports are confidential, so a third-party assessor brought on will likely need to sign a non-disclosure agreement, and any public final report should not include specific findings from the FTUSA audit report. All evidence included in public reported should be verified by the Certificate Holder.

Risk	SRA #	FIP Requirement ?	Components, Indicators, and Performance Indicator Scoring Guideposts	Met? Y/N/NA/Not Assessed	Type of Evidence	Evidence/Findings
Medium	SRA1.1.1 S1	FIP Requirement	There are reliable and transparent data available on abuse and harassment.	Y	Audit Report / Pre-assessment	CFS audit as third-party verification.
Medium	SRA1.1.1 S2	FIP Requirement	Migrant status is not used as a threat or tool of coercion.	Y	Audit Report / Pre-assessment	CFS 2.4.2 a Collect data on 3 non-FT certified vessels and 10 fishers that are not working on FT certified vessels.
Medium	SRA1.1.1 S3	FIP Requirement	There is no corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), genderbased violence, sexual harassment, or any other form of harassment, including excessive or abusive disciplinary action, and fisheries observers (when present) are able to conduct duties free from assault, harassment, interference, or bribery.	Y	Audit Report / Pre-assessment	CFS 2.4.2 a Collect data on 3 non-FT certified vessels and 10 fishers that are not working on FT certified vessels.
Medium	SRA1.1.1 S4	FIP Requirement	Workers/fishers/farmers' families or community members are not threatened by employers, buyers, labor brokers, or organized crime.	Y	Audit Report / Pre-assessment	CFS 2.4.2 a Collect data on 3 non-FT certified vessels and 10 fishers that are not working on FT certified vessels.
Medium	SRA1.1.1 S5	FIP Requirement	There is no forced drug use, or labor and/or product is not compensated for with drugs.	Y	Audit Report / Pre-assessment	CFS 2.4.2 b Collect data on 3 non-FT certified vessels and 10 fishers that are not working on FT certified vessels.
Low	SRA1.1.1 S6	FIP Requirement	There is a written policy publicly disclosed, posted in all languages with special accommodations for illiteracy that prohibits physical abuse, bullying, and sexual harassment, with a disciplinary procedure in place to address cases of harassment, and discipline commensurate to the actions.	Y	Audit Report / Pre-assessment	CFS 1.2.5.c, 4.5.2.a, 4.5.2.d, 2.1.1.a Collect data on 3 non-FT certified vessels and 10 fishers that are not working on FT certified vessels.
Low	SRA1.1.1 S7	FIP Requirement	Managers and workers/fishers/farmers are aware of and trained on the harassment policy.	Y	Audit Report / Pre-assessment	CFS 4.5.2.b Collect data on 3 non-FT certified vessels and 10 fishers that are not working on FT certified vessels.
Low	SRA1.1.1 S8	FIP Requirement	Workers have grievance procedures to report harassment and do not face retaliation for using them.	Y	Audit Report / Pre-assessment	CFS 1.2.2.d, 4.5.2.c, 4.5.2.d, 4.5.2.h Collect data on 3 non-FT certified vessels and 10 fishers that are not working on FT certified vessels.

Appendices

Appendix 1: CFS Applicability

The CFS defines applicability of criteria according to the following factors:

- 1) the type of production (land-based facility vs. vessel & hired labor vs. independent fishers)
- 2) the number of individuals at each production site
- 3) the length of fishing trip
- 4) the continuous improvement model (criterion types: best practice, progress, critical)

1.1.1 Type of Production

The CFS can be applied either to individual operators that own and/or operate their own vessel, and therefore have no employee-employer relationship. They may or may not have crew working on their vessels. It can also be applied in a fishery where there are hired-labor fishers undertaking the fishing activity, in which case these are fishers hired to work on an employer's vessel and are thereby in an employee-employer relationship. These same criteria then also apply to hired-labor workers working at land-based facilities when included in scope of the certificate. The CFS is separated out to account for differences in these two contexts.

The other factor here is whether there are any land-based facilities in scope of the assessment. There is a Module designated for land-based facility health and safety provisions that would not be applicable if there are no land-based sites included in the scope of an assessment.

Certain Modules are only applicable to certain types of operations here, and the applicability is delineated by color-coding in the CFS.

1.1.2 Number of Individuals

For the Modules that pertain to hired-labor fishers or workers, the applicability of requirements is based on the size of the operation. FTUSA defines 3 different size classifications:

Table 2. Applicability according to number of individuals.

Operation Size	Characteristics
Small Operation (SO)	≤5 hired-labor fishers or permanent workers and no more than 25 total hired-labor fishers or workers on-site at the management unit at any time
Medium Operation (MO)	6-25 hired-labor fishers or permanent workers and no more than 100 total hired-labor fishers or workers on-site at the management unit at any time;
Large Operation (LO)	All others.

This is to account for the sophistication of labor practices expected based on the relative size of the operation. While all the key baseline requirements are applicable to all sizes equivalently, there will be some that entail more work that could be more challenging for a SO or MO, so the timelines may be pushed out. See section 1.1.4 below for more details on the continuous improvement model.

1.1.3 Length of Fishing Trip

For some of the key health and safety requirements on vessels, the applicability under the CFS pertains to the length of fishing trip. For example, those out at sea for numerous days will be audited for the accommodations on vessels, whereas for day trips, this does not need to be audited.

FTUSA defines fishing trip length based on continuous time at sea according to the following breakdown:

Table 3. Applicability according to length of fishing trip.

Fishing Trip Length	Details
Short Fishing Trip (SFT)	vessels carrying out fishing trips of 48 hours or less
Long Fishing Trip (LFT)	vessels carrying out fishing trips between 48 hours and 30 consecutive days
Out of scope	Vessel carrying out fishing trips longer than 30 days

This factor is only relevant for Module 5.

1.1.4 Continuous Improvement Model

The FTUSA continuous improvement model is designed to increase the scope of applicable criteria over time so as to give operations time to meet the entire CFS. This is framed according to 3 different criterion types and defined certification timelines.

Table 4. Applicability according to the continuous improvement model.

Criterion Type	Timeline	Details
Critical (C)	C-Y0, C-Y1, C-Y3, C-Y6, C-[other]	The Critical criteria are those that have to be met according to their defined timeline in order for a fishery to remain certified. Note that some Critical criterion's applicability is depending on the completion of other specific criteria (e.g., 1.1.2.b).
Progress (P)	P-1, P-3, P-5	Progress criteria are assigned a point value based on the relative difficulty of implementation. The Certificate Holder can pick and choose which of the Progress criteria they would like to implement first, but must meet a minimum threshold in Y0 that increases in Y3 and Y6 according to the following schedule: <ul style="list-style-type: none"> + Year 0: 40% of total possible Progress points must be achieved + Year 3: 70% of total possible Progress points must be achieved + Year 6: 100% of total possible Progress points must be achieved
Best Practice (BP)	BP	For Small Operations and Short Fishing Trips, there are some criteria that are deemed "Best Practice". These tend to be requirements that are either redundant or low risk according to these characteristics. BP criteria are audited for SOs and SFTs, but if non-compliant, will not affect the result of the audit. It is encouraged by FTUSA for SOs and SFTs to consider BP criteria to achieve higher levels of compliance.

1.1.5 Final CFS Applicability by Module

Each Module will have a mix of different criterion types that build out the continuous improvement model, therefore you will see Critical, Progress, and Best Practice criteria in each Module. Then, each Module has different applicability factors that are relevant for the topic being assessed. They are summarized as follows:

Table 5. Applicability details according to CFS Modules.

Module	Applicability Factor(s)	Description
Module 1	Type of production	Almost the entire Module 1 is applied universally for any FTUSA fishery with the exception of Sub-module 1.2 that is generally

		applicable only if there is a Fishing Association formed by independent or waged fishers
Module 2	N/A	Universally applicable.
Module 3	Type of production	Only applicable where there is a Fishing Association.
Module 4	Type of production Number of individuals	Module 4 is applicable when there are hired-labor fishers and/or workers at land-based facilities. Applicability is then further broken down by operation size according to the number of individuals.
Module 5	Type of production Length of fishing trip	Only applicable to vessels and criteria are broken out according to SFTs and LFTs.
Module 6	Type of production Number of individuals	Module 6 is applicable only at land-based facilities that are included in the scope of the assessment. This section is also broken down according to the number of individuals at each facility
Module 7	N/A	Universally applicable.
Module 8	Type of production	There are certain criteria in this section that are only applicable when there is a Fishing Association rather than hired-labor fishers only.
Module 9	Type of production	There are certain criteria in this section that are only applicable when there is a Fishing Association rather than hired-labor fishers only.

Appendix 2: Template to track SRA sampling needs

Table 6: Table format that can be used to organize sampling method when CFS audit scope is narrower than desired SRA UoA.

Vessels:	Total number of vessels in the SRA UoA:	<input type="text"/>	
	Number of vessels in CFS certificate scope:	<input type="text"/>	
	SRA UoA # vessels – CFS certified vessels:	<input type="text"/>	
	Audited Sample:	<input type="text"/>	Apply EQ mapping data collection needs to this number of vessels.
	CFS vessel sample	<input type="text"/>	
	Non-audited Sample:	<input type="text"/>	Apply full SRA to this number of vessels.
	Vessels out of CFS scope	<input type="text"/>	
	<i>Use the answer from above and apply the CFS sampling methodology.</i>	<input type="text"/>	
Individuals:	Total number of individuals in the SRA UoA:	<input type="text"/>	
	Number of individuals in CFS certificate scope:	<input type="text"/>	
	SRA UoA # individuals – CFS certified vessels:	<input type="text"/>	
	Audited Sample:	<input type="text"/>	Apply EQ mapping data collection needs to this number of vessels.
	CFS individual sample	<input type="text"/>	
	Non-audited sample:	<input type="text"/>	Apply full SRA to this number of vessels.
	Individuals out of CFS scope	<input type="text"/>	
	<i>Use the answer from above and apply the CFS sampling methodology.</i>	<input type="text"/>	

Appendix 3: Additional Considerations & Tips

Preparation:

- + If there is a mix of certified and non-certified vessels within the same SRA UoA, it may be helpful to mark up two different versions of the SRA Guide to Data Collection with your own notes or create different interview plans for the different groups. This will help you track data is being collected from which groups.

On-site:

- + If there is a mix of certified and non-certified vessels within the same SRA UoA, always be sure to double check before starting an interview or vessel inspection whether or not the individual or vessel is part of the audited sample or the non-audited sample.
- + Be sure to conduct a mid-assessment review of the SRA PISGs to see how data collection is going. This way you can identify any gaps and adapt the remaining assessment days to ensure you are collecting the data needed.

Final Report:

- + Be sure to clearly mark the sample where improvements are needed according to the SRA. If different management systems are in place (e.g., CFS vessels versus non-certified vessels), different improvement plans may be needed.