Social Responsibility Assessment (SRA) Tool Equivalency Mapping Assessment Instruction

Responsible Fishing Vessel Standard (RFVS)

Version 1.0, May 20, 2021

May 2023

Contents

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 Best Seafood Practices (BSP) Responsible Fishing Vessel Standard (RFVS). The RFVS offers voluntary third-party certification that allows vessels to demonstrate they are meeting industry best practices in relation to crew welfare and safety. The certification process provides assurances to buyers that the seafood they are sourcing is meeting requirements as defined in the RFVS clauses through third-party verification.

The equivalency mapping (EQ mapping) between the RFVS and the SRA highlights the synergies between programs and provides guidance on how to effectively implement the SRA with an RFVS certified vessel/group of vessels, 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 RFVS was reviewed by RFVS representatives for accuracy and was published online as a tool to streamline the implementation of the SRA in an RFVS certified vessel/group, allowing data collected during the RFVS audit to be used to evaluate risk levels through the SRA.

The following documents[1] 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: RFVS*: This document provides a mapping of relevant RFVS clauses 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 vessels or groups of vessels that are part of an RFVS certificate[2]. This document focuses on how to take specific RFVS program details into consideration when implementing the SRA, such as the RFVS vessel compliance categories and any differences in scope between the RFVS certificate and the SRA unit of assessment.

Note that the purpose of this document is to help the certificate holder of an RFVS compliant 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.

The detailed findings from the RFVS 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 in the report. If an RFVS criterion was verified in the RFVS audit, the certification status of the fishery is sufficient to
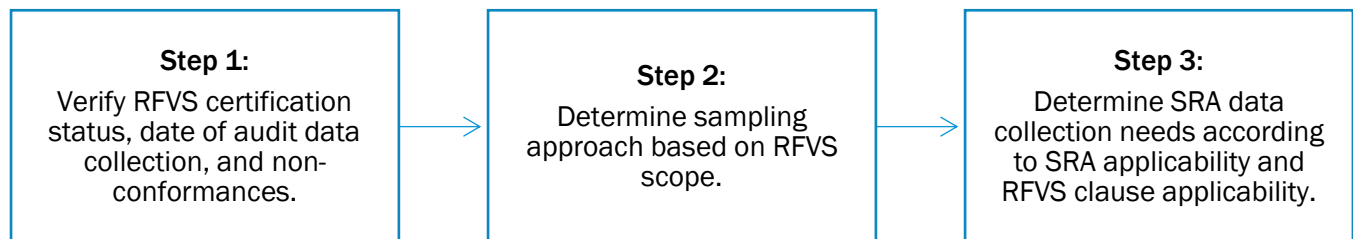
---

[1] All documents available on RISE.
[2] Note that this document provides instruction on how to use RFVS audit findings to complete an SRA. If a site has conducted an SRA and wishes to use the results to become certified by RFVS, they will need to reach out to RFVS to discuss feasibility.

demonstrate alignment with an SRA performance indicator scoring guidepost. Any specific RFVS 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 RFVS 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 RFVS Audit Results into an SRA

The key to using an RFVS audit to complete an SRA is rooted in identifying the applicable RFVS clauses, 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 RFVS audit results into evidence for the SRA:

Step 1: Verify RFVS certification status, date of audit data collection, and non-conformances.	**Step 2:** Determine sampling approach based on RFVS scope.	**Step 3:** Determine SRA data collection needs according to SRA applicability and RFVS clause applicability.

Step 1: RFVS Certification Status

The first thing that should be verified before using RFVS audit results to complete an SRA is to review the certification status of the vessel/group. You can verify the certificate status of a vessel through the Best Seafood Practices Producers page (https://bspcertification.org/Producers) or by communicating with BSP staff In order to remain certified, the vessel/group must be audited by a third party approved by BSP at least once each year. If an audit was completed in the past and the vessel/group that was previously RFVS 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 vessel/group that was certified has failed to maintain their certification. There are two main reasons a vessel/group may be decertified or suspended:

1) They did not continue to meet the RFVS Eligibility Criteria (page 4 of the RFVS)
2) They failed to close out an identified non-conformance from a scheduled audit
3) There is a verified breach of the RFVS Zero Tolerance Policy
4) They fail to meet annual surveillance audit requirements

If a vessel/group has been suspended, decertified, or was unable to achieve RFVS certification due to non-conformances, 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-conformances in the RFVS 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 RFVS audit to re-assess risk for SRA purposes, otherwise that indicator may be listed as high risk.

Non-conformances

Even if a vessel/group's certification status can be verified, it is possible that non-conformances were uncovered during the RFVS audit. Vessels/groups must close out all non-conformances via a corrective action plan in order to receive a certification. At a minimum, along with the SRA report, the assessor conducting the assessment must record the total number of non-conformances raised in the most recent audit. The report reviewer can then verify with RFVS whether or not the number of non-conformances shared in the SRA matches what was in their report.

In the SRA, a non-conformance from the RFVS audit can be used to show alignment with the corresponding SRA PISG **only if a corrective action plan has been successfully implemented**. If this is the case for any clauses, the vessel/group should be sure to include the corrective action plan details and non-conformance 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-conformance
+ The actions taken to resolve the non-conformance
+ The timeline within which the non-conformance was closed

Step 2: Determine SRA sampling approach based on RFVS scope
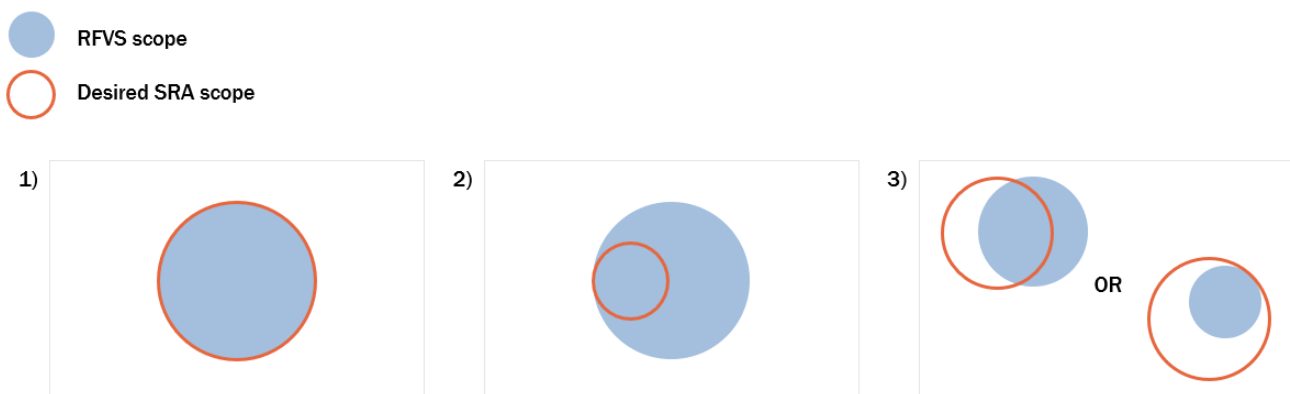
Scope

The RFVS certification can be applied to any single commercially licensed vessel or fleet of vessels globally. In most cases an SRA will be conducted on a sample drawn from the population of vessels that make 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 RFVS scope compares to the SRA UoA.

In cases where the RFVS scope differs from the 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 RFVS certificate scope (see Figure X below):
1) The SRA UoA is the same as the RFVS certificate scope
2) The SRA UoA is different, but entirely within the RFVS certificate scope
3) The SRA UoA is different, including vessels that are not within the RFVS certificate scope

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

Matching the scope (scenario 1) can be valuable to extend the assessment beyond the subject matter in the RFVS and also to convert the RFVS findings into a risk assessment. The RFVS 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 RFVS may include vessels that are not in the certificate scope if, for example, the vessels within scope of the RFVS certificate are part of a Fishery Improvement Project (FIP) that includes other vessels.
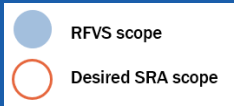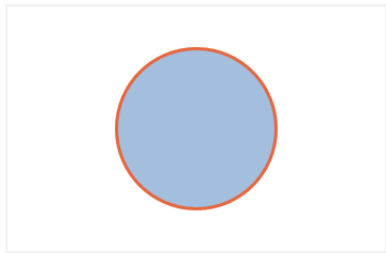
Sampling according to differences between RFVS certificate scope and desired SRA Unit of Assessment

Depending on how the scope of the RFVS certificate differs from the desired SRA UoA, a different sampling approach will need to be taken for each of the possible outcomes.
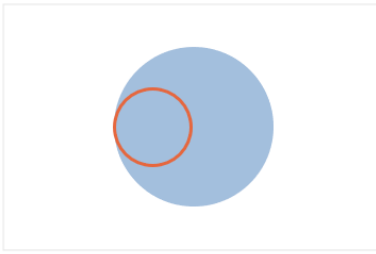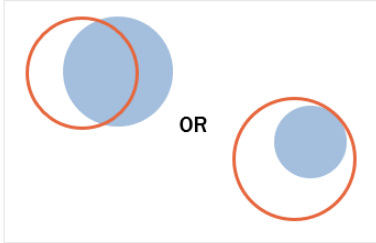
In a group of vessels, the RFVS sample is the square root of the total number of vessels in the group and a minimum of 2. The sample of interview is the square root of the number of crew members per vessel (i.e., the sample of interviews is unique to the vessels in the sample).

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

For each of the examples in Table 1, the RFVS scope includes 20 vessels and 300 individuals. Using the RFVS methodology[3], the RFVS audit would have included a sample of 5 vessels, each employing 15 crew members. Therefore, during the RFVS audit, 5 vessels were inspected, and 20 interviews took place (4 interviews per vessel).

RFVS Scope relative to SRA scope ⬤ RFVS scope ◯ Desired SRA scope	Sampling Approach	Example
1) The desired SRA UoA is the same as the RFVS certificate scope 	Any additional data that need to be collected according to the RFVS EQ mapping shall be collected using the same sampling methodology as the RFVS audit.	Additional data collection on the SRA indicators of interest shall be collected on 5 vessels utilizing the appropriate number of interviews during the SRA. *Note this does not mean you must include the **same** individuals and vessels that were part of the sample for the RFVS audit, just that the number of interviews and vessels inspected will be the same.*
2) The desired SRA UoA is different, but within the RFVS certificate scope	Any additional data that need to be collected according to the RFVS EQ mapping shall be collected using the same sampling methodology that was used for the RFVS audit,	Suppose the SRA UoA comprises 10 vessels and 150 fishers, all of which were within scope of the RFVS audit. Any additional data to be collected would be collected from a sample of

---

[3] RFVS has a complex risk matrix that serves to increase a sample when certain risk factors are present. To simplify the examples, the RFVS risk matrix for sampling was not included. Please be sure to double check the resultant sample according to the full RFVS methodology as described in the Best Seafood Practices Responsible Fishing Vessel Standard: Vessel Group Program Policy and Control Document, Issue 1.0, October 12, 2021.

	but only on those individuals and vessels included in the SRA UoA.	4 vessels (instead of 5) utilizing the appropriate number of interviews during the SRA. *Care should be taken 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.*
3) The desired SRA UoA is different, but includes vessels that are not within the RFVS certificate scope 	A different sampling approach is to be used on each group: + **Audited sample:** Those vessels and individuals that were part of the RFVS scope need only collect the additional data as specified in the RFVS EQ mapping using the **same sampling methodology** as the RFVS audit. + **Non-audited sample:** Those that fall outside of the RFVS certificate scope must have a full SRA conducted **using the same sampling methodology used for the RFVS audit.**	SRA UoA: 30 vessels and 450 fishers. For the 20 vessels and 300 individuals in the RFVS certificate scope, only the areas identified in the RFVS EQ mapping that indicate additional data needs (partial matches and no alignment) should be collected using the sample from the RFVS audit (refer to #1) in the table). For the 10 vessels outside of RFVS certificate scope, full SRA data collection must take place on a sample of those 10 vessels. Using the RFVS methodology, this would be 4 vessels utilizing the appropriate number of interviews.

It is very important when devising and executing the assessment schedule that you have a comprehensive list of vessels that are part of the RFVS certificate and those that are 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 RFVS clause applicability

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

RFVS Clause Applicability

The applicability of RFVS clauses is determined according to clause categories and certification categories defined in the RFVS (refer to Appendix 1 for detailed information on these categories). The simplest way to determine which RFVS clauses were audited in the most recent audit, you can simply use the RFVS audit report as your key source.

Once you have the RFVS EQ mapping open, you will go down the SRA PISGs, find the RFVS clause that has been mapped, then refer to the RFVS audit report to see whether or not that clause was audited. In the RFVS report, those listed as N/A will not have been audited and were therefore not applicable at the time of that RFVS audit. For these requirements, data will need to be collected during the SRA.

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 2: Example of how to track data collection needs in the SRA report for a case where the scope of the RFVS Certificate the same as 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 RFVS 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 RFVS, so data need only be collected from vessels and individuals that are in the SRA UoA that are not in the scope of the RFVS Certificate.

PRINCIPLE 1. Protect human rights, dignity, access to resources

Risk	SRA #	FIP Requirement?	Components, Indicators, and Performance Indicator Scoring Guideposts	Met? Y/N/NA/Not Assessed	Type of Evidence	Evidence/Findings
			1.1 Fundamental human rights respected, labor rights protected			
			1.1.1 Abuse and harrassment			
			Indicator Justification			
Medium	SRA1.1.1 S1	FIP Requirement	There are reliable and transparent data available on abuse and harassment.		Combination	RFVS as third party verification, but as there are onsite data collection needs, will need to wait to assess this.
Medium	SRA1.1.1 S2	FIP Requirement	Migrant status is not used as a threat or tool of coercion.		Combination	RFVS 2.5 and 2.19 partially cover this indicator. These requirements see that all workers have legal status to work, which inherently helps reduce risk of coercion based on migrant status. Collect data directly from migrant workers to verify that not only are they not discriminated against due to their migrant status, but that it is not used as a threat or tool of coercion.
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	RFVS 2.5 and 2.19 were compliant in most recent RFVS audit.
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.			No data in RFVS audit available.
Medium	SRA1.1.1 S5	FIP Requirement	There is no forced drug use, or labor and/or product is not compensated for with drugs.		Combination	RFVS 2.4, 2.13, 2.13.1, and 2.19 help to ensure there is no compensation to fishers in the form of drugs. Collect data to demonstrate there is no forced drug use. Desk-based research to understand issues with drug use regionally can help provide context as well.
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	RFVS 2.12, 2.19, and 2.20 were compliant in the most recent RFVS audit.
Low	SRA1.1.1 S7	FIP Requirement	Managers and workers/fishers/farmers are aware of and trained on the harassment policy.		Combination	RFVS 2.18 and 2.19 stipulate workers are trained on their contractual rights. Collect data to verify if fishers/crew are aware of their rights as they relate to abuse and harassment during interviews.
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	RFVS 2.16 and 2.16.2 were compliant in the most recent RFVS audit.

Appendices

Appendix 1: RFVS Clause and Certification Categories

The RFVS has <u>certification categories</u> and <u>clause categories,</u> which, when combined, define the applicability and schedule of RFVS clauses.

Certification Categories

The RFVS defines certification categories based on the vessel type and the length of fishing activity. The certification category defines the subset of applicable RFVS clauses.

Table 2. Summary of RFVS Certification Categories.

Vessel Type	Category	Length of fishing activity (time at sea)
Single-person operated vessel exclusively worked by the owner	Category 1	Any
Crewed vessel	Category 2	Less than 24 hours
	Category 3	25-71 hours
	Category 4	72 hours up to 30 days
	Category 5	30 days or more
	Category 6	Support/Tender Vessels (only permitted in group applications)

As the categories increase from 1-5, the scope of applicable requirements increases. This allows RFVS to accommodate for differences between operations and length of fishing activity (e.g., contracts with crew, sleeping accommodations on vessels). Category 6, Support/Tender vessels, was recently introduced to accommodate larger fleets that utilized these services. There may be group certifications that have mix of vessels that fall under different categories. In this case, a stratified sample of each category will be taken in order to be representative.

Clause Categories

Each RFVS clause is assigned a "clause category." The assigned clause category determines when the vessel or group seeking RFVS certification must meet the clause. The RFVS has 2 clause categories:

+ <u>Essential Requirement</u>: must be met during the initial audit for certification to be granted.
+ <u>Supplementary Requirements</u>: must be met during subsequent audits, according to the specified timeline.

Supplementary requirements have specific associated timelines that must be met in order to become or remain certified. Commonly, this is within 12 months, or put more simply, by the time of their next annual surveillance audit. However, longer time limits for certain supplementary clauses do exist.

Figure 3: Example of an RFVS clause that has different clause categories according to the certification category.

1.12	At the commencement of each fishing trip, an updated crew list shall be produced and kept on board, and a copy shall either be lodged with the regulatory authorities or with an authorised person based on shore.

Clause category	Essential			Supplementary	
Clause application	All	>72 hrs	24 - 71 hrs	Day trip	Single hander

Clause category	Essential			Supplementary	
Clause application	All	>72 hrs	24 - 71 hrs	Day trip	Single hander
Supplementary Clause compliance time limit			12 months from initial certification		

Appendix 2: Template to track SRA sampling needs

Table 3: Table format that can be used to organize sampling method when RFVS audit scope is narrower than desired SRA UoA, including example numbers from Figure X.

Vessels:

Total number of vessels in the SRA UoA:	*100*	
Number of vessels in RFVS certificate scope:	*20*	
SRA UoA # vessels – RFVS certified vessels:	*80*	
Audited Sample: RFVS vessel sample	5	Apply EQ mapping data collection needs to this number of vessels.
Non-audited Sample: Vessels out of RFVS scope *Use the answer from above and apply the RFVS sampling methodology.*	9	Apply full SRA to this number of vessels.

Individuals:

Total number of individuals in the SRA UoA:		
Number of individuals in RFVS certificate scope:		
SRA UoA # individuals – RFVS certified vessels:		
Audited Sample: RFVS individual sample		Apply EQ mapping data collection needs to this number of vessels.
Non-audited sample: Individuals out of RFVS scope *Use the answer from above and apply the RFVS sampling methodology.*		Apply full SRA to this number of vessels.

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., RFVS vessels versus non-certified vessels), different improvement plans may be needed.