



ASSESSOR TRAINING: The Social Responsibility Assessment Tool For The Seafood Sector

Date Created: February 2022

Version: 1.0

SOURCES

The following are key source documents used to develop this training:



[The Social Responsibility Assessment Tool](#)

[The SRA Guide to Data Collection](#)

[The SRA Manual for Trainers](#)

[Methodology to Improve Food, Nutrition, and Livelihood Security](#)

[Categories of Human Rights](#)

[CI & Verite Training Modules](#)

[SRA Assurance Guidance](#)

[SRA Unit of Assessment Guidance](#)

A Trusted Voice for Workers on Fishing Vessels ([slides](#) / [video](#))

Understanding and Accessing Rights ([slides](#) / [video](#))

Note that although FIPs are currently the primary users of the SRA, the training was designed to be general. Key points relevant for FIPs will be pointed out as we go. Additionally, ELEVATE is completely separate from FisheryProgress, therefore any questions about the social policy should be directed at them.

Training Agenda

DAY 1

Welcome & Participant Introductions

Day 1 Learning Objectives

Social Science Methods Part I

BREAK

Social Science Methods Part II

Day 1 Recap & Closing

DAY 2

Welcome & New Participant Intros

Day 2 Learning Objectives

The SRA Process

BREAK

Getting Familiar with the SRA

SRA Resources

Day 2 Recap & Closing

DAY 3

Day 3 Learning Objectives

SRA Content Part I: Principle 1

BREAK

SRA Content Part II: Principle 2 & 3

Day 3 Recap & Closing

+LEVATE

DAY 1

1. Welcome & Participant Introductions
2. Day 1 Learning Objectives
3. Social Science Methods Part I
4. *BREAK*
5. Social Science Methods Part II
6. Day 1 Training Recap & Closing

Welcome & Introductions

INTRODUCTIONS

- 1) What is your name?
- 2) Where are you based out of?
- 3) Where do you work and what is your role?
- 4) What is your favorite fish, to eat or otherwise?
- 5) Nominate the next person



Day 1 Learning Objectives

LEARNING OBJECTIVES

Upon completion of Day 1 of the SRA training, a participant will:

Be prepared to implement social science methods, including:

- + Data collection and validation
- + Sampling methods
- + Interview techniques
- + Working with unions / worker or fisher rights organizations
- + Root cause analysis

Understand the roles and responsibilities of those involved in the assessment (Assessor Code of Conduct)

Feel prepared to implement social science methods in the context of the SRA.



LEARNING OBJECTIVES

Overarching Themes

The following are key themes that are relevant across the entire process of SRA implementation:

Using a Rights-based Approach

Respect for human rights are intrinsic to the success of the fishing industry and conservation cannot succeed without respecting the rights of everyone involved.

Applying a Worker/Fisher-based Approach

A fisher-driven approach emphasizes inclusivity, empowerment, and leadership of fishers during entire process.

Strategies to achieving genuine worker representation

A Worker/ Fisher-Driven Approach to Conducting Interviews

Applying a Gender Lens

Globally, the seafood sector is women-intensive but male-dominated. Women play a vital, yet often overlooked, role in seafood production and seafood processing.

Gender Experiences in the Seafood Sector

Incorporating Gender into Assessments

These concepts should be applied throughout the SRA process, from preparation, to assessment, and improvement.



Social Science Methods Part I

Assessor Code of Conduct

ASSESSOR CODE OF CONDUCT

Expectations of parties during the assessment

ASSESSORS



- + Professionalism;
- + Respect for Non-Disclosure Agreements, informed consent process, and confidentiality and anonymity of all respondents;
- + Follow facility/vessel health and safety precautions;
- + Follow Do No Harm approach; and
- + Put the health and safety of themselves, assessment team, and participating workers/ fishers first.

UNIT OF ASSESSMENT / MANAGEMENT / COMPANY



- + Transparency and openness,
- + Respect for privacy and confidentiality,
- + Non-intervention, non-interference, no coaching and intimidation,
- + No deduction or retaliation to anyone participating in the assessment

WORKERS / FISHERS / FARMERS AND OTHER INTERVIEW RESPONDENTS



- + Informed consent and voluntary participation in the assessment, may opt to withhold consent anytime

Data Collection

TYPES OF DATA COLLECTION

Types of Data Collection

PRIMARY DATA COLLECTION

On-site data collection

Key Informant Interviews



Document Review



Direct Observation



Surveys



Focus Groups



SECONDARY DATA COLLECTION

Desk Research

News Articles



Government Reports



Journal Articles



White Papers



Laws & Regulations



TYPES OF DATA COLLECTION

Primary Data Collection - Interviews

Key Informant Interviews



Used to collect sensitive and confidential information.

Time-intensive.

Essential to a worker-driven approach.

Focus Groups



Can allow for a more natural discussion between interviewees.

Recommended group size minimum of 3 up to 6.

The sample of workers interviewed in a group should not exceed 50% of the sample.

Who to interview?

- Workers/fisher/farmers
- Fish farm / facility managers
- Human resources manager / personnel clerk
- Persons-in-charge of: recruitment, wages, accounting, payroll
- Farm / facility supervisors / group leaders
- Staff managing contractors
- Staff handling worker/fisher/farmer welfare, food, accommodations
- Health and safety officer
- Nurse / clinic staff
- Gender committee, grievance committee, other committee management representatives
- Union officers
- Labor suppliers and contractors
- Labor agency representatives (receiving country)
- Cooperative store managers
- Boat captain / skipper
- Engineers and crew, cooks
- Vessel operations manager



TYPES OF DATA COLLECTION

Primary Data Collection - Direct Observation & Surveys



Direct observation or participant observation is an effective data collection method to *observe living and working conditions* on the vessel or assess basic services within a community.



Surveys tend to be short questionnaires with *closed-ended questions* that are *deployed to a large number of individuals* during an assessment.

Benefits	Challenges
<ul style="list-style-type: none"> + Can reach more individuals + Can cover more topic areas - broad 	<ul style="list-style-type: none"> + Results usually need further investigation to uncover issues – closed-ended questions do not offer a lot of detail + Framing of questions can be challenging to communicate effectively



TYPES OF DATA COLLECTION

Primary Data Collection – Document Review

Document Review



While interviews and surveys are key primary data collection sources, *documents in themselves can be considered primary data for specific SRA indicators*, such as, but not limited, contract substitution, underpayment of wages, unfair disciplinary procedures, etc.

The follow are examples of the types of documents that may be reviewed during the assessment:

- Policies and procedures
- Contracts
- Vessel logbook
- Crew lists / payroll records
- Time keeping records
- Pay slips
- Records of communication between the skipper and the fishing vessel owner
- Health and safety committee records
- Accident reports and investigations
- Fishing / Operating License
- Catch records that can indicate the length of time fishers are likely to have worked
- Inspection records
- Safe manning documentation
- Safety training certificates
- Fisher / worker / farmer qualification certificates
- Collective Bargaining Agreements (CBAs) in place
- Medical certificates



TYPES OF DATA COLLECTION

Secondary Data Collection

Secondary data collection, primarily desk research, can take place off-site, preferably before the on-site portion of an assessment. This is so you can get an idea of what risks you may want to focus on during an assessment.

Not all SRA indicators will have a secondary data collection source that is relevant.

Some examples of secondary data sources:

- + U.S. Department of State's Office to Monitor and Combat Trafficking In Persons 'Trafficking in Persons (TIP) Report.'
- + The Walk Free Foundation's Global Slavery Index (GSI).
- + The Transparency International Corruption Perceptions Index
- + Seafood Slavery Risk Tool
- + ILAB - Sweat & Toil: Child Labor, Forced Labor, and Human Trafficking Around the World
- + Domestic & International laws and regulations

News Articles



Government Reports



Journal Articles



White Papers



Laws & Regulations



Systems Approach

SYSTEMS APPROACH

The role of the systems approach when determining conformance with social standards

Intent

- Has the social standard been addressed?

Commitment statements

Policies and Procedures

Risk Assessment

System to track legal and customer requirements

Social responsibility goal setting and targets

Implementation

- How well does the actual practice meet the standard?

Management accountability / responsibility

Capacity building and training

Risk mitigation strategies

Communication program and supplier engagement

Effectiveness

- Does the practice deliver the intended results?

Worker feedback mechanisms

Internal audits

Labor agency monitoring

Continuous monitoring program

Corrective Action Plan

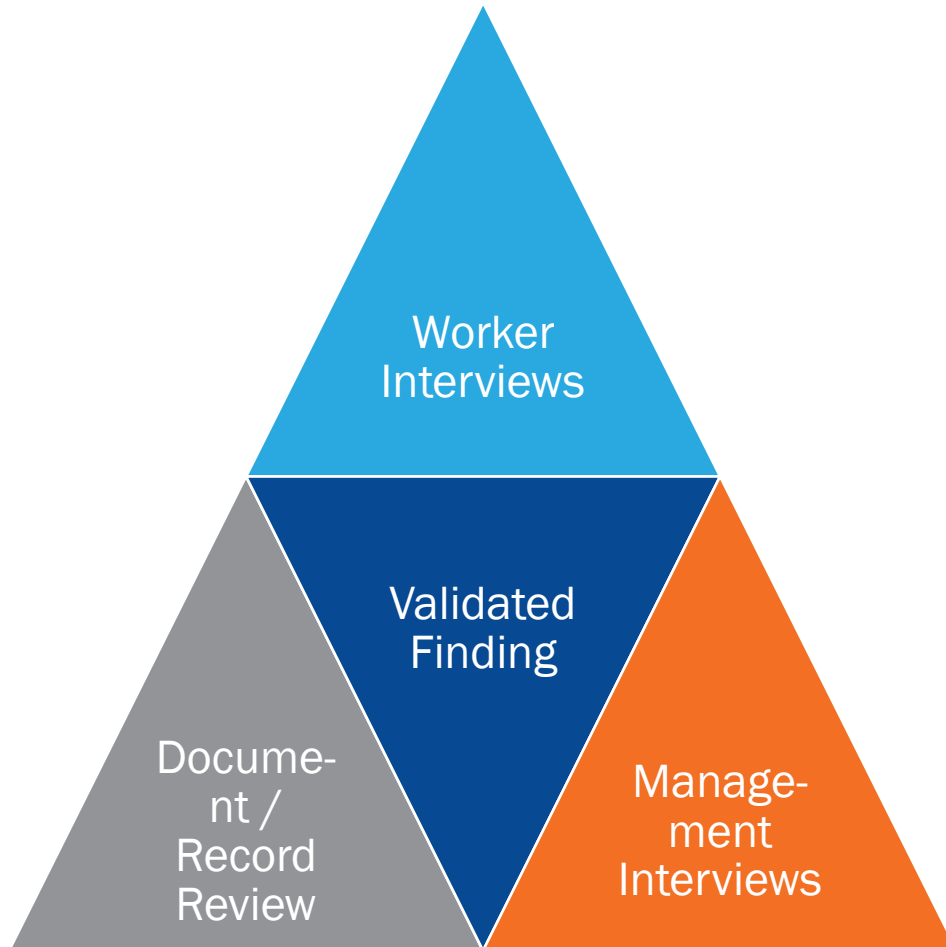
Management review



Validation

VALIDATION

Validation by Triangulation



Triangulation is the gathering and comparing of information from multiple sources to arrive at objective, validated findings.

When you validate data through Triangulation, you are able to:

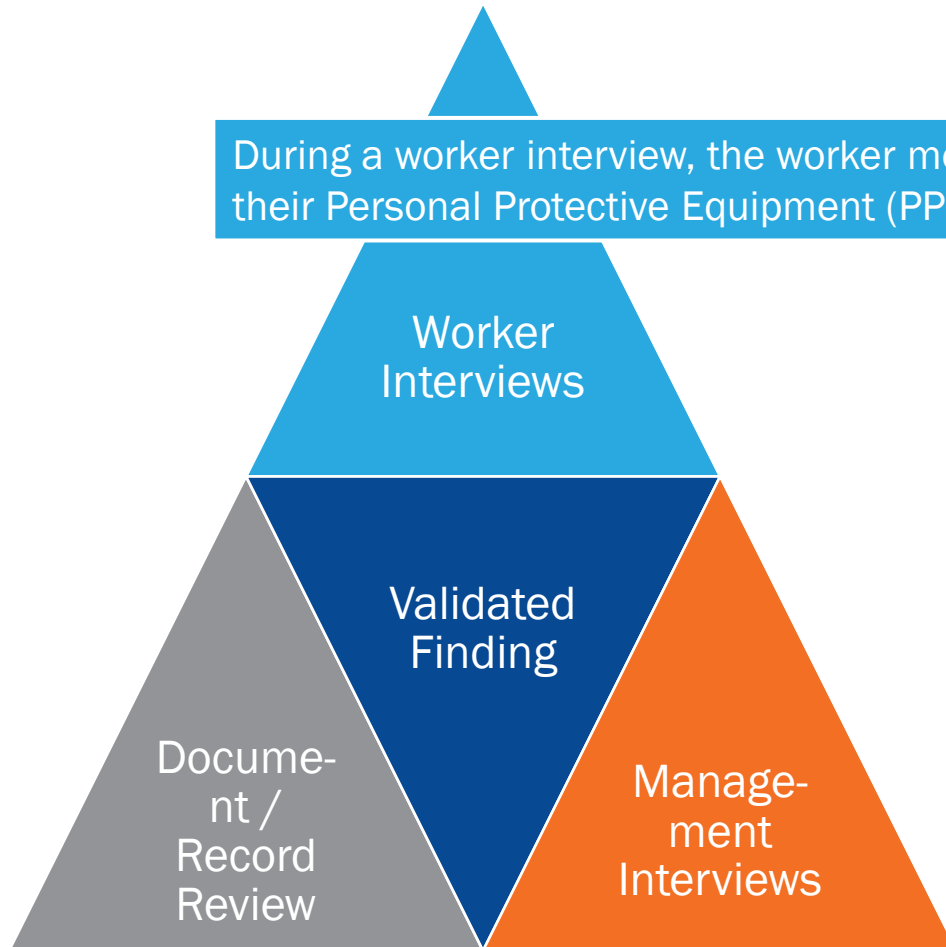
- + Test the accuracy of the data gathered from one source against data from other sources
- + Provide sufficiency by using multiple sources of information
- + Consider different perspectives to validate the information gathered

It's not that you need *THREE* sources to validate a finding, and there may be some cases where one source is enough.



VALIDATION

Validation by Triangulation – Example: Personal Protective Equipment



Upon hearing this, you suspect the UoA management might be charging workers for PPE, which should be provided free of charge.



VALIDATION

Validation by Triangulation – Example: Personal Protective Equipment

During a worker interview, the worker mentioned that they paid for their Personal Protective Equipment (PPE).

Worker
Interviews

You review company policies and procedures and notice the company has a policy that they will only pay for a worker's first PPE, and if it is to be destroyed, lost, or stolen, the worker must buy their own replacement

Docu-
ment /
Record
Review

Manage-
ment
Interviews

Upon document review, the company policy suggests that this worker must have paid for their own replacement PPE.



VALIDATION

Validation by Triangulation – Example: Personal Protective Equipment

During a worker interview, the worker mentioned that they paid for their Personal Protective Equipment (PPE).

Worker Interviews

You review company policies and procedures and notice the company has a policy that they will only pay for a worker's first PPE, and if it is to be destroyed, lost, or stolen, the worker must buy their own replacement

Document / Record Review

Management Interviews

Management is aware of this policy and implements it as it is written.

In talking to management, and validated through document review and worker interviews, you conclude that workers are not always provided PPE free of charge.

PPE should always be provided to workers free of charge and the cost of maintenance and replacements should also be the employer's responsibility.

This site should update their policies and procedures to ensure workers never pay for PPE and should consider reimbursing workers who have purchased their own replacement.



CASE STUDY 1: DATA VALIDATION

We will now separate out into groups.

In this case study, you will start with one piece of information. As a group you will talk through how you would go about validating this finding by using triangulation.

Scenario:

You have conducted 5 fisher interviews and 5/5 fishers has mentioned that *they've seen fellow fishers that look very young* on vessels they've worked on for the UoA.



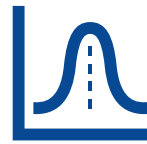
Social Science Methods Part II

Sampling

SAMPLING

Sampling is a technique of selecting individual members or a *subset of the population* to make statistical inferences from them and *estimate characteristics of the whole population*.

Different sampling methods are used depending on the type of information being gathered and familiarity with the target population:



PROBABILITY SAMPLING

Used when the size and composition of the population is well-known.

Defined sample based on statistical significance.



NON-PROBABILITY SAMPLING

Used when the size and composition of the population is NOT well-known.

Sample is undefined and subjectively determined by the assessor.



SAMPLING

PROBABILITY SAMPLING METHODOLOGIES

There are many different probability sampling methodologies in particular for the social auditing space. Below is a list of some examples:

- + SAI (Table 9): https://sa-intl.org/wp-content/uploads/2021/10/SAAS_Procedure_200_v-4.2_March.2020.pdf
- + Fairtrade International (Table C1): https://files.fairtrade.net/standards/ASSU_ReqAssuranceProviders_EN.pdf
- + Sedex (6.5.3.1): <https://www.sedex.com/wp-content/uploads/2019/05/SMETA-6.1-Best-Practice-Guidance.pdf>
- + Aquaculture Stewardship Council (ASC): <https://www.asc-aqua.org/wp-content/uploads/2018/06/ASC-multi-site-sample-size-combined-calculator.xlsx>

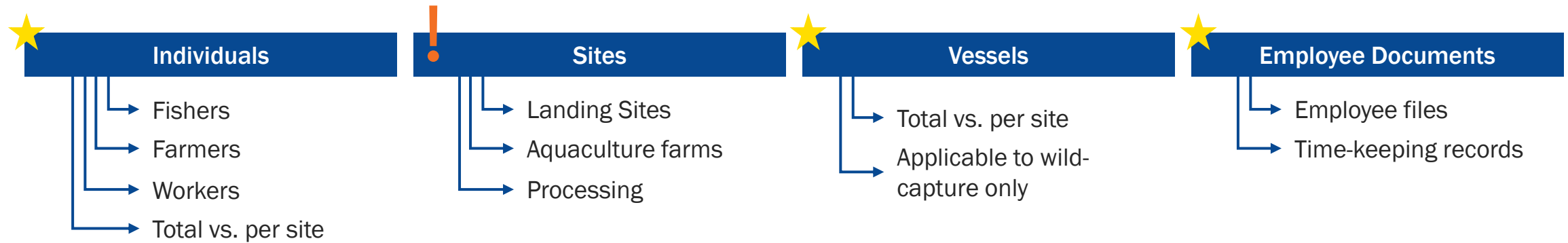
In today's session, we will look at one methodology used by ELEVATE that can be used.



SAMPLING

What needs to be sampled?

When you think about the Unit of Assessment, there are several variables to take into consideration:



★ Indicates where a sampling method should be applied

! Note that where there are 3 sites or less it is not recommended to apply a sample. Even though a sample of sites is acceptable, each site within the Unit of Assessment should be visited at some point during a future SRA, with a goal to visit each site after 3 years.



SAMPLING METHODOLOGY EXAMPLE

ELEVATE (See [SRA Assurance Guidance](#) for details)

Sites

Number of sites	Sample of sites to visit
3 or less	All sites
Greater than 3	Site sample = $\sqrt{\#}$ sites, and a minimum of 3

Interviews / site

Workforce	Sample
1-99	5
100-999	15
1000-4999	25
5000+	40

Vessels / site

Number of vessels	Sample of vessels for inspection
Greater than 1 and under 865	vessel sample = $\sqrt{\#}$ vessels, rounded up
865 or more vessels	A minimum of 30 vessels

Employee Documents

At least 50% of the files and records reviewed should be from the employees interviewed to verify against findings from the employee interviews.

Employee Files

Workforce	Sample
1-99	5
100-999	15
1000-4999	25
5000+	40

Time Records

Total number of Employees:	1-99	100-999	1,000-4,999	5000+
Recommended sample size	15	25	35	50



SAMPLING METHODOLOGY EXAMPLE

Although probability sampling methods can be used when you have a lot of information about the unit of assessment, any probability sampling method used should be treated as *a minimum*.

Additional interviews, vessels, or documents should be sampled at the discretion of the assessor.

The following questions can help an assessor determine if they should increase the sample size:

- + Do you think the sample of interviews was representative according to the site(s)' demographics? *You may need to reach groups that were not well represented.*
- + Do you think that you have a good understanding of the issues raised during interviews? *You may need to do follow up interviews or reach out to additional individuals. E.g. if a migrant worker raised an issue, you may want to interview additional migrant workers to see if there is a pattern.*
- + Were there some discrepancies raise when cross-referencing documentation? *If you're noticing there are some inconsistent records, you may wish to look at more to identify patterns.*
- + Are the vessel types in the UoA homogenous? *If not and the vessel types vary, you may want to go visit more vessels.*

An indicator interview, vessel, and document samples are representative is *when you are no longer turning up any new evidence.*

ELEVATE (S

Number of

3 or les

Greater th

Workfor

1-99

100-99

1000-49

5000-

Number of v

Greater than 1

865

865 or more vessels

A minimum of 30 vessels

e employees

vs.

999

5000+

50

SAMPLING

Choosing Interviewees: Ensuring you have a representative sample

Once the sample size is determined, the assessor should define the make-up of the sample, in order to ensure that composition of the sample reflects the composition of the overall population, as different groups of workers experience risk differently.



Worker/fisher/farmers
classifications and job
descriptions



Age

Gender



Migrant status



Nationality or ethnicity



Permanent vs.
seasonal status



SAMPLING

Ensuring you have a representative sample – Vessels & Management Entities



Vessels

Vessels within the same UoA may have very different characteristics despite fishing with the same gear on the same stock. Some examples include:

- + Vessel size
- + Vessel ownership structure
- + Vessel activities (e.g., transshipment or tender vessels)
- + Etc...



Management Entities

There may be several management entities included in the scope of one UoA. Some examples of key differences between MEs may include:

- + Policies and procedures
- + Size
- + Vessel ownership structure
- + Fishing activity: location, days at sea, etc.
- + Etc.



SAMPLING

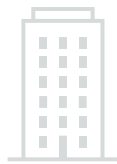
Ensuring you have a representative sample – Vessels & Management Entities



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- + Policies and procedures
- + Size
- + Vessel ownership structure
- + Fishing activity: location, days at sea, etc.
- + Etc.

Depending on the scope of the UoA, it may not be possible to visit all vessel types in the fleet, but the goal should always be to attempt to visit one of each.

If you cannot get to a vessel, e.g., transshipment, you must be able to ***justify your approach to demonstrate that you have done your due diligence to understand what risks might be present on these sites.***

Some examples include, but are not limited to:

- + Interviewing individuals that have worked on those vessels if accessible on land (e.g., for transshipment)
- + Employing surveying or remote techniques (e.g., photographs, remote surveys deployed on the vessels, etc.)
- + More desk research about these vessel types



SAMPLING

Ensuring you have a representative sample – Vessels & Management Entities



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- + Policies and procedures
- + Size
- + Vessel ownership structure
- + Fishing activity: location, days at sea, etc.
- + Etc.

MEs all operate differently, and the SRA has several PISGs that relate to company labor practices as a means to evaluate risk.

You may not have relationships with every ME in the scope of an assessment, so collecting information from these companies will be challenging.

Similarly to the vessels, you must demonstrate due diligence with respects to reviewing company materials and sampling vessels and interviews. The following are some approaches that may be employed to ensure representation:

- + Sample from each ME involved. This will work well when there are a small number of MEs.
- + If there is a high number of MEs and the number of MEs is known, apply a statistical sampling methodology
- + If they are lesser known, leverage all the relationships you do have and include as many as possible.
- + Aim for representativeness with respects to the factors listed.
- + Sample vessels, documents, and interviews from each company selected for the SRA and aim to be representative.
- + Ensure that every ME has been sampled at least once every three assessments



SAMPLING METHODOLOGY EXAMPLE 1

Consider the following fishery with two landing sites:

Landing site 1:

40 vessels

400 fishers

Landing site 2:

30 vessels

90 fishers

First, find the sample of workers that need to be interviewed at each site:

Landing site 1:

400 fishers falls in
the 100-999 range

= 15 interviews

Landing site 2:

90 fishers falls in
the 1-99 range

= 5 interviews

Next, find the recommended sample of vessels at each site:

Landing site 1:

$\sqrt{400} = 20$ vessels

Landing site 2:

$\sqrt{90} = 10$ vessels

As there are only 3 landing sites in this example, each landing site should be visited in the assessment.

Therefore, for the entire assessment, there is an aggregate of 20 interviews, 15 at landing site 1 and 5 at Landing site 2, and 30 vessels total will be inspected, 20 and 10 and Landing site 1 and Landing site 2, respectively.



SAMPLING METHODOLOGY EXAMPLE 2

Cross-over between vessels and landing sites.

In some cases, the Unit of Assessment will have a number of vessels that all visit the same landing sites. In this case, you can determine the sample by evenly separating these out based on the number of landing sites.

Suppose the Unit of Assessment comprises a total of **112** vessels. There is a total of **1,250** fishers working on these vessels. The vessels land their catch at **10** different landing sites.

Step 1: divide the number of vessels and fishers by the total number of sites

Vessels = $112/10 = 11.2$, always round up, so this is 12 vessels per site.

Fishers = $1,250 / 10 = \underline{125}$ fishers per site.

Step 2: Find the sample of sites

Sample of sites = $\sqrt{10} = 3.16$, rounded up to 4

Step 3: Find the sample of interviews and vessel inspections that will be assessed at each of the 4 landing sites.

At each landing site you will sample $\sqrt{12} = 3.46$, rounded up to 4 vessels per site, and you will interview no less than 15 fishers at each landing site.

The total assessment sample is therefore 16 vessels and 60 fishers.



CASE STUDY 2: SAMPLING

We will now separate out into groups.

In this case study, use the information in the table on this slides to answer the following questions:

- 1) What needs to be sampled for the SRA (select all that apply)?
 - 1) Fishers
 - 2) Sites
 - 3) Vessels
 - 4) Documents
 - 5) Catch
 - 6) PPE
- 2) Would you use a probability sampling methodology or a non-probability sampling methodology based on the information provided?
- 3) Determine the sample for the list items above that require sampling using the ELEVATE methodology.

Characteristic	Landing Site 1	Landing Site 2	Landing Site 3
Number of Fishers	150	30	500
Number of Vessels	30	20	50



CASE STUDY 2: SAMPLING

Answers

In this case study, use the information in the table on this slides to answer the following questions:

1) What needs to be sampled for the SRA (select all that apply)?

- 1) Fishers
- 2) Sites
- 3) Vessels
- 4) Documents
- 5) Catch
- 6) PPE

Probability sampling can be used in this case as there is sufficient information, however as you proceed with the assessment, a non-probability method can be used to supplement as needed.

2) Would you use a probability sampling methodology or a non-probability sampling methodology based on the information provided?

3) Determine the sample for the list items above that require sampling using the ELEVATE methodology.

Characteristic	Landing Site 1	Landing Site 2	Landing Site 3
Number of Fishers	150	30	500
	Sample = 15	Sample = 5	Sample = 15
Number of Vessels	30	20	50
	Sample = 6	Sample = 5	Sample = 8



Interview Best Practices

INTERVIEW BEST PRACTICES

Key Context

Understanding the Standards

Gain an understanding of the different *processes* in place to screen out risks of non-conformance. These should be used as a lens when *questioning about business practices* of the UoA.

The Systems Approach

Interviews should seek to uncover the *maturity level of management systems* in place to manage social responsibility.

Questions will include *how and why* issues of a potential non-conformance are happening – what are the systemic structures enabling occurrence.

Risk-based Approach

Understanding the *context with which the SRA is being implemented*, both in the macro and micro environment.

Focus interview questions to screen for these risks and *identify gaps in business processes*.

Triangulation

Interview questions can be used to *validate findings* from on-site observation, record review, or interviews from workers / management.



INTERVIEW BEST PRACTICES

Opening the Interview – Focus on Consent & Non-retaliation

- + Open the interview by introducing your name and organization
- + Explain what the interview is for (e.g. social responsibility in FIPs)
- + Provide an overview of what the interview will cover
- + Explain how the information they share during the interview will be used and reassure them their responses will remain anonymous and confidential
- + Clarify that the interviewee has the right to stop the interview at any time and may refuse to answer any questions they don't wish to answer
- + Mention to the interviewee that you would like to take notes and ask their permission
- + Clearly explain how the worker can consult their union/workers' organization representative about the interview if they would prefer.
- + Explain how they should not be retaliated against by management / leadership for their participation in the interview, and provide contact details of where they can report any such form of retaliation.



INTERVIEW BEST PRACTICES

General Advice

- + Present yourself as an equal and begin the interview with friendly comments to make the interviewee feel comfortable
- + Hold the interview somewhere where the workers feel comfortable.
 - + For worker/fisher/farmer interviews, this should be out of view of management
- + Aim to hold a natural conversation, rather than reading off a list of questions (preparation is key)
 - + Note that you can also conduct follow up interviews if anything was missed
- + Put some emphasis on validating findings from observation, record review, and desk research in interviews with workers and management.
- + Listen, and pause for responses
- + Patiently and respectfully clarify questions a worker/fisher/farmer does not understand
- + Don't ask leading questions – leave these as open-ended as possible
- + Avoid interruptions.



Engaging with Worker Representatives

ENGAGING WITH FISHERS/FARMERS/WORKERS AND/OR THEIR REPRESENTATIVES

Key to a worker/fisher/farmer-driven approach

Workers/fishers/farmers should be engaged at every stage in the SRA process. A worker/fisher/farmer-driven approach is important because:

Workers are the only actors in the supply chain with a vital and abiding interest in ensuring that their rights are protected.

Only workers are fully aware of the many manifestations of abuse that occur in their workplace. They are the first to know about the vast majority of human rights violations.

Where workers are unable to participate freely because of repressive laws or practices, companies sourcing from those places should nonetheless embrace all other aspects of WDR, including, most importantly, an effective enforcement mechanism

Worker representatives may be in the form of a *formal labor union*, or could more informal groups of workers organized into *committees*.



ENGAGING WITH FISHERS/FARMERS/WORKERS AND/OR THEIR REPRESENTATIVES

How to ensure workers are engaged throughout the assessment

Ensure worker representatives are present during key points of the assessment

- + Communicate the purpose of the assessment and the SRA to the worker representatives
- + Inform them of the assessment process, for example, how and when workers will be interviewed

Applying a Worker/ Fisher-Driven Approach to Conducting Interviews

- + Confidentiality and informed consent: workers/fishers/farmers may refuse to be interviewed and/or refuse to answer questions at their own discretion. This should be communicated to them prior to the interview, and should be made clear to worker representatives from the beginning.
- + Do No Harm: Be aware of how the questions may affect workers. The SRA covers sensitive topic areas, so respecting the interviewee's level of comfort during the interview is important.
- + Non-retaliation policy: Make sure workers are aware they will not be retaliated against for participating in the assessment, and be sure to communicate channels or grievance they can access if they are retaliated against.
- + Clear expectations: It is possible an interviewee may feel as though you are in a position to solve a problem they are having. Be clear with them about your role and avoid making promises.



Root Cause Analysis

ROOT CAUSE ANALYSIS (RCA)

Root-Cause Analysis is a problem-solving tool that allows you to go more in-depth by asking why a situation happened.

Why is it important to use RCA as an assessor of the SRA?

Uncovering the full story – seeing the bigger picture

- Things that may seem to be random events may end up being linked
- It is a logical next step when you discover something
- Human rights issues can have layers, so RCA is essential to a social assessment

Root causes give shape to corrective actions

- Without a clear picture, the UoA will not be able to improve their practices
- It goes beyond assigning blame to an issue and takes into consideration the bigger picture, which is important for an improvement plan



ROOT CAUSE ANALYSIS (RCA)

Basic Steps to RCA

Step 1.

Focus on a particular SRA component or indicator

- Gather the facts: *who, what, where, when, why, how*

Step 2.

Investigate Further

- Try to establish a sequence of events leading to the human rights violation

Step 3.

Synthesize the Information

- Identify or tease out factors that have caused or contributed to the problem

Step 4.

Identify the Root Causes

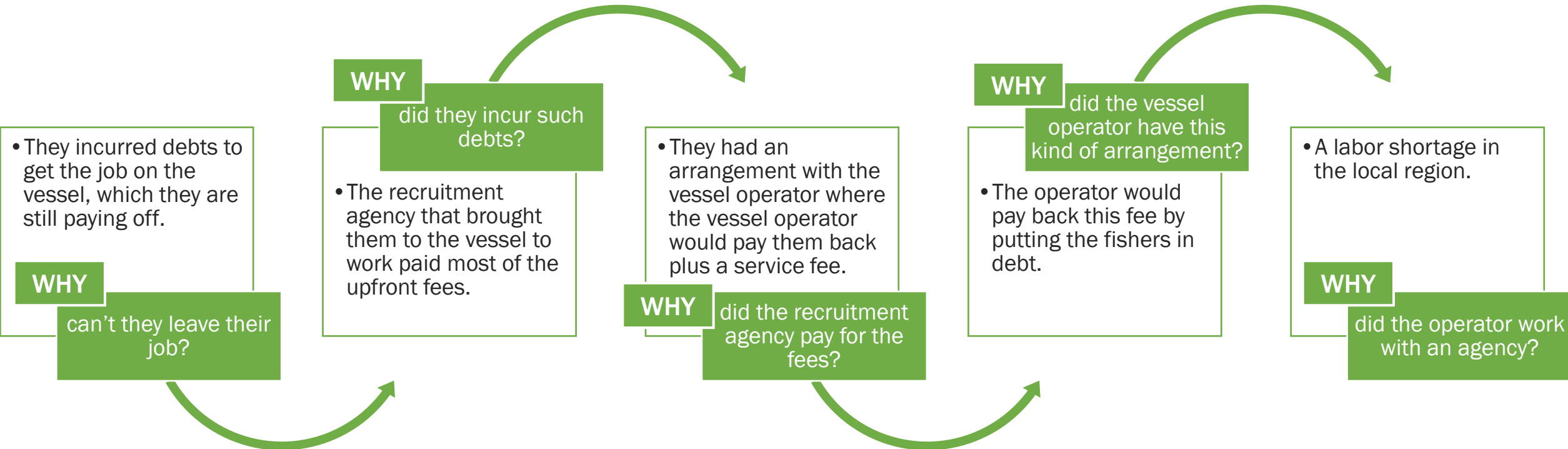
- Test the logic of causal relationships – “*how likely is the issue to occur if the root cause is absent?*”



ROOT CAUSE ANALYSIS (RCA)

5 WHYs - Example

Migrant fishers on a vessel reported wanting to leave their jobs but could not.



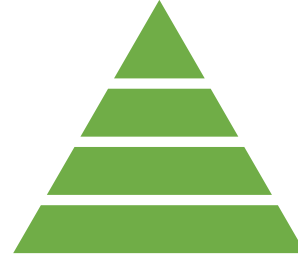
ROOT CAUSE ANALYSIS (RCA)

Tips for the 5 WHYs



Exhaust the first layer of questioning by conducting an extensive top-of-mind inquiry.

Form your questions guided by criteria:
e.g. the 5 Ps: policies, process and procedures, programs, people; or the McKinsey 7Ss: systems, skills, staff, structure, strategy, shared values, style of leaders



Conduct a Why-Why analysis per stream

The technique involves developing a logical pyramid, grouping factors to demonstrate cause and effect relationships.



Know when to stop.



Day 1 Training Recap & Closing

DAY 1 TRAINING RECAP

In today's training, we covered:

1. The Assessor Code of Conduct: right-sizing expectations of all parties involved
2. Data Collection and Validation: what are primary and secondary data sources, and how to use triangulation to verify data during the data collection process.
3. Systems Approach: how the maturity of a company's management system underpins an assessment.
4. Sampling: What needs to be sampled and how to determine a statistically significant, representative sample.
5. Interview Best Practices: Tips for interviewing against a social standard
6. Engaging with worker representatives and implementing a worker-driven approach
7. Root Cause Analysis: 5 Whys and why RCA is an important skill for an assessor

Questions?





DAY 2

1. Assessment Process & Components of an Assessment
2. *BREAK*
3. Getting Familiar with the SRA
4. SRA Supporting Materials
5. Day 2 Training Recap & Questions

LEARNING OBJECTIVES

Upon completion of Day 2 of the SRA training, a participant will:

Understand how to read the SRA

Understand the SRA implementation process, including:

- + Key supporting documents and assessment preparation materials
- + Defining the Unit of Assessment
- + Important scheduling information, such as estimating the duration of an assessment
- + Assessment components
- + Final reporting



Assessor Code of Conduct

ASSESSOR CODE OF CONDUCT

Expectations of parties during the assessment

ASSESSORS



- + Professionalism;
- + Respect for Non-Disclosure Agreements, informed consent process, and confidentiality and anonymity of all respondents;
- + Follow facility/vessel health and safety precautions;
- + Follow Do No Harm approach; and
- + Put the health and safety of themselves, assessment team, and participating workers/ fishers first.

UNIT OF ASSESSMENT / MANAGEMENT / COMPANY



- + Transparency and openness,
- + Respect for privacy and confidentiality,
- + Non-intervention, non-interference, no coaching and intimidation,
- + No deduction or retaliation to anyone participating in the assessment

WORKERS / FISHERS / FARMERS AND OTHER INTERVIEW RESPONDENTS

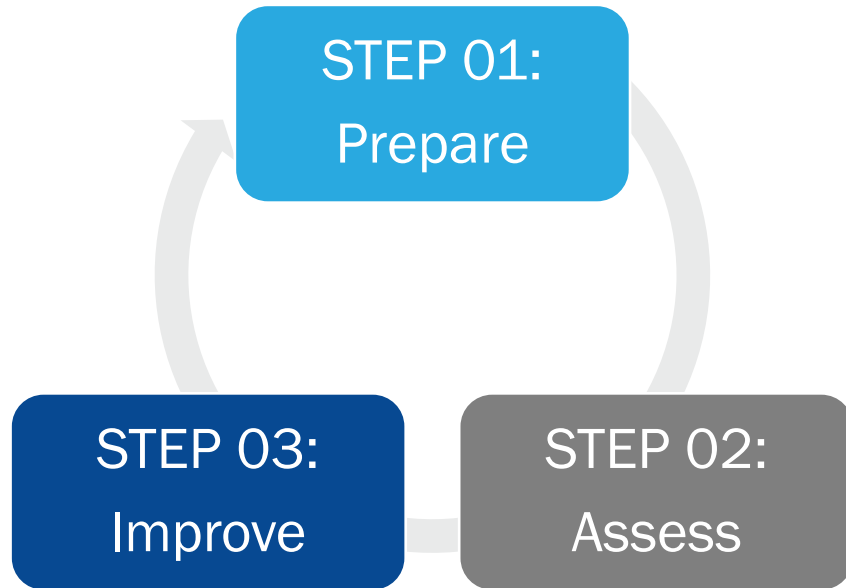


- + Informed consent and voluntary participation in the assessment, may opt to withhold consent anytime

The SRA Process

THE SRA PROCESS

An assessor plays a large role in each step of the SRA process to ensure effective implementation.



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The preparation stage of the SRA includes the following elements:

- + Scoping and Coordination
- + Sampling
- + Scheduling
- + Assessor Preparation



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During scoping and coordination, the assessor should be qualified to help determine the Unit of Assessment.

The Unit of Assessment (UoA) defines the sites and individuals that will be included in the scope of the assessment.

Wild-capture: This includes fishers and any workers that have been hired by fishers, whether on vessels or at landing sites. All vessels and landing sites used by fishers in scope should also be included in the UoA.

Aquaculture: All farmers and/or workers employed by farmers and all sites managed by any legal entity participating.

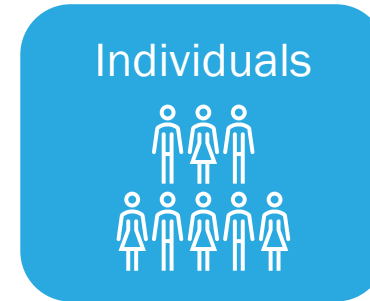
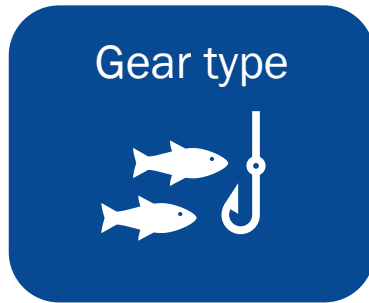
Processing: All workers employed by a management entity and all sites managed by that entity.



GUIDANCE FOR DETERMINING THE UNIT OF ASSESSMENT

The Unit of Assessment (UoA) is primarily defined in alignment with the Marine Stewardship Council UoA, which means it is aligned with the current FIP definition of UoA. This includes:

Due to the nature of a social assessment and the focus on the individuals, the following are secondary factors that will define the UoA for the SRA:



Due to the nature of a social assessment, other factors may be taken into consideration. **Therefore, a FIP has the option to either mirror the SRA UoA to the environmental FIP, or to establish multiple UoAs within one environmental FIP.** Some factors to take into consideration when choosing between options:



GUIDANCE FOR DETERMINING THE UNIT OF ASSESSMENT

Understanding the results

The SRA can be used in a flexible manner, in that the question being answered will differ for different situations. How the UoA is defined is a crucial component to be able to answer the questions at hand.

Generally speaking, you will need to decide between a **broad** UoA or a **narrow** UoA:

Broad UoA

Opportunities	Limitations
<ul style="list-style-type: none">+ Can determine risk according to certain segments of an industry, for example, country or species-level information	<ul style="list-style-type: none">+ More difficult to pinpoint where interventions are needed+ Will not differentiate those implementing best practices

E.g., a legislative body looking to implement new policies; a retailer looking to segment their supply chain according to species risk.

Narrow UoA

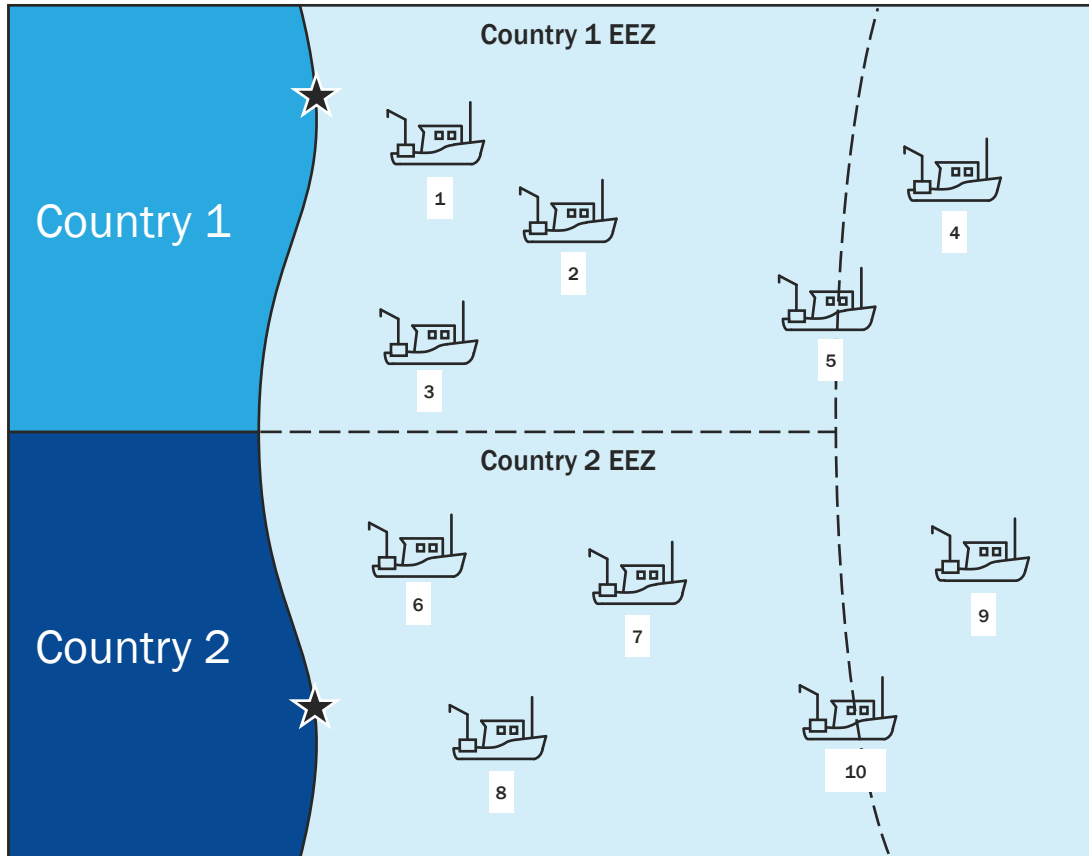
Opportunities	Limitations
<ul style="list-style-type: none">+ Pinpoint interventions based on results+ Risk results are easier to understand	<ul style="list-style-type: none">+ Does not take into consideration the context within which the fishery operates

E.g., a supplier who wants to minimize risks and only source from companies that can demonstrate medium risk or low risk; a targeted academic study focused on a particular community; pinpointing a region with unique pressures, such as a high influx of migrant labor



UOA EXAMPLE

Consider the following fishery.



★ Landing site

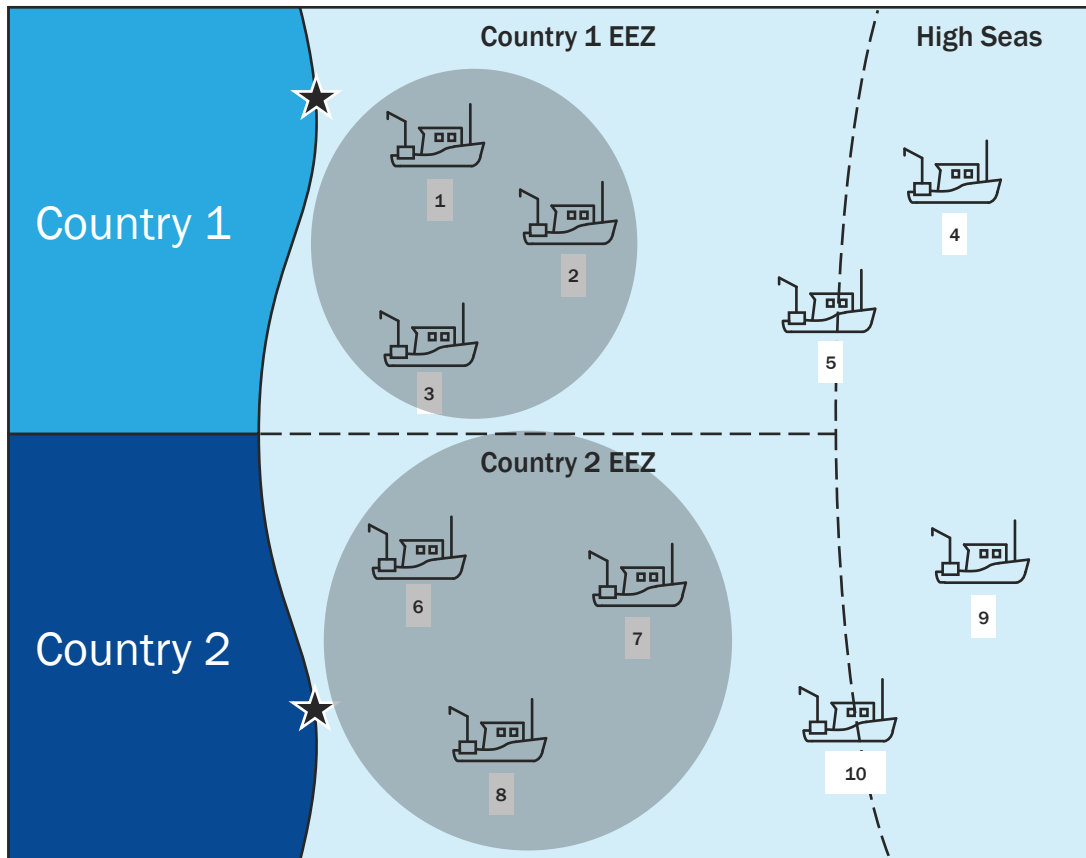
All vessels target the same stock and use the same gear.

Vessel #	Fishing location	Landing site
1,2,3	Country 1 EEZ only	Country 1 only
4,5	Country 1 EEZ & High Seas	Country 1 only
6,7,8	Country 2 EEZ only	Country 2 only
9,10	Country 2 EEZ & High Seas	Country 2 only



EXAMPLE: UOA

Consider the following fishery.



- ★ Landing site
- UoA

All vessels target the same stock and use the same gear.

Vessel #	Fishing location	Landing site
1,2,3	Country 1 EEZ only	Country 1 only
4,5	Country 1 EEZ & High Seas	Country 1 only
6,7,8	Country 2 EEZ only	Country 2 only
9,10	Country 2 EEZ & High Seas	Country 2 only

Scenario:

You would like to assess the social risk at the country level.

2 UoAs to be assessed:

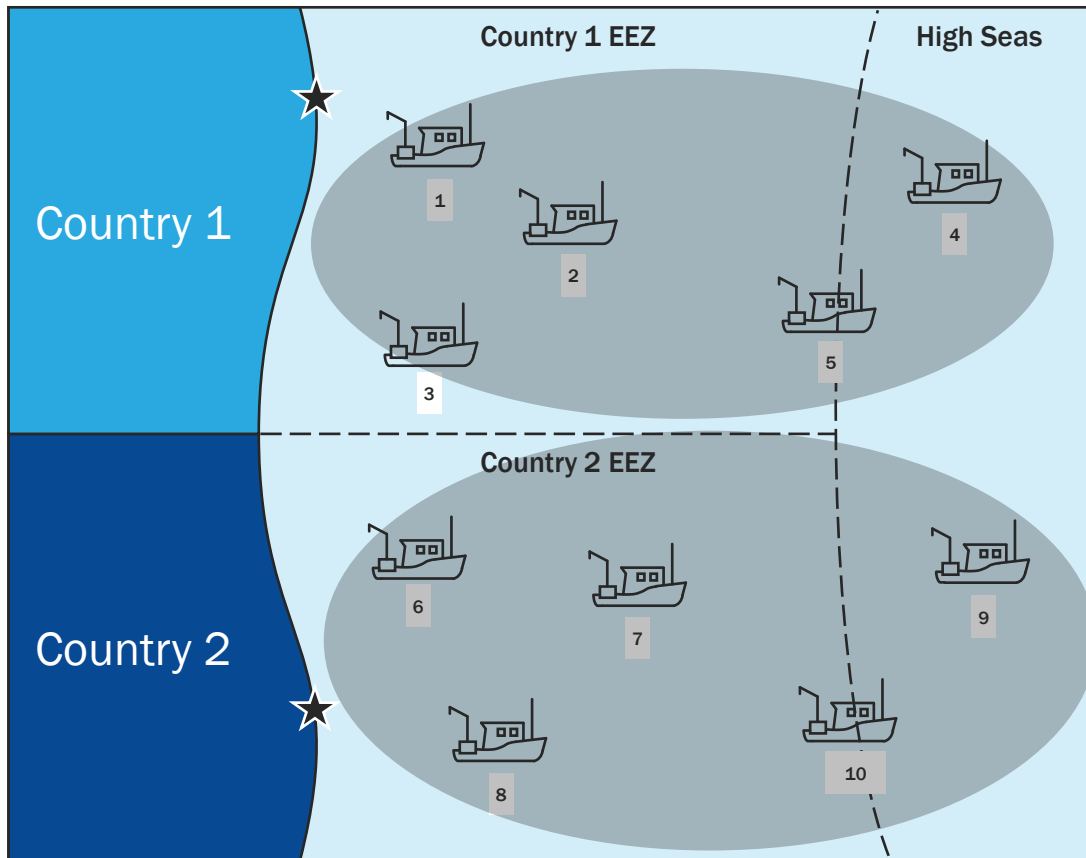
- 1) Vessels 1, 2, and 3
- 2) Vessels 6, 7, and 8

BROAD



EXAMPLE: UOA

Consider the following fishery.



- ★ Landing site
- UoA

All vessels target the same stock and use the same gear.

Vessel #	Fishing location	Landing site
1,2,3	Country 1 EEZ only	Country 1 only
4,5	Country 1 EEZ & High Seas	Country 1 only
6,7,8	Country 2 EEZ only	Country 2 only
9,10	Country 2 EEZ & High Seas	Country 2 only

Scenario:

You are a supplier deciding which landing site to source from and you want to minimize risk and choose the landing sites that have the lowest risk.

2 UoAs to be assessed:

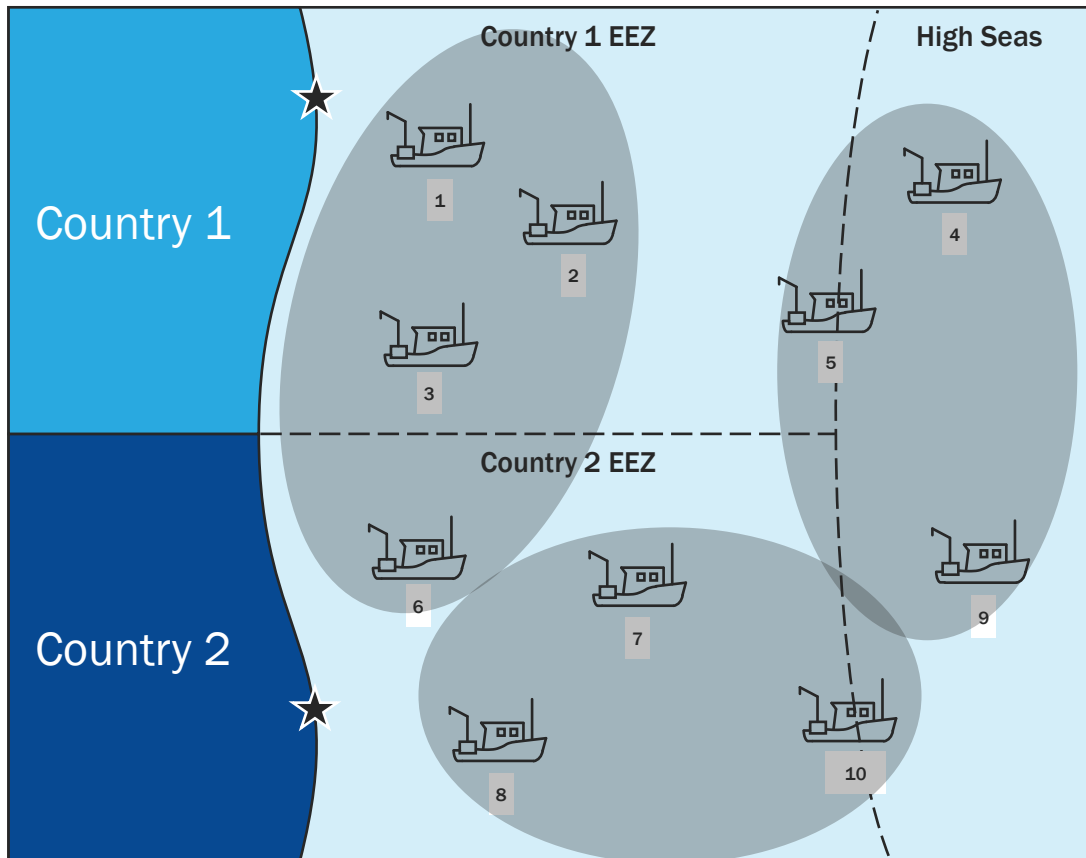
- 1) Vessels 1, 2, 3, 4, and 5
- 2) Vessels 6, 7, 8, 9, and 10

BROAD



EXAMPLE: UOA

Consider the following fishery.



- ★ Landing site
- UoA

All vessels target the same stock and use the same gear.

Vessel #	Management Entity (ME)
1,2,3,6	ME 1
4,5,9	ME 2
7,8,10	ME 3

Scenario:

You would like to assess the social risk at the management entity level.

3 UoAs to be assessed:

- 1) Vessels 1, 2, 3, and 6
- 2) Vessels 4, 5, and 9
- 3) Vessels 7, 8, 10

NARROW



CASE STUDY 3: UNIT OF ASSESSMENT

In this case study, you will start with some information about the UoA. You will then be asked how you would define the UoA based on certain scenarios.

There are 1,000 fishers on 100 fishing vessels (roughly 10 fishers/vessel, including the skipper), fishing on one stock with the same fishing gear. The fish stock crosses through two countries' Exclusive Economic Zones (EEZ) (Country 1 and Country 2) and the high seas. These 100 vessels include 4 different management entities:

Management Entity 1: only fishes in Country 1's EEZ and has 100 fishers and 10 vessels

Management Entity 2: fishes in Country 1's EEZ and the high seas and has 200 fishers and 20 vessels

Management Entity 3: fishes in Country 2's EEZ and the high seas and has 200 fishers and 20 vessels

Management Entity 4: fishes in Country 1 and 2, and the high seas, and has 500 fishers and 50 vessels

There is one landing site in each country. Management entities 1 and 2 only land at Country 1's landing site, and management entities 3 and 4 only land at Country 2's EEZ.

Consider the following scenarios. How might the UoA(s) be defined to assess risk?

- How many UoAs would there be and which need to be assessed? (*hint: not all will need to be assessed in each scenario*)
- Which management entities are included in the UoA(s)?

Scenario 1: The government of Country 1 wants to understand social risk within their EEZ.

Scenario 2: A supplier sources from the landing site in Country 2 and will only continue to pick up supply from this landing site if the supply is at least a yellow risk-level according to the SRA.

Scenario 3: Management entities 1 & 2 are participants in a Fishery Improvement Project and must report social risk to FisheryProgress as they meet 1/3 of FisheryProgress' risk criteria.



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In this case study, you will start with some information about the UoA. You will then be asked how you would define the UoA based on certain scenarios.

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- How many UoAs would there be and which need to be assessed? (*hint: not all will need to be assessed in each scenario*)
- Which management entities are included in the UoA(s)?

Scenario 1: The government of Country 1 wants to understand social risk within their EEZ.

1 UoA

Option 1: Include those that do not leave the EEZ (ME 1)

Option 2: Include any that are in EEZ (ME 1, 2, and half of the vessels in ME 4)

Scenario 2: A supplier sources from the landing site in Country 2 and will only continue to pick up supply from this landing site if the supply is at least a yellow risk-level according to the SRA.

1 UoA
ME 3 & 4

Scenario 3: Management entities 1 & 2 are participants in a Fishery Improvement Project and must report social risk to FisheryProgress as they meet 1/3 of FisheryProgress' risk criteria.

1 UoA
ME 1 & 2



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The preparation stage of the SRA includes the following elements:

- + Scoping and Coordination
- + Sampling
- + Scheduling
- + Assessor Preparation

During the coordination process, the UoA will work with a representative from the assessor's organization to determine key information about the UoA, such as, but not limited to:

Depending on the scale, complexity, and location of the Unit of Assessment(s), the person collecting this information may be the auditor or another individual collecting coordination information. In countries where *auditor integrity is a higher risk*, and/or where *integrity mitigation measures do not exist* (such as APSCA accreditation), it is considered best practice for auditors to not be the one collecting this information directly and engage with the site only at the time of the assessment.



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First, you need to take into consideration *seasonality*.

The assessment should take place during *peak season* to ensure the full scope of individuals are present and when the most activity is taking place.

You will then need to estimate how long the assessment will take based on some key variables in order to schedule enough time for data collection.

Cont. on next slide →



THE SRA PROCESS

Duration

There is a limited sample of assessments that have taken place, however the duration of these assessments ranged from 12-17 days to assess the entire SRA.

Certain variables should be taken into consideration when creating an assessment schedule, including, but not limited to:



Desk Research



Sample of Vessels



Logistics*

*particularly challenging when scheduling for vessels to be at port



Sample of Sites



Travel Time Between Sites



Flexibility



Sample of Interviews



Report Writing

Add 1 day for every 10 interviews in the sample per site

Add 1 day for every 10 vessels in the sample per site

Add 1 day for every 5 sites in the Unit of Assessment

Add 1 day when the travel time between sites exceeds 5 hours

Add 1 day for reporting writing and a 1-3 days for desk research

Note that there is more detailed guidance to determine this estimate in the *SRA Assurance Guidance*.



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An assessor should be prepared to:

- 1) Know, communicate, and follow the Code of Conduct for the Assessment Team
- 2) Understand how to read the SRA
- 3) Identify applicable requirements
- 4) Conduct data collection
- 5) Utilize interviewing best practices (e.g., not reading off a checklist)
- 6) Apply a worker/fisher/farmer-driven approach during the assessment
- 7) Verify findings via triangulation



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- + Assessor Preparation

An assessor needs to become very familiar with the SRA and the supporting resources as they prepare.

We will be going over SRA resources in detail later on in this training.

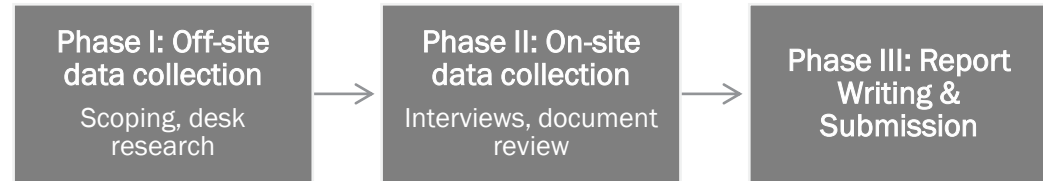


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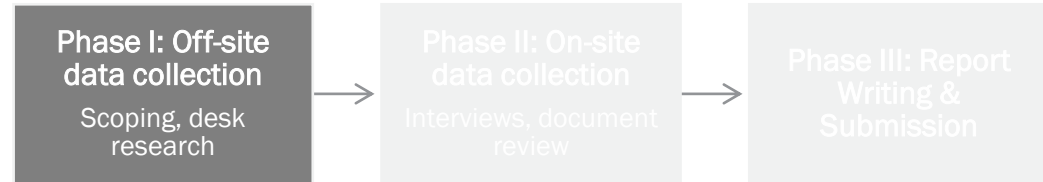
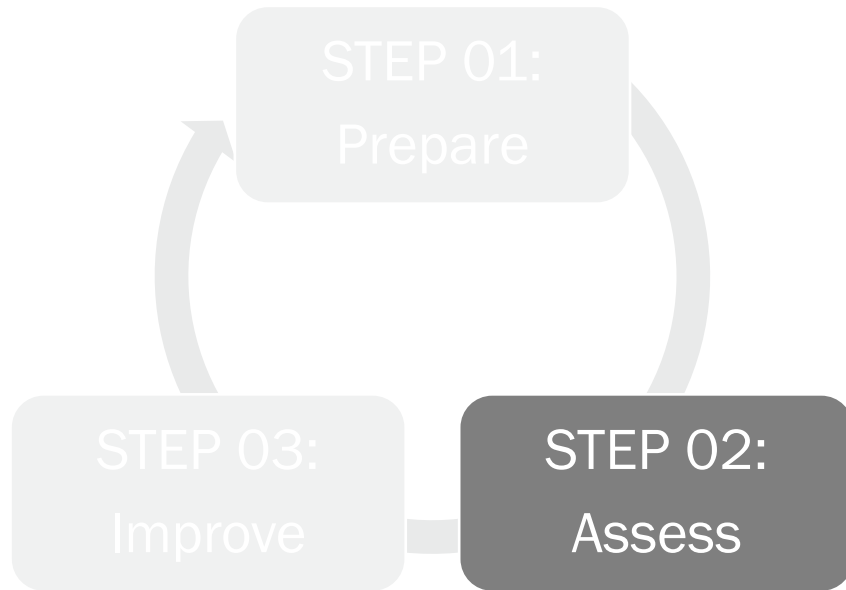
There are three main phases to an assessment:



THE SRA PROCESS

An assessor plays a large role in each step of the SRA process to ensure effective implementation.

There are three main phases to an assessment:



Off-site Portion:

1. Scoping, Coordination & Assessment Scheduling
2. Desk Research

Desk Research

SECONDARY DATA COLLECTION

Desk Research

- News Articles
- Government Reports
- Journal Articles
- White Papers
- Laws & Regulations

UoA Profile:

Using the information collected during coordination, a UoA profile can be created*.

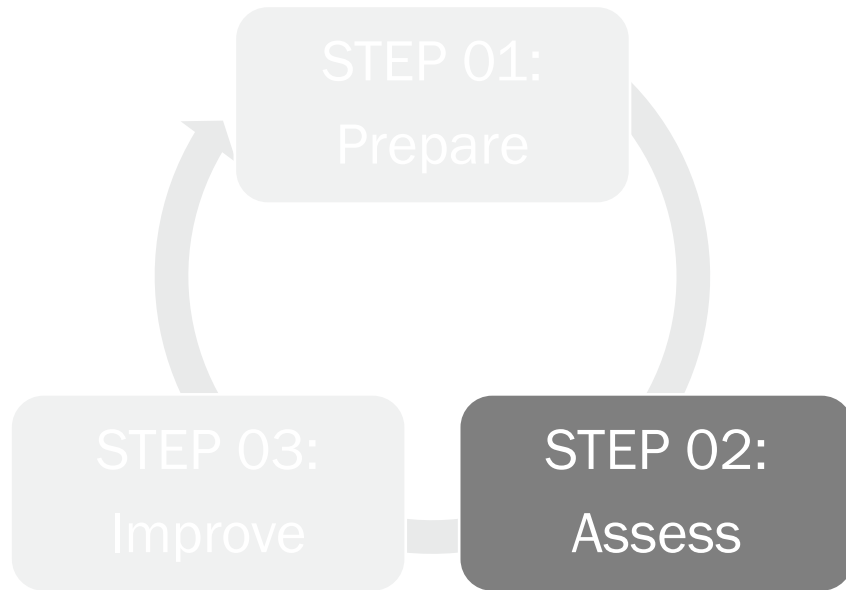
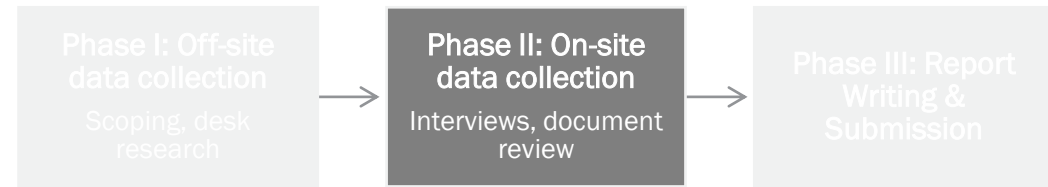
*Note that is using the Assessment Template, this is the information on the 'Assessment Information' tab



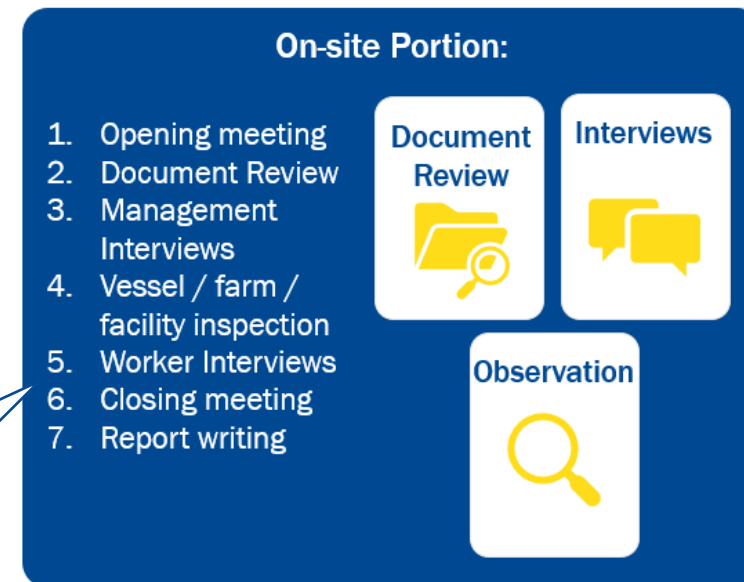
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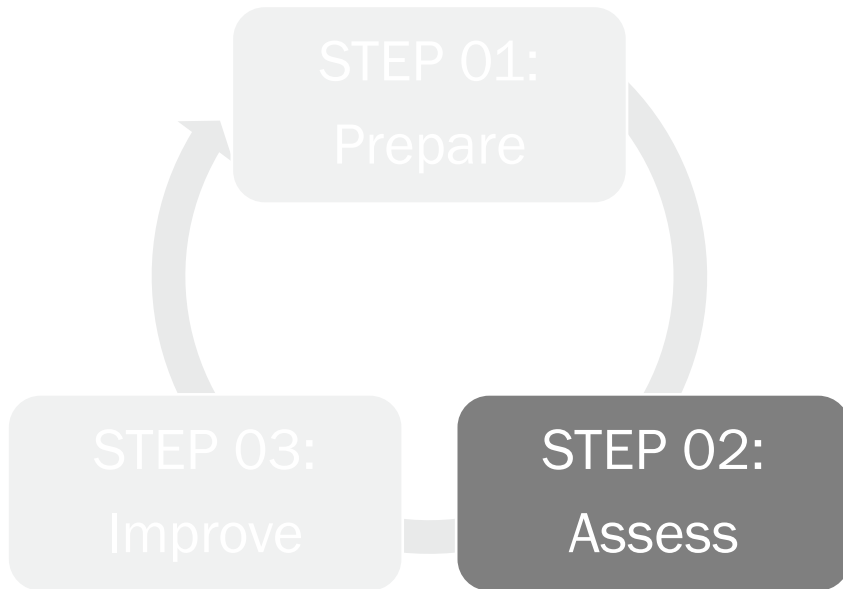


Before the closing meeting, the assessor should make time for follow up data collection

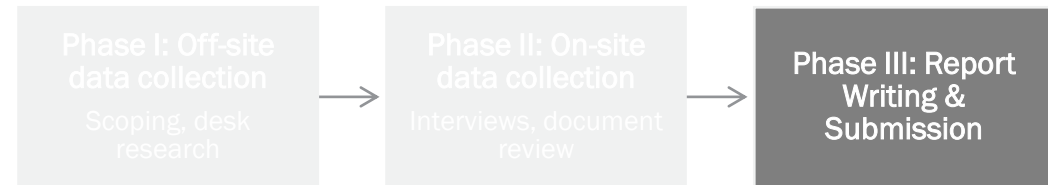


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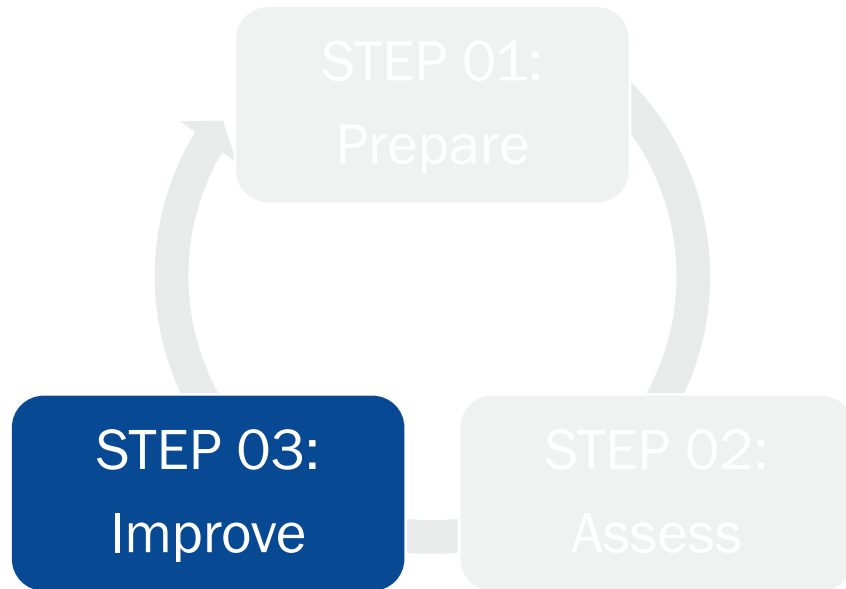


Final risk scores are tallied up and all findings and evidence are refined. It is best practice to get the report to the UoA *within 7 days of the assessment*.



THE SRA PROCESS

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While an assessor's primary role is assessing against the SRA, their work during the assessment can help guide the improvement plan.

Providing detailed evidence in findings

Using Root Cause Analysis to get to the root of an issue

Applying a worker/fisher/farmer-driven approach and suggestions for how this can be effective when developing an improvement plan

Can you think of any other ways you can support the improvement plan as an assessor?



How to Read and Score the SRA

Applicability

HOW TO READ THE SRA

Applicability

Before undertaking an assessment, it is important to figure out which SRA indicators you are assessing. This is based on two factors:

- 1) Applicability according to SRA Decision Tree
- 2) Scope of the Assessment according to the purpose



HOW TO READ THE SRA

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PI	SCORING GUIDANCE	PERFORMANCE INDICATOR	
1.1	Score for all fisheries/farms	Abuse and harassment	✓
1.1.2a	Is the fishery/farm industrial or medium scale with labor recruitment from other countries and/or contracts with employers likely?	If YES, score 1.1.2a Human trafficking and forced labor	
1.1.2b		If NO, score 1.1.2b Debt bondage in small-scale fisheries	
1.1.3	Score for all fisheries/farms	Child labor	✓
1.1.4	Score for all fisheries/farms	Freedom of association and collective bargaining	✓
1.1.5	Are workers or farmers wage workers?	If YES, score 1.1.5 Earnings and benefits	
1.1.6	Are workers or farmers self-employed?	If NO, score 1.1.6 Adequate rest	
1.1.7a	Does the fishery/farm provide worker housing or require live-aboard vessel time?	If YES, score 1.1.7a Access to basic services for worker housing/live-aboard vessels	
1.1.7b		If NO, score 1.1.7b Access to basic services for small-scale fishing communities	
1.1.8	Score for all fisheries/farms	Occupational safety	✓
1.1.9	Score for all fisheries/farms	Medical response	✓
1.2.1	Does the fishery/farm operate within or adjacent to a customary use area?	If YES, score 1.2.1 Customary resource use rights	
1.2.2	Does the fishery/farm constitute a single taxable enterprise or business?	If YES, score 1.2.2 Corporate responsibility and transparency	
2.1.1	Score for all fisheries/farms	Grievance reporting and access to remedy	✓
2.1.2	Score for all fisheries/farms	Stakeholder participation and collaborative management	✓
2.2.1	Does the fishery/farm employ women or other marginalized groups (i.e., migrants, ethnic, or religious minorities)?	If YES, score 2.2.1 Equitable opportunity to benefit	
2.2.2	Score for all fisheries/farms	Discrimination	✓
3.1.1a	Does the fishery/farm operate adjacent to or offshore of a marine/coastal resource-dependent community(ies) (within the country's EEZ) and is industrial to medium-scale?	If YES, score 3.1.1a Food and nutrition security impacts of industrial fisheries	
3.1.1b	Does the fishery/farm pertain to a marine/coastal resource-dependent community(ies)?	If YES, score 3.1.1b Food and nutrition security for small-scale fishing communities	
3.1.2		If YES, score 3.1.2 Healthcare	
3.1.3		If YES, score 3.1.3 Education	
3.2.1		If YES, score 3.2.1 Benefits to and within community	
3.2.2	Is the fishery/farm operating for subsistence purposes only?	If NO, score 3.2.2 Economic value retention	
3.2.3		If NO, score 3.2.3 Long-term profitability and future workforce	
3.2.4	Do fishers/farmers or their organization (i.e., cooperative, association, etc.) sell their own product?	If YES, score 3.2.4 Economic flexibility and autonomy	
3.2.5	Is the fishery/farm contributing to local livelihood security?	If YES, score 3.2.5 Livelihood security	
3.2.6	Is the fishery/farm operating for subsistence purposes only?	If YES, score 3.2.6 Fuel resource efficiency	



HOW TO READ THE SRA

Applicability

Before undertaking an assessment, it is important to figure out which SRA indicators you are assessing. This is based on two factors:

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- 2) Scope of the Assessment according to the purpose

Industrial/Medium scale w/ contracts with employees	OR	Small-scale, no contracts with employees
Waged workers	OR	Self-employed fishers/farmers
Worker housing / live aboard vessel	OR	No housing /live aboard vessel
Operating in or adjacent to a customary use area	OR	Not operating in or adjacent to a customary use area
UoA single taxable enterprise	OR	Self-employed individual operators
Marginalized groups and/or women present	OR	Marginalized groups and/or women are not present
Industrial / medium scale operating offshore from a marine resource – dependent community?	OR	Part of a marine resource-dependent community
Subsistence fishery only	OR	Commercial fishing
Fishers/farmers sell their own product	OR	Fishers/farmers do not sell their own product
Fishery contributes to local livelihood security	OR	Fishery does not contribute to local livelihood security



HOW TO READ THE SRA

Applicability

Before undertaking an assessment, it is important to figure out which SRA indicators you are assessing. This is based on two factors:

- 1) Applicability according to SRA Decision Tree
- 2) Scope of the Assessment according to the purpose

Note that it is recommended and encouraged to ***assess the entire SRA***, where feasible.

PRINCIPLE	COMPONENT	PI	PERFORMANCE INDICATOR
1 Protect human rights, dignity, and access to resources	1.1 Human and labor rights	1.1.1	Abuse and harassment
		1.1.2a	Human trafficking and forced labor
		1.1.2b	Debt bondage in small-scale fisheries
		1.1.3	Child labor
		1.1.4	Freedom of association and collective bargaining
		1.1.5	Earnings and benefits
		1.1.6	Adequate rest
		1.1.7a	Access to basic services for worker housing/live-aboard vessels
		1.1.7b	Access to basic services for small-scale fishing communities
		1.1.8	Occupational safety
		1.1.9	Medical response
	1.2 Access Rights	1.2.1	Customary resource use rights
		1.2.2	Corporate responsibility and transparency
2 Ensure equality and equitable opportunity to benefit	2.1 Equality	2.1.1	Grievance reporting and access to remedy
		2.1.2	Stakeholder participation and collaborative management
	2.2 Equity	2.2.1	Equitable opportunity to benefit
		2.2.2	Discrimination
3 Improve food, nutrition, and livelihood security	3.1 Food and nutrition security	3.1.1a	Food and nutrition security impacts of industrial fisheries
		3.1.1b	Food and nutrition security for small-scale fishing communities
		3.1.2	Healthcare
		3.1.3	Education
		3.2.1	Benefits to and within community
	3.2 Livelihood security	3.2.2	Economic value retention
		3.2.3	Long-term profitability and future workforce
		3.2.4	Economic flexibility and autonomy
		3.2.5	Livelihood security
		3.2.6	Fuel resource efficiency



Risk Assessment Framework

HOW TO READ THE SRA

PRINCIPLE 1: Protect human rights, dignity and access to resources

Component 1.1: Fundamental human rights are respected, labor rights are protected, and decent living and working conditions are provided, particularly for vulnerable and at-risk groups

Indicator 1.1.1: Abuse and harassment³

RELEVANT DEFINITIONS

Sexual harassment: Behavior, including gestures, language, and physical contact, that is sexually intimidating, abusive, or exploitative.

Gender-based violence: Violence directed against a person because of their gender. Both men and women experience gender-based violence, but the majority of victims are women and girls as it is rooted in power inequality between women and men.

³ These criteria on abuse and harassment are derived from SSRT, FTUSA, ASC, Clearview, RFS, and IOBR 2013.

RED: HIGH RISK (<60)	SRA1.1.1 S0	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected workers/fishers,
	SRA1.1.1 S0	OR - Migrant status is used as a threat or tool of coercion,
	SRA1.1.1 S0	OR - There is corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based violence, sexual harassment, or any other form of harassment, including excessive or abusive disciplinary action, or fisheries observers (when present) are not able to conduct duties free from assault, harassment, interference, or bribery,
	SRA1.1.1 S0	OR - Workers/fishers/farmers' families or community members are threatened by employers, buyers, labor brokers, or organized crime,
YELLOW: MEDIUM RISK (60-79)	SRA1.1.1 S0	OR - There is forced drug use, or labor and/or product is compensated for with drugs.
	SRA1.1.1 S1	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, and interviews in a manner safe for the assessment team and affected workers/fishers,
	SRA1.1.1 S2	AND - Migrant status is not used as a threat or tool of coercion,
	SRA1.1.1 S3	AND - There is no corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based 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,
GREEN: LOW RISK (80+)	SRA1.1.1 S4	AND - Workers/fishers/farmers' families or community members are not threatened by employers, buyers, labor brokers, or organized crime,
	SRA1.1.1 S5	AND - There is no forced drug use, or labor and/or product is not compensated for with drugs.
	SRA1.1.1 S6	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,
	SRA1.1.1 S7	AND - Managers and workers/fishers/farmers are aware of and trained on the harassment policy,
	SRA1.1.1 S8	AND - Workers have grievance procedures to report harassment and do not face retaliation for using them.

HOW TO READ THE SRA

PRINCIPLE 1: Protect human rights, dignity and access to resources

Component 1.1: Fundamental labor rights are protected, safe conditions are provided, paid groups

Indicator 1.1.1: Abuse and harassment

The Principles, Components, and Indicators make up the “Default Assessment Tree” of the risk assessment framework

RELEVANT DEFINITIONS

Sexual harassment: Behavior, including gestures, language, and physical contact, that is sexually intimidating, abusive, or exploitative.

Gender-based violence: Violence directed against a person because of their gender. Both men and women experience gender-based violence, but the majority of victims are women and girls as it is rooted in power inequality between women and men.

³ These criteria on abuse and harassment are derived from SSRT, FTUSA, ASC, Clearview, RFS, and IOBR 2013.

RED: HIGH RISK (<60)	SRA1.1.1 S0	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected workers/fishers,
	SRA1.1.1 S0	OR - Migrant status is used as a threat or tool of coercion,
	SRA1.1.1 S0	OR - There is corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based violence, sexual harassment, or any other form of harassment, including excessive or abusive disciplinary action, or fisheries observers (when present) are not able to conduct duties free from assault, harassment, interference, or bribery,
	SRA1.1.1 S0	OR - Workers/fishers/farmers’ families or community members are threatened by employers, buyers, labor brokers, or organized crime,
YELLOW: MEDIUM RISK (60-79)	SRA1.1.1 S0	OR - There is forced drug use, or labor and/or product is compensated for with drugs.
	SRA1.1.1 S1	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, and interviews in a manner safe for the assessment team and affected workers/fishers,
	SRA1.1.1 S2	AND - Migrant status is not used as a threat or tool of coercion,
	SRA1.1.1 S3	AND - There is no corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based 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,
GREEN: LOW RISK (80+)	SRA1.1.1 S4	AND - Workers/fishers/farmers’ families or community members are not threatened by employers, buyers, labor brokers, or organized crime,
	SRA1.1.1 S5	AND - There is no forced drug use, or labor and/or product is not compensated for with drugs.
	SRA1.1.1 S6	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,
	SRA1.1.1 S7	AND - Managers and workers/fishers/farmers are aware of and trained on the harassment policy,
	SRA1.1.1 S8	AND - Workers have grievance procedures to report harassment and do not face retaliation for using them.

HOW TO READ THE SRA

PRINCIPLE 1: Protect human rights, dignity and access to resources

Component 1.1: Fundamental labor rights are protected, and working conditions are provided, particularly for vulnerable groups

Indicator 1.1.1: Abuse and harassment

At the beginning of each Indicator, you will see a list of definitions used in that section and sources of information

RELEVANT DEFINITIONS

Sexual harassment: Behavior, including gestures, language, and physical contact, that is sexually intimidating, abusive, or exploitative.

Gender-based violence: Violence directed against a person because of their gender. Both men and women experience gender-based violence, but the majority of victims are women and girls as it is rooted in power inequality between women and men.

³ These criteria on abuse and harassment are derived from SSRT, FTUSA, ASC, Clearview, RFS, and IOBR 2013.

RED: HIGH RISK (<60)	SRA1.1.1 S0	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected workers/fishers,
	SRA1.1.1 S0	OR - Migrant status is used as a threat or tool of coercion,
	SRA1.1.1 S0	OR - There is corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based violence, sexual harassment, or any other form of harassment, including excessive or abusive disciplinary action, or fisheries observers (when present) are not able to conduct duties free from assault, harassment, interference, or bribery,
	SRA1.1.1 S0	OR - Workers/fishers/farmers' families or community members are threatened by employers, buyers, labor brokers, or organized crime,
YELLOW: MEDIUM RISK (60-79)	SRA1.1.1 S0	OR - There is forced drug use, or labor and/or product is compensated for with drugs.
	SRA1.1.1 S1	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, and interviews in a manner safe for the assessment team and affected workers/fishers,
	SRA1.1.1 S2	AND - Migrant status is not used as a threat or tool of coercion,
	SRA1.1.1 S3	AND - There is no corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based 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,
GREEN: LOW RISK (80+)	SRA1.1.1 S4	AND - Workers/fishers/farmers' families or community members are not threatened by employers, buyers, labor brokers, or organized crime,
	SRA1.1.1 S5	AND - There is no forced drug use, or labor and/or product is not compensated for with drugs.
	SRA1.1.1 S6	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,
	SRA1.1.1 S7	AND - Managers and workers/fishers/farmers are aware of and trained on the harassment policy,
	SRA1.1.1 S8	AND - Workers have grievance procedures to report harassment and do not face retaliation for using them.

HOW TO READ THE SRA

PRINCIPLE 1: Protect human rights, dignity and access to resources

Component 1.1: Fundamental labor rights are protected, and working conditions are provided, particularly for vulnerable groups

Indicator 1.1.1: Abuse and harassment

RELEVANT DEFINITIONS

Sexual harassment: Behavior, including gestures, language, and physical contact, that is sexually intimidating, abusive, or exploitative.

Gender-based violence: Violence directed against a person because of their gender. Both men and women experience gender-based violence, but the majority of victims are women and girls as it is rooted in power inequality between women and men.

³ These criteria on abuse and harassment are derived from SSRT, FTUSA, ASC, Clearview, RFS, and IOBR 2013.

Within each indicator, there are a set of Performance Indicator Scoring Guideposts (PISGs) that fall into high, medium, and low risk categories

RED: HIGH RISK (<60)	SRA1.1.1 S0	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected workers/fishers,
	SRA1.1.1 S0	OR - Migrant status is used as a threat or tool of coercion,
	SRA1.1.1 S0	OR - There is corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based violence, sexual harassment, or any other form of harassment, including excessive or abusive disciplinary action, or fisheries observers (when present) are not able to conduct duties free from assault, harassment, interference, or bribery,
	SRA1.1.1 S0	OR - Workers/fishers/farmers' families or community members are threatened by employers, buyers, labor brokers, or organized crime,
YELLOW: MEDIUM RISK (60-79)	SRA1.1.1 S0	OR - There is forced drug use, or labor and/or product is compensated for with drugs.
	SRA1.1.1 S1	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, and interviews in a manner safe for the assessment team and affected workers/fishers,
	SRA1.1.1 S2	AND - Migrant status is not used as a threat or tool of coercion,
	SRA1.1.1 S3	AND - There is no corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based 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,
GREEN: LOW RISK (80+)	SRA1.1.1 S4	AND - Workers/fishers/farmers' families or community members are not threatened by employers, buyers, labor brokers, or organized crime,
	SRA1.1.1 S5	AND - There is no forced drug use, or labor and/or product is not compensated for with drugs.
	SRA1.1.1 S6	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,
	SRA1.1.1 S7	AND - Managers and workers/fishers/farmers are aware of and trained on the harassment policy,
	SRA1.1.1 S8	AND - Workers have grievance procedures to report harassment and do not face retaliation for using them.

HOW TO READ THE SRA

PRINCIPLE 1: Protect human rights, dignity and access to resources

Component 1.1: Fundamental labor rights are protected, and working conditions are provided, particularly for vulnerable groups

Indicator 1.1.1: Abuse and harassment

RELEVANT DEFINITIONS

Sexual harassment: Behavior, including gestures, language, and physical contact, that is sexually intimidating, abusive, or exploitative.

Gender-based violence: Violence directed against a person because of their gender. Both men and women experience gender-based violence, but the majority of victims are women and girls as it is rooted in power inequality between women and men.

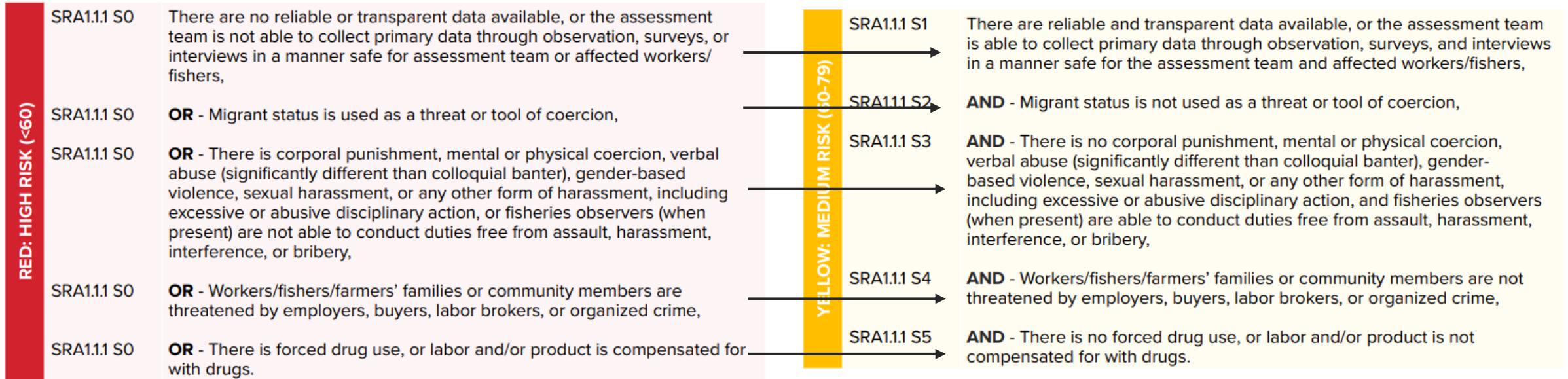
³ These criteria on abuse and harassment are derived from SSRT, FTUSA, ASC, Clearview, RFS, and IOBR 2013.

It is each individual PISG that you are assessing against

RED: HIGH RISK (<60)	SRA1.1.1 S0	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected workers/fishers,
	SRA1.1.1 S0	OR - Migrant status is used as a threat or tool of coercion,
	SRA1.1.1 S0	OR - There is corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based violence, sexual harassment, or any other form of harassment, including excessive or abusive disciplinary action, or fisheries observers (when present) are not able to conduct duties free from assault, harassment, interference, or bribery,
	SRA1.1.1 S0	OR - Workers/fishers/farmers' families or community members are threatened by employers, buyers, labor brokers, or organized crime,
YELLOW: MEDIUM RISK (60-79)	SRA1.1.1 S0	OR - There is forced drug use, or labor and/or product is compensated for with drugs.
	SRA1.1.1 S1	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, and interviews in a manner safe for the assessment team and affected workers/fishers,
	SRA1.1.1 S2	AND - Migrant status is not used as a threat or tool of coercion,
	SRA1.1.1 S3	AND - There is no corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based 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,
GREEN: LOW RISK (80+)	SRA1.1.1 S4	AND - Workers/fishers/farmers' families or community members are not threatened by employers, buyers, labor brokers, or organized crime,
	SRA1.1.1 S5	AND - There is no forced drug use, or labor and/or product is not compensated for with drugs.
	SRA1.1.1 S6	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,
	SRA1.1.1 S7	AND - Managers and workers/fishers/farmers are aware of and trained on the harassment policy,
	SRA1.1.1 S8	AND - Workers have grievance procedures to report harassment and do not face retaliation for using them.

SRA Scoring

HOW TO SCORE THE SRA



Notice that high risk PISGs are the exact inverse of medium risk PISGs. This means during an assessment you need only assess the medium and low risk PISGs in order to adequately assess risk.



HOW TO SCORE THE SRA

Indicator 1.1.2.b: Debt bondage in small-scale fisheries

RED: HIGH RISK (<60)	SRA1.1.2.b S0	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected workers/fishers.
	SRA1.1.2.b S0	OR - The fisher/farmer is paying off debt to the cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.), and all or most of their income (or share of catch) is used to pay back their debts.
	SRA1.1.2.b S0	OR - The fisher/farmer is paying off debt to the cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.), and their debt has increased over time proportional to their income (or share of catch).
	SRA1.1.2.b S0	OR - The fisher/farmer is not allowed to witness the product being weighed or graded to calculate their income (or share of catch).
	SRA1.1.2.b S0	OR - If applicable, interest rates charged to fishers/farmers are not transparent or are exorbitant/predatory.
YELLOW: MEDIUM RISK (60-79)	SRA1.1.2.b S1	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, and interviews in a manner safe for the assessment team and affected workers/fishers.
	SRA1.1.2.b S2	AND - The fisher/farmer is paying off debt to the cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.), but most of their income (or share of catch) is kept and a smaller percentage is used to pay back their debts.
	SRA1.1.2.b S3	AND - The fisher/farmer is paying off debt to the cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.), and their debt has remained stable or decreased over time proportional to their income (or share of catch).
	SRA1.1.2.b S4	AND - The fisher/farmer is allowed to witness the product being weighed or graded to calculate their income (or share of catch).
	SRA1.1.2.b S5	AND - If applicable, interest rates charged to fishers/farmers are transparent and agreed upon in advance with fishers/farmers.
GREEN: LOW RISK (80+)	SRA1.1.2.b S6	The fisher/farmer is paying off debt to the cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.), but a minimal percentage of their income is used to pay back their debts, and their debt has decreased over time proportional to their income (or share of catch).
	SRA1.1.2.b S6	OR - The fisher/farmer is NOT paying off debt to the cooperative, association, buyer, or permit holder.

An 'OR' statement here means that if there is evidence of any of these PISGs, the UoA scores

HIGH RISK

If any of these PISGs is not met, the UoA scores

HIGH RISK

Each of these PISGs must be met to score

MEDIUM RISK

Each of these PISGs must be met to score

LOW RISK

The 'OR' statement here indicates that either of these can be met to score in the low risk category, but note that all of the medium risk PISGs must still be met in order to score low risk.



HOW TO SCORE THE SRA

Indicator 1.1.2.b: Debt bondage in small-scale fisheries

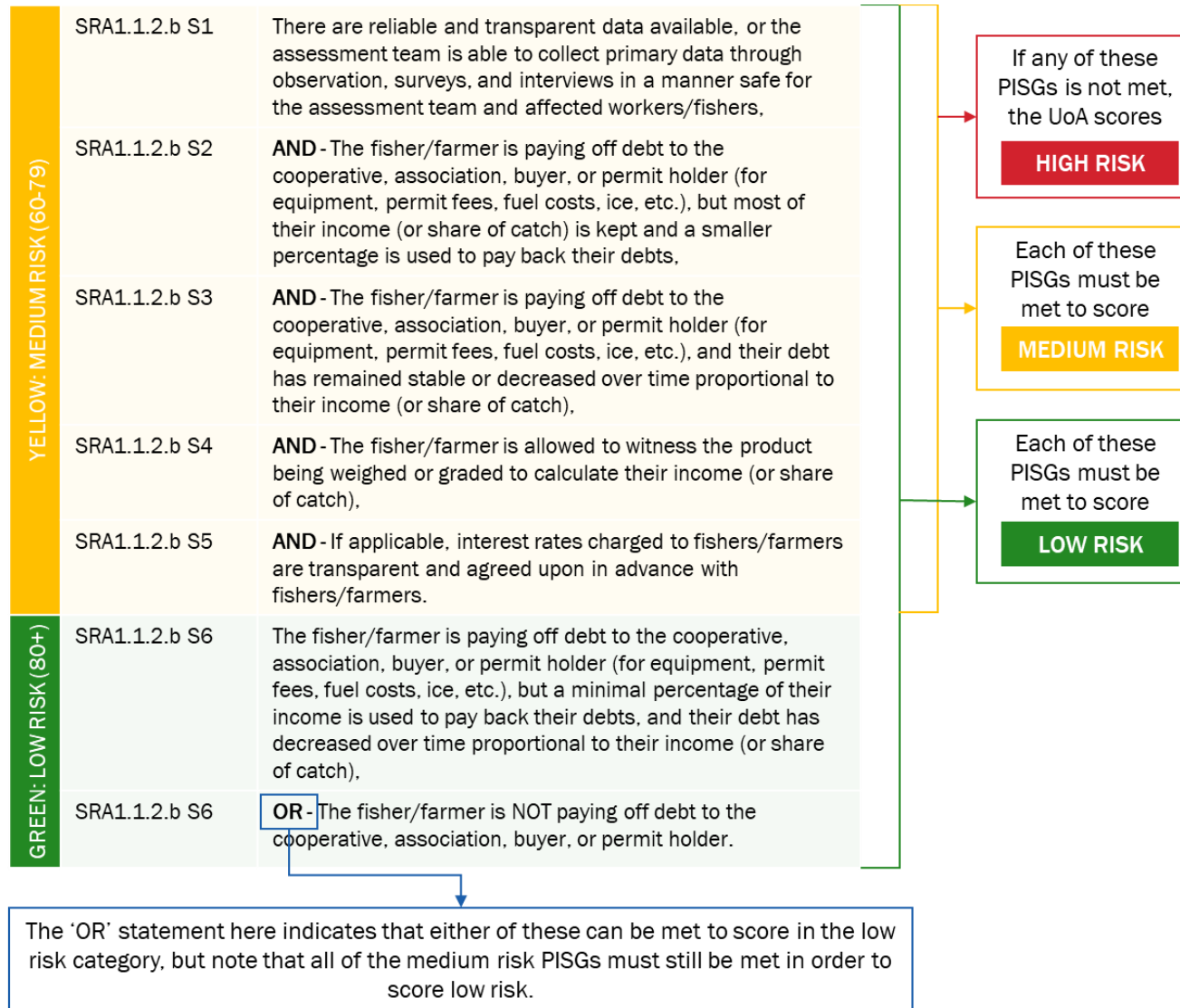
RED: HIGH RISK (<60)	SRA1.1.2.b SO	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected workers/fishers,
	SRA1.1.2.b SO	OR - The fisher/farmer is paying off debt to the cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.), and all or most of their income (or share of catch) is used to pay back their debts,
	SRA1.1.2.b SO	OR - The fisher/farmer is paying off debt to the cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.), and their debt has increased over time proportional to their income (or share of catch),
	SRA1.1.2.b SO	OR - The fisher/farmer is not allowed to witness the product being weighed or graded to calculate their income (or share of catch),
	SRA1.1.2.b SO	OR - If applicable, interest rates charged to fishers/farmers are not transparent or are exorbitant/predatory.

An 'OR' statement here means that if there is evidence of any of these PISGs, the UoA scores

HIGH RISK



HOW TO SCORE THE SRA



HOW TO SCORE THE SRA

Additionally, each Medium Risk PISG section has the following PISG:

SRA1.1.2.b S1

There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, and interviews in a manner safe for the assessment team and affected workers/fishers,

This means if there is a lack of available data that can be used as evidence, or if the site denies access for any reason, the UoA should be scored as

HIGH RISK



HOW TO SCORE THE SRA

Once you've evaluated the risk level for each Indicator, you can either stop there, or aggregate risk level up to the Principle level using the following method, using Principle 1 as an example:

PRINCIPLE	COMPONENT	PERFORMANCE INDICATOR	RISK
1 Protect human rights, dignity, and access to resources	1.1 Human and labor rights	1.1.1: Abuse and harrassment	LOW
		1.1.2a: Human trafficking and forced labor	LOW
		1.1.2b: Debt bondage in small-scale fisheries	NA
		1.1.3: Child Labor	HIGH
		1.1.4: Freedom of Association and Collective Bargaining	MEDIUM
		1.1.5: Earnings and Benefits	MEDIUM
		1.1.6: Adequate rest	HIGH
		1.1.7a: Access to basic services for worker housing/live-aboard vessels	LOW
		1.1.7b: Access to basic services (Small-scale fishing communities)	NA
	1.2 Access Rights	1.1.8: Occupational safety	MEDIUM
		1.1.9: Medical response	LOW
		1.2.1: Customary use rights	HIGH
		1.2.2: Corporate responsibility and transparency	MEDIUM

For each Indicator that was high risk, give it a score of 1. For medium risk, a score of 2, and low risk a score of 3.



HOW TO SCORE THE SRA

Once you've evaluated the risk level for each Indicator, you can either stop there, or aggregate risk level up to the Principle level using the following method, using Principle 1 as an example:

PRINCIPLE	COMPONENT	PERFORMANCE INDICATOR	RISK	
1 Protect human rights, dignity, and access to resources	1.1 Human and labor rights	1.1.1: Abuse and harrassment	LOW	3
		1.1.2a: Human trafficking and forced labor	LOW	3
		1.1.2b: Debt bondage in small-scale fisheries	NA	-
		1.1.3: Child Labor	HIGH	1
		1.1.4: Freedom of Association and Collective Bargaining	MEDIUM	2
		1.1.5: Earnings and Benefits	MEDIUM	2
		1.1.6: Adequate rest	HIGH	1
		1.1.7a: Access to basic services for worker housing/live-aboard vessels	LOW	3
		1.1.7b: Access to basic services (Small-scale fishing communities)	NA	-
		1.1.8: Occupational safety	MEDIUM	2
	1.1.9: Medical response	LOW	3	
	1.2 Access Rights	1.2.1: Customary use rights	HIGH	1
		1.2.2: Corporate responsibility and transparency	MEDIUM	2

For each Indicator that was high risk, give it a score of 1. For medium risk, a score of 2, and low risk a score of 3.



HOW TO SCORE THE SRA

Once you've evaluated the risk level for each Indicator, you can either stop there, or aggregate risk level up to the Principle level using the following method, using Principle 1 as an example:

PRINCIPLE	COMPONENT	PERFORMANCE INDICATOR	RISK	SCORE
1 Protect human rights, dignity, and access to resources	1.1 Human and labor rights	1.1.1: Abuse and harrassment	LOW	3
		1.1.2a: Human trafficking and forced labor	LOW	3
		1.1.2b: Debt bondage in small-scale fisheries	NA	-
		1.1.3: Child Labor	HIGH	1
		1.1.4: Freedom of Association and Collective Bargaining	MEDIUM	2
		1.1.5: Earnings and Benefits	MEDIUM	2
		1.1.6: Adequate rest	HIGH	1
		1.1.7a: Access to basic services for worker housing/live-aboard vessels	LOW	3
		1.1.7b: Access to basic services (Small-scale fishing communities)	NA	-
	1.1.8: Occupational safety	MEDIUM	2	
	1.1.9: Medical response	LOW	3	
	1.2 Access Rights	1.2.1: Customary use rights	HIGH	1
		1.2.2: Corporate responsibility and transparency	MEDIUM	2

For each Indicator that was high risk, give it a score of 1. For medium risk, a score of 2, and low risk a score of 3.

If all of Principle 1 were low risk, the highest possible score would be 3 multiplied by the number of indicators in Principle 1, which is 3 x 13. However, do not forget to subtract N/A requirements from the total. In this example there are 2, therefore the total is 3 x 11 = 33.



HOW TO SCORE THE SRA

Once you've evaluated the risk level for each Indicator, you can either stop there, or aggregate risk level up to the Principle level using the following method, using Principle 1 as an example:

PRINCIPLE	COMPONENT	PERFORMANCE INDICATOR	RISK	SCORE
1 Protect human rights, dignity, and access to resources	1.1 Human and labor rights	1.1.1: Abuse and harrassment	LOW	3
		1.1.2a: Human trafficking and forced labor	LOW	3
		1.1.2b: Debt bondage in small-scale fisheries	NA	-
		1.1.3: Child Labor	HIGH	1
		1.1.4: Freedom of Association and Collective Bargaining	MEDIUM	2
		1.1.5: Earnings and Benefits	MEDIUM	2
		1.1.6: Adequate rest	HIGH	1
		1.1.7a: Access to basic services for worker housing/live-aboard vessels	LOW	3
		1.1.7b: Access to basic services (Small-scale fishing communities)	NA	-
	1.1.8: Occupational safety	MEDIUM	2	
	1.1.9: Medical response	LOW	3	
	1.2 Access Rights	1.2.1: Customary use rights	HIGH	1
		1.2.2: Corporate responsibility and transparency	MEDIUM	2

For each Indicator that was high risk, give it a score of 1. For medium risk, a score of 2, and low risk a score of 3.

If all of Principle 1 were low risk, the highest possible score would be 3 multiplied by the number of indicators in Principle 1, which is 3 x 13. However, do not forget to subtract N/A requirements from the total. In this example there are 2, therefore the total is 3 x 11 = 33.

Next, add up all the scores to get the total for the UoA according to the assessment. In this case it is 23. Find the percentage relative to the total possible points (23/33). The final score in this example is 70%.



HOW TO SCORE THE SRA

Once you've evaluated the risk level for each Indicator, you can either stop there, or aggregate risk level up to the Principle level using the following method, using Principle 1 as an example:

PRINCIPLE	COMPONENT	PERFORMANCE INDICATOR	RISK	
1 Protect human rights, dignity, and access to resources	1.1 Human and labor rights	1.1.1: Abuse and harrassment	LOW	3
		1.1.2a: Human trafficking and forced labor	LOW	3
		1.1.2b: Debt bondage in small-scale fisheries	NA	-
		1.1.3: Child Labor	HIGH	1
		1.1.4: Freedom of Association and Collective Bargaining	MEDIUM	2
		1.1.5: Earnings and Benefits	MEDIUM	2
		1.1.6: Adequate rest	HIGH	1
		1.1.7a: Access to basic services for worker housing/live-aboard vessels	LOW	3
		1.1.7b: Access to basic services (Small-scale fishing communities)	NA	-
	1.1.8: Occupational safety	MEDIUM	2	
	1.1.9: Medical response	LOW	3	
	1.2 Access Rights	1.2.1: Customary use rights	HIGH	1
		1.2.2: Corporate responsibility and transparency	MEDIUM	2

For each Indicator that was high risk, give it a score of 1. For medium risk, a score of 2, and low risk a score of 3.

If all of Principle 1 were low risk, the highest possible score would be 3 multiplied by the number of indicators in Principle 1, which is 3 x 11 = 33. However, do not forget to subtract N/A requirements from the total. In this example there are 2, therefore the total is 3 x 11 = 33.

Next, add up all the scores to get the total for the UoA according to the assessment. In this case it is 23. Find the percentage relative to the total possible points (23/33). The final score in this example is 70%.

Once you have your percentage, you can use the following table to determine the risk level at the Principle level:

<60	HIGH RISK	Red
60-79	MEDIUM RISK	Yellow
80+	LOW RISK	Green



HOW TO SCORE THE SRA

Once you've evaluated the risk level for each Indicator, you can either stop there, or aggregate risk level up to the Principle level using the following method, using Principle 1 as an example:

PRINCIPLE	COMPONENT	PERFORMANCE INDICATOR	RISK	SCORE
1 Protect human rights, dignity, and access to resources	1.1 Human and labor rights	1.1.1: Abuse and harrassment	LOW	3
		1.1.2a: Human trafficking and forced labor	LOW	3
		1.1.2b: Debt bondage in small-scale fisheries	NA	-
		1.1.3: Child Labor	HIGH	1
		1.1.4: Freedom of Association and Collective Bargaining	MEDIUM	2
		1.1.5: Earnings and Benefits	MEDIUM	2
		1.1.6: Adequate rest	HIGH	1
		1.1.7a: Access to basic services for worker housing/live-aboard vessels	LOW	3
		1.1.7b: Access to basic services (Small-scale fishing communities)	NA	-
	1.1.8: Occupational safety	MEDIUM	2	
	1.1.9: Medical response	LOW	3	
	1.2 Access Rights	1.2.1: Customary use rights	HIGH	1
		1.2.2: Corporate responsibility and transparency	MEDIUM	2

For each Indicator that was high risk, give it a score of 1. For medium risk, a score of 2, and low risk a score of 3.

If all of Principle 1 were low risk, the highest possible score would be 3 multiplied by the number of indicators in Principle 1, which is 3 x 13. However, do not forget to subtract N/A requirements from the total. In this example there are 2, therefore the total is 3 x 11 = 33.

Next, add up all the scores to get the total for the UoA according to the assessment. In this case it is 23. Find the percentage relative to the total possible points (23/33). The final score in this example is 70%.

Once you have your percentage, you can use the following table to determine the risk level at the Principle level:

<60	HIGH RISK	Red
60-79	MEDIUM RISK	Yellow
80+	LOW RISK	Green

In this case, the overall risk level for this example in Principle 1 is

MEDIUM RISK



SRA Resources

THE SRA GUIDE TO DATA COLLECTION

When

- Prepare
- Assess

Why

- This document provides guidance on how and where to collect both primary and secondary data sources for each indicator

How

- Use this document in preparation to plan interviews and inspection, devise a list of documents to review during an assessment, and find secondary data collection sources



**SOCIAL RESPONSIBILITY ASSESSMENT TOOL
FOR THE SEAFOOD SECTOR:
A GUIDE TO DATA COLLECTION**

CONSERVATION
INTERNATIONAL 



SRA ASSURANCE GUIDANCE

When

- Prepare
- Assess

Why

- This document provides an in-depth step-by-step of the Prepare and Assess steps of the SRA
- Includes scoping, scheduling, sampling, assessor qualifications and trainings, etc.

How

- Follow along with this document as you plan your assessment
- Use the guidance for the assessment outline and best practices to conduct the SRA

 ELEVATE

Social Responsibility Assessment (SRA) Tool Assurance Guidance

February 2022, Version 1.0



SRA UNIT OF ASSESSMENT GUIDANCE

When

- Prepare

Why

- This document provides detailed guidance on how to define the Unit of Assessment for your SRA

How

- Use the factors detailed in this guidance document to determine the UoA based on the fishery characteristics and the goal of the assessment

 ELEVATE

Social Responsibility Assessment (SRA) Tool Guidance on Determining the Unit of Assessment (UoA)

February 2022, Version 1.0



SRA EQUIVALENCY MAPPING (EQ)

When

- Prepare
- Assess

Why

- These documents illustrate where the indicated social program is aligned with the SRA
- You can use findings from an audit of another social program when conducting your SRA

How

- First, read the orientation document to learn how to use each EQ report
- Use the EQ mapping for the relevant program to determine where additional data will need to be collected during the SRA

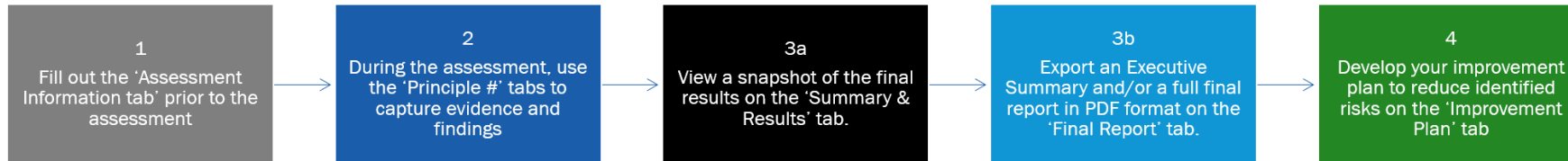


SRA ASSESSMENT TEMPLATE

The Social Responsibility Assessment (SRA) Tool for the Seafood Sector Assessment Reporting Template

Version 1.0

This template is designed to be used during an assessment to capture evidence, evaluate risk, and plan for improvement according to the results. The following outlines the process of how to use this tool to complete an assessment.



This tool has four main components:

1 Capture assessment information, including key characteristics of a Unit of Assessment (UoA)

Relevant tab(s): [Assessment Information](#)

- + This sheet is to be filled out before commencing an assessment. This tab must be filled out to ensure the final report is complete
- + This sheet will capture information about the assessment, the Unit of Assessment, and production (fishery, aquaculture, or processing)
- + At the bottom of this page there is a space to enter references that were used either to fill out the Assessment Information or references used as evidence during the assessment.

2 Capture evidence against the SRA Performance Indicator Scoring Guideposts (PISGs) that are used to assess risk

Relevant tab(s): [Principle 1](#) [Principle 2](#) [Principle 3](#)

- + The diagram below demonstrates the components on these tabs:

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 harrasment			
			Indicator Justification			



We will now watch the tutorial as a group. There will be time to answer questions at the end.



Day 2 Recap & Closing

DAY 2 RECAP & CLOSING

In today's training, we covered the following areas:

1. The SRA process: You should now be familiar with the three steps of implementing the SRA – Prepare, Assess, and Improve. Including, among others:
 - How to determine the UoA
 - Scheduling the SRA and estimating the duration of the assessment
 - The outline of an assessment, including the off-site portion, the on-site portion, and report writing
2. How to read the SRA: You should know how to read the risk assessment framework and how to interpret the applicability.
3. Key SRA Resources: You should now be familiar with some key SRA resources and know when and how to use them.
 - We also highlighted the new SRA Assessment Template that can be used during the assessment





+ELEVATE

DAY 3

1. Day 3 Learning Objectives
2. SRA Content Part I: Principle 1
3. BREAK
4. SRA Content Part II: Principle 2 & 3
5. Training Recap and closing

LEARNING OBJECTIVES

Upon completion of Day 3 of the SRA training, a participant will:

Understand the purpose of the SRA and its role in this seafood industry

Gain an understanding of the concepts covered in the context of the fishing sector

Understand the core concepts covered and how the risk assessment assesses against the 3 pillars of the Monterey Framework.



Introduction to the SRA

WHAT IS THE SRA?

The Social Responsibility Assessment Tool, *or the SRA* for short, is a social risk assessment framework for the seafood industry.

It was developed based on the 3 pillars of the Monterey Framework:



**PROTECT HUMAN RIGHTS,
DIGNITY, AND
ACCESS TO RESOURCES**



**ENSURE EQUALITY
AND EQUITABLE
OPPORTUNITY TO BENEFIT**



**IMPROVE FOOD
AND LIVELIHOOD
SECURITY**

It was developed in alignment with international and multi-lateral laws, policies, and guidance and through a rigorous stakeholder engagement process.



**SOCIAL RESPONSIBILITY ASSESSMENT TOOL
FOR THE SEAFOOD SECTOR**

CONSERVATION
INTERNATIONAL 



THE VALUE OF THE SRA

The SRA tool is designed as a framework to be applied using a worker-driven approach, which is an effective tool to implement a process designed to improve the well-being of workers, fishers, and farmers.

Open access framework which can enable flexibility in implementation. In this way, users can design a full assessment program and decide what to do with the results.

SRA is not PASS/FAIL, it indicates RISK. The results of an SRA can help you segment supply chains, and target effective remediation and continuous improvement based on risk levels

The SRA is not a certification and was designed as an open access framework to unify the seafood space around a common definition of social responsibility.

The SRA is a core function of a holistic Human Rights Due Diligence program that enables compliance with legal requirements and/or supplier requirements.

The SRA can act complementary to other tools being implemented as it can help translate and standardize assessments to then convert that into an actionable risk level.



HUMAN RIGHTS RISK DRIVERS IN THE FISHING INDUSTRY

Illegal, Unreported and Unregulated (IUU) Fishing

IUU fishing is linked to both negative environmental impacts and human rights abuses and labor violations

- + Improving traceability allows companies to identify and start to address risks associated with IUU fishing, including compliance with environmental and labor regulations, and identifying human rights risks



Flags of Convenience (FOCs)

FOCs exacerbate lack of transparency in the industry, making laws difficult to enforce

- + FOCs permit a system of a lack of accountability to persist as it makes identifying and sanctioning fishing vessels and their owners difficult – effectively removing any consequences for egregious human rights or labor violations



Transshipment

Transshipment permits longer stretches at sea, making it difficult to identify and address issues of forced labor

- + Extended time at sea places already vulnerable workers at much higher risks of human rights and labor rights violations and effectively cut them off from key lifelines / grievance channels



Migrant Workers

Migrant laborers provide a source of low-cost labor for an industry that faces increasing cost-pressures

- + Migrant workers face a high inherent risk of forced labor and debt bondage due to the recruitment process, in which they often have to pay excessive fees to secure contracts



The SRA Part I: Principle 1

PRINCIPLE 1 COVERS THE FOLLOWING INDICATORS:

PRINCIPLE	COMPONENT	PI	PERFORMANCE INDICATOR
1 Protect human rights, dignity, and access to resources	1.1 Human and labor rights	1.1.1	Abuse and harassment
		1.1.2a	Human trafficking and forced labor
		1.1.2b	Debt bondage in small-scale fisheries
		1.1.3	Child labor
		1.1.4	Freedom of association and collective bargaining
		1.1.5	Earnings and benefits
		1.1.6	Adequate rest
		1.1.7a	Access to basic services for worker housing/ live-aboard vessels
		1.1.7b	Access to basic services for small-scale fishing communities
		1.1.8	Occupational safety
	1.1.9	Medical response	
	1.2 Access Rights	1.2.1	Customary resource use rights
		1.2.2	Corporate responsibility and transparency



1.1.1 ABUSE AND HARASSMENT

Workers/fishers/farmers in the seafood sector are particularly at risk of abuse and harassment, especially on the high seas and in remote areas, where they are isolated and can be subjected to extreme working environments.

Physical abuse - Any physical contact with the intent to injure or intimidate (including throwing of objects) and disciplinary measures that cause physical discomfort

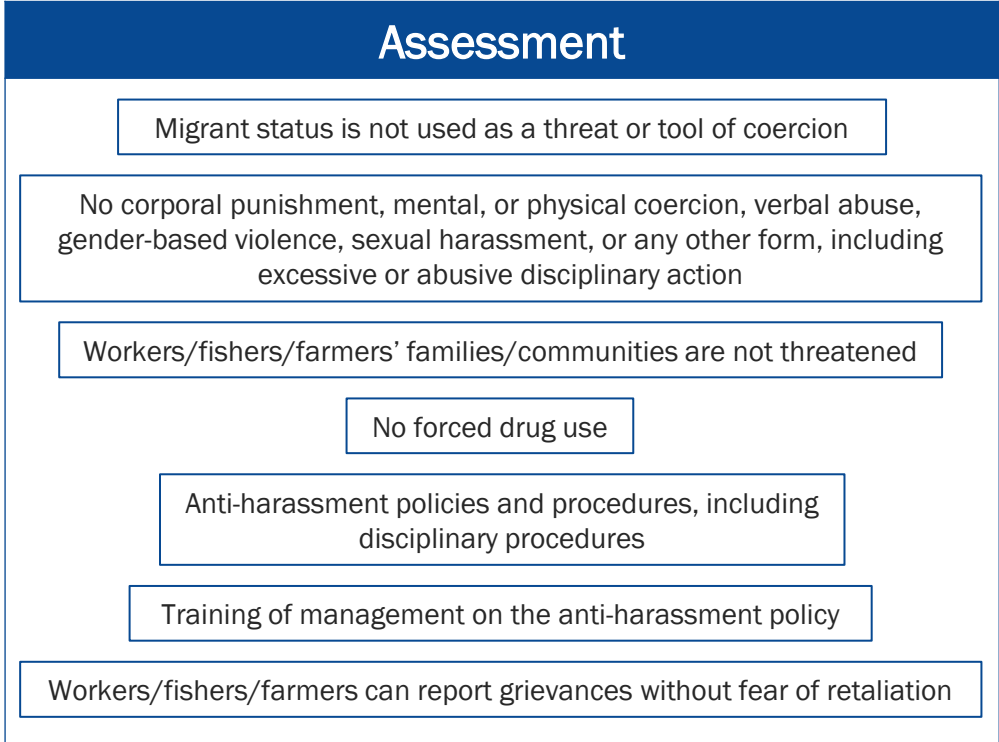
Verbal harassment - Chronic use of implied or direct threats

Psychological harassment - Humiliating or intimidating verbal or non-verbal behavior

Sexual harassment – Behavior, including gestures, language and physical contact, that is sexually intimidating, abusive, or exploitative

Excessive or abusive disciplinary action - This refers to disciplinary procedures that are disproportionate to the act or violation; not transparent, fair, or humane (which should consist of a progressive and escalating series of warnings, and are clearly communicated to all workers, supervisors, and managers).

Gender-based violence – Violence directed against a person because of their gender. Both men and women experience gender-based violence, but in male-dominated situations, the majority of victims are women and girls, as violence is often rooted in power inequality between women and men (See Food and Agriculture Organization, 2017; Sunde, 2010).



1.1.2A HUMAN TRAFFICKING AND FORCED LABOR

Extreme working environments, irregular and informal recruitment and hiring systems, and poorly-regulated fishing and production practices are some of the factors that increase the vulnerability of seafood workers to situations indicative of forced labor.

Forced labor is all work or service which is exacted from any person under the menace of any penalty, and for which said person has not offered himself or herself voluntarily.



1.1.2A HUMAN TRAFFICKING AND FORCED LABOR

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Forced labor is all work or service which is exacted from any person under the **menace of any penalty**, and for which said person has not offered himself or herself voluntarily.

Coercion

- Debt bondage or manipulation of debt
- Withholding valuable documents
- Restrictions on workers' movement
- Withholding of wages or benefits
- Threat of retaliation
- Denunciation to authorities

Harassment and Abuse

- Threats
- Physical and psychological violence
- Deprivation of food, water, or other necessities
- Imprisonment
- Removal of rights and privileges

Fear of loss, harm to self or family

- Abuse vulnerability
- Physical violence against worker or family



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Forced labor is all work or service which is exacted from any person under the menace of any penalty, and for which said person **has not offered himself or herself voluntarily.**

Unfree recruitment

- Where a worker must perform a job of a different nature from that which the worker consented to
- False promises
- Incomplete job information
- Physical abduction or kidnapping

Life or work under duress

- Excessive work volume
- Degrading working conditions
- Limitations on freedom of movement
- Abusive overtime requirements
- Work with very low or no wages
- Psychological compulsion

Impossibility of leaving the employer

- Leaving entails risk to the worker
- Work with no or limited freedom to terminate work contract



1.1.2A HUMAN TRAFFICKING AND FORCED LABOR

Forced labor is all work or service which is exacted from any person under the menace of any penalty, and for which said person has not offered himself or herself voluntarily.

Applicability:

PI	SCORING GUIDANCE	PERFORMANCE INDICATOR
1.1.2a	Is the fishery/farm industrial or medium scale with labor recruitment from other countries and/or contracts with employers likely?	If YES, score 1.1.2a Human trafficking and forced labor
1.1.2b		If NO, score 1.1.2b Debt bondage in small-scale fisheries

The ILO 11 Indicators of Forced Labor:

Abuse of vulnerability
Deception
Restriction of movement
Isolation
Physical and sexual violence
Intimidation and threats
Retention of identity documents
Withholding of wages
Debt bondage
Abusive working and living conditions
Excessive overtime



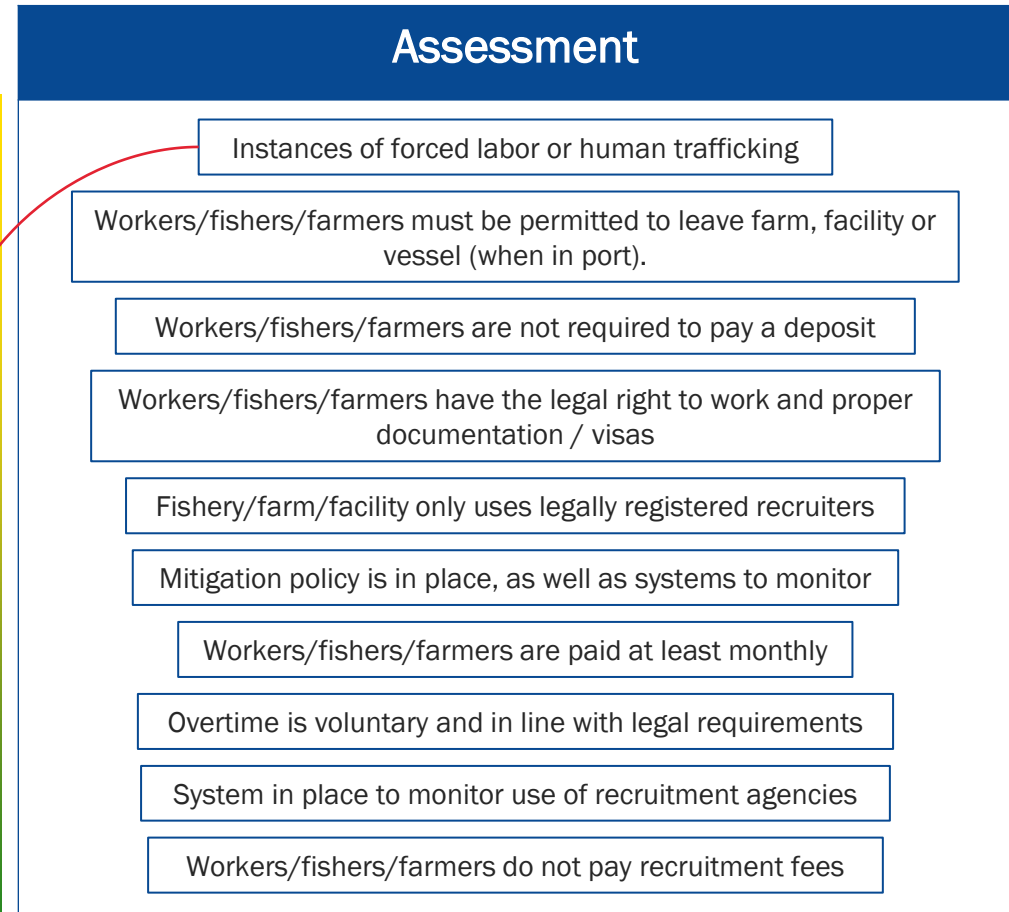
1.1.2A HUMAN TRAFFICKING AND FORCED LABOR

Forced labor is all work or service which is exacted from any person under the menace of any penalty, and for which said person has not offered himself or herself voluntarily.

SRA1.1.2a SO **OR** - There are one or more indicators of forced labor in the fishery/farm (abuse of vulnerability, deception, restriction of movement, isolation, physical and sexual violence, intimidation or threats, retention of identity documents, withholding of wages, debt bondage, abusive living and working conditions, excessive overtime), and the farm/fishery is not actively implementing, tracking progress on, or reporting on a remediation plan.

Applicability:

PI	SCORING GUIDANCE	PERFORMANCE INDICATOR
1.1.2a	Is the fishery/farm industrial or medium scale with labor recruitment from other countries and/or contracts with employers likely?	If YES, score 1.1.2a Human trafficking and forced labor
1.1.2b		If NO, score 1.1.2b Debt bondage in small-scale fisheries



1.1.2B DEBT BONDAGE

Individual operators in small-scale fisheries, although not bound to an employer, can incur debt with a cooperative or middlemen in seafood supply chains. The scope of the issue is not yet fully understood in the seafood industry, but evidence suggests it is a widespread.

Assessment

Workers/fishers/farmers are allowed to witness product being weighed

Whether or not the worker/fisher/farmer is not paying off any debts.

If they are paying off debt, they worker/fisher/farmer keeps most of their wages (only a small percentage goes to paying off debt), and the debt has remained stable over time.

The following are key components that are to be investigated regarding debt-bondage:

- ▶ Whether or not fishers/farmers are paying off loans.
- ▶ The extent to which they are indebted and the terms of repayment.
- ▶ The rate at which debts are accumulating.

Applicability:

PI	SCORING GUIDANCE	PERFORMANCE INDICATOR
1.1.2a	Is the fishery/farm industrial or medium scale with labor recruitment from other countries and/or contracts with employers likely?	If YES, score 1.1.2a Human trafficking and forced labor
1.1.2b		If NO, score 1.1.2b Debt bondage in small-scale fisheries

Note that it is important to understand the power dynamics of the fishery you are working in to understand risks of debt bondage.



CASE STUDY 5: RECRUITMENT

We will now break out into groups to discuss the following case study and questions.

You have just conducted an interview with Aran, a 22-year old fisher working on a vessel in the UoA fishing in Thailand. You uncover the following information during your interview:

He was recruited from his home country of Cambodia to work a fishing job by responding to an ad on the internet. The ad promised \$400 US per month, plus the opportunity for bonuses after one year of employment. When Aran met with the recruiter, they said that Aran would be required to pay a deposit up front to the recruiter, including a \$500 US administration fee and a \$800 US security deposit. Aran could not afford these upfront costs on his own, and the recruiter said they would work with the employer to loan him the outstanding balance, which Aran would pay back out of his paycheck. These were the terms agreed to upon meeting with the recruiter, who had Aran sign a contract in Thai.

Upon arrival, Aran's passport was taken from him, and the skipper of the vessel told Aran that he would be earning \$250 US per month, much lower than the \$400 US he thought he was going to earn. In addition, the working hours exceeded 18 hours per day, and crew were not allowed to go ashore when the vessel was at port. Aran wanted to leave the job, but the skipper reminded Aran he owed him money for the upfront costs, and that he still had his passport.

- 1) Which SRA indicator is relevant: 1.1.2a or 1.1.2b, based on the applicability?
- 2) Do you think there are violations to the SRA 1.1.2a? Explain your answer using reference to the case study.
- 3) Which other SRA indicators might be high risk in this case?
- 4) Think back to the method of validating data through triangulation. Where else might you look for data to validate the information uncovered in Aran's interview?



CASE STUDY 6: DEBT BONDAGE IN SMALL-SCALE FISHERIES

We will now break out into groups to discuss the following case study and questions.

You are conducting an SRA with a fishing cooperative in Indonesia. The fishers are self-employed, and therefore do not have any kind of employment contract. In a key informant interview with one of the cooperative members, you uncover the following information:

While there are no formal contracts in the cooperative, each member formally signs on and pays membership fees to the cooperative at a fair, democratically determined rate. The cooperative sells all of their product to one middleman operation.

The cooperative and the middleman have an agreement whereby the middleman will provide ice and coolers to the cooperative members to keep the catch they purchase fresh, however the cooperative members cannot sell their catch to any other buyer, otherwise the middlemen will no longer purchase from any of the cooperative members. The middleman also deducts a fee from the price they give to the fishers for providing the ice.

When the cooperative members come to shore, the middleman has workers at the landing site that collect the product and weigh it out of sight of the fishers. They then return a pay slip indicating how much the middleman will pay for the catch. However, the pay slip is not itemized, therefore the fishers do not know how much is being deducted for the ice and coolers, and do not know how much they earned per kilogram of product. The amount they earn is very volatile, and they cannot be sure how much of it is repayment for the provision of ice and coolers, and how much is for the catch.

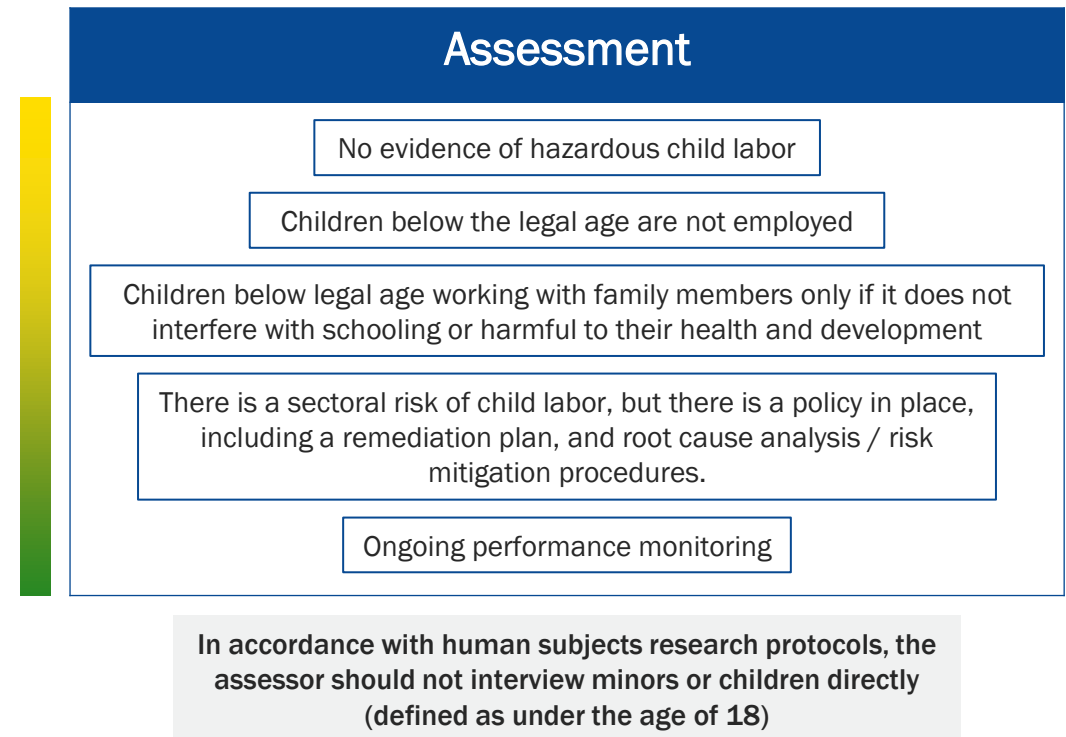
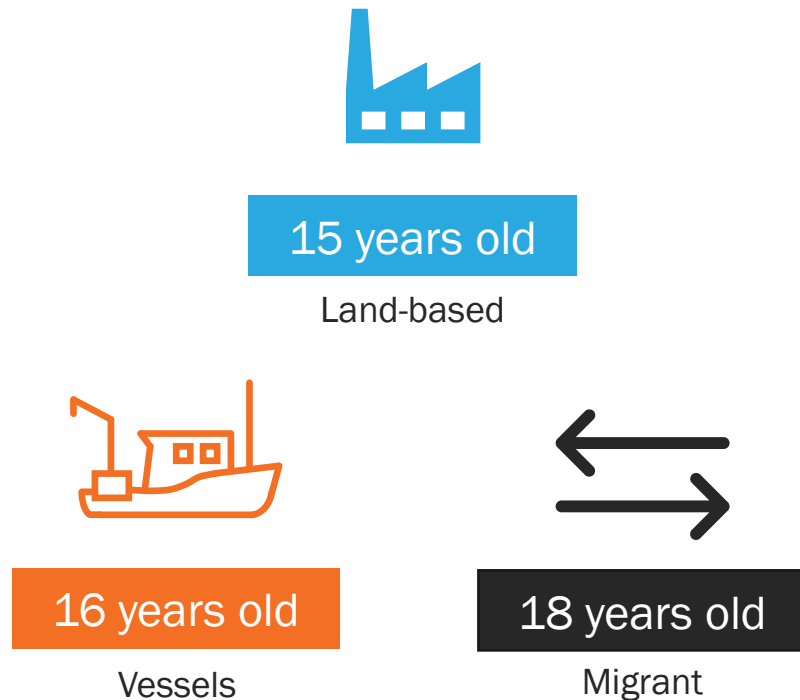
- 1) Is there any indication of debt bondage in this agreement between the cooperative and the middleman? If yes, please specify the risk factors.
- 2) What is missing in the agreement between the cooperative and the middleman that could mitigate the risk of debt bondage?



1.1.3 CHILD LABOR

Child labor is defined as work performed by children, which interferes with a child's right to health, growth, development and access to quality education.

National and international laws/policies help to define child labor:



1.1.4 FREEDOM OF ASSOCIATION AND COLLECTIVE BARGAINING

Address Power Imbalances

Workers are able to collectively bargain with employers, creating a more balanced power structure in the workplace

- + By addressing these power imbalances, workers will gain voice and no longer remain silent when it comes to raising issues without fear of retaliation
- + By reporting issues regularly, and often, forced labor can be prevented by helping management address issues early on

Collective Bargaining

Raising worker issues through a union allows employers to address issues affecting a large group

- + Workers feel safer in numbers and are less likely to be retaliated against if they raise issues as a group
- + Collective bargaining and addressing group issues benefits employers since internal channels are not overwhelmed by numerous individual issues related to the same topic

Direct Resolution

Collective bargaining supports addressing issues directly and may not require escalation beyond the workplace

- + Establishing a balanced and trusting relationship between trade unions and employers provides an effective mechanism for addressing labor rights issues immediately and directly, with escalation to external bodies only required in extreme circumstances

Advocacy

Trade unions also provide an important workers' rights advocacy channel

- + Trade unions also support the identification of legal gaps which can be addressed through government action and regulatory change
- + Issues raised by trade unions can highlight the need for structural reforms at the national level



1.1.4 FREEDOM OF ASSOCIATION AND COLLECTIVE BARGAINING

FREEDOM OF ASSOCIATION

All workers/fisher/farmers have the right to *establish and join* organizations, *elect* their organizational leader, and *develop* their own rules and guidelines *without interference or intimidation from the employer*.

COLLECTIVE BARGAINING

Workers/fishers/farmers also have the right to collective bargaining, which allows them to *negotiate with their employer as a group for better working conditions or amendments to their terms of employment and pay*.

Assessment

Free to form or join worker organizations and right to decide on its role and function without interference from the employer

Law in the area protect rights to Freedom of Association

Human rights defenders are not actively suppressed

No discrimination for participation in workers organizations

Employer policy shared with workers that indicates respect for workers rights to FoA and collective bargaining

Workers are trained by workers organizations on their rights

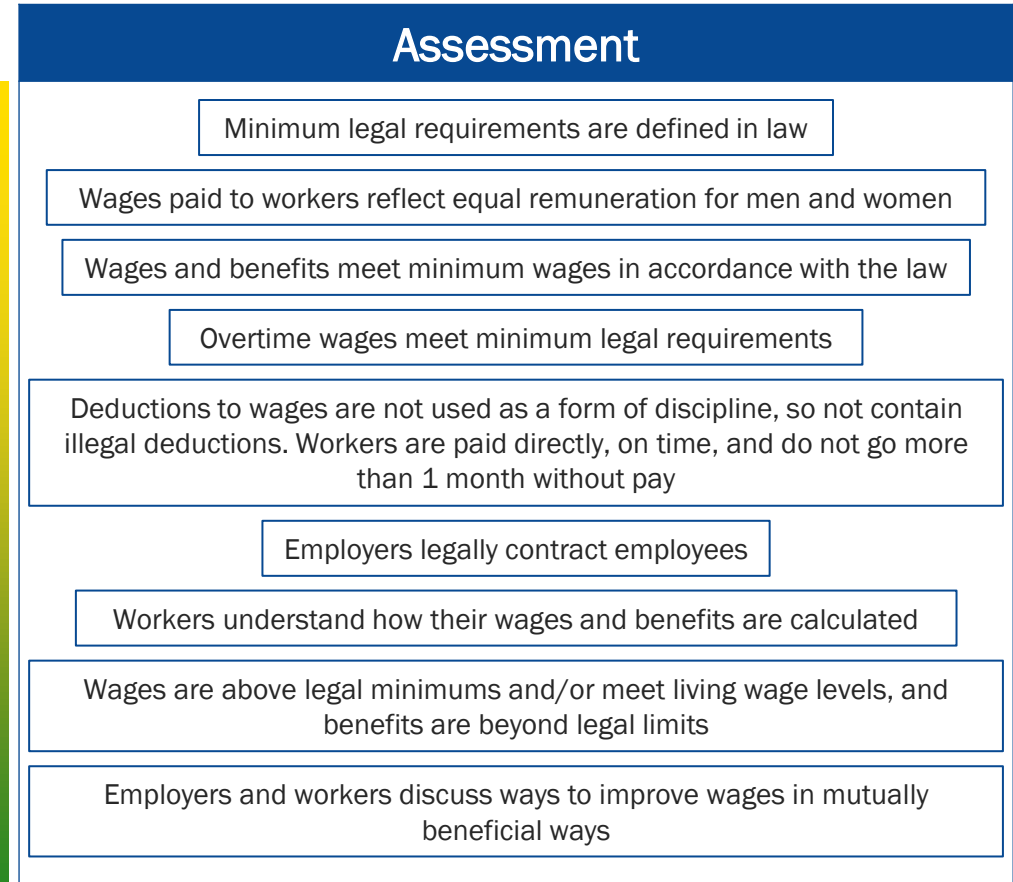
Women participate in unions commensurate with their representation in the workforce



1.1.5 WAGES AND BENEFITS

Workers/fishers/farmers have the right to remuneration that will provide them with a decent life. Most countries have a floor, or *minimum wage*, which indicates the minimum of what workers should be paid.

The minimum wage as defined by law is traditionally the minimum for most companies, however, as our knowledge of the actual cost of living broadens, many are now looking to define and move towards a living wage, which tend to be higher than the minimum wage.



Applicability:

1.1.5 Are workers or farmers wage workers? If YES, score 1.1.5 Earnings and benefits



1.1.6 ADEQUATE REST

Ensuring workers/farmers/fishers are receiving adequate rest can be difficult regardless of location, however it can be exceptionally challenging at sea. There is not always structured “shift” work, and *fishers can be expected to work long hours to make sure the fish caught is preserved.*

ILO C188 provides guidance on working hours at sea:



10 hours in any
24-hour period



77 hours in any
7-day period

Local laws define adequate rest and weekly work limits as well, which is particularly relevant for onshore workers

Applicability:

1.1.6 Are workers or farmers self-employed? If NO, score 1.1.6 Adequate rest

Assessment

Mechanism for workers to track hours

Working hours meet legal minimum requirements and overtime hours are paid according to law

Workers have 10 hours rest in any 24-hour period and 77 hours rest in any 7-day period

Overtime is voluntary

Independent, third-party oversight of working hours

Onshore workers do not work more than 48 hours/week, even if the law permits more

Onshore workers do not work for more than 6 days / week

There is a system in place to anticipate peak production needs to plan working hours accordingly

The workplace has paid pre- and post- natal maternity / paternity leave with adequate compensation



1.1.7A ACCESS TO BASIC SERVICES (VESSELS)

Substandard living conditions on vessels is common in the fishing industry, despite the fact that food and lodging is often deducted from wages.

The ILO and several states require that the onboard conditions for workers are



Safe



Well-maintained

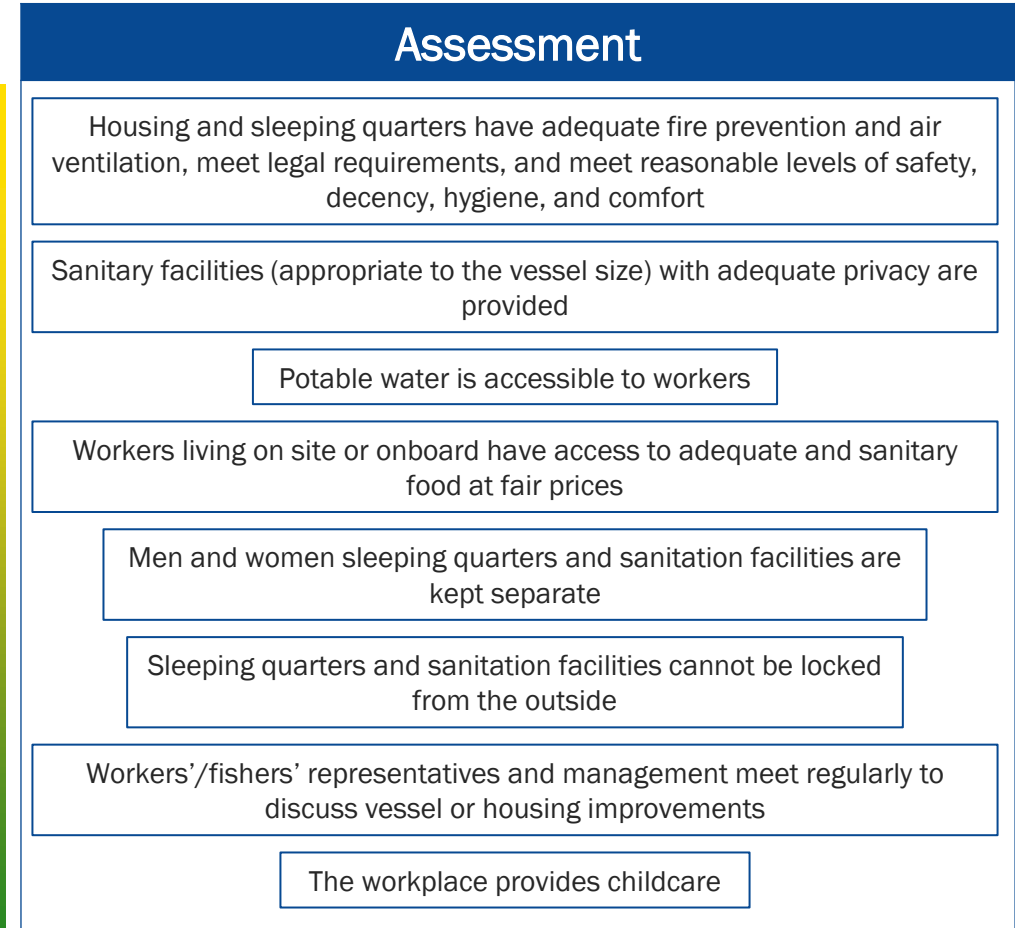


Sufficient in size and number for the crew on board

Fishers must have access to *potable drinking water* at all times, *food* should provide *sufficient nutritional value*, and should be safe to eat.

Applicability:

1.1.7a	Does the fishery/farm provide worker housing or require live-aboard vessel time?	If YES, score 1.1.7a Access to basic services for worker housing/live-aboard vessels	
1.1.7b		If NO, score 1.1.7b Access to basic services for small-scale fishing communities	



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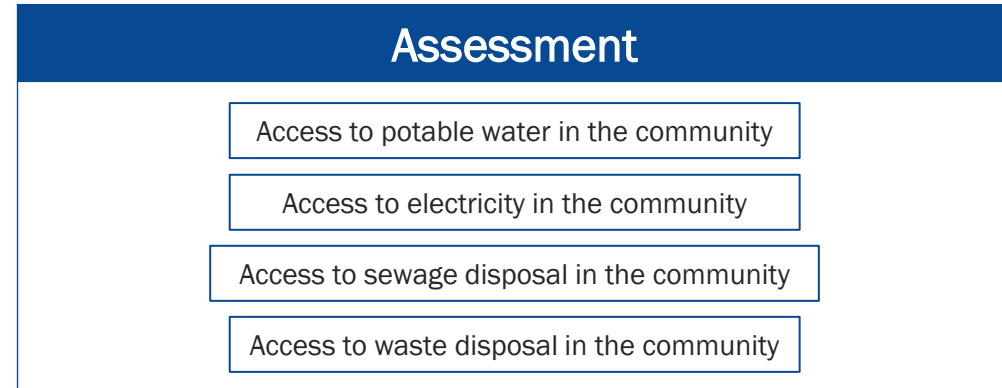
The following list describes issues that should be addressed to ensure suitable living conditions on vessels:

- Approval plans for the construction or modification of fishing vessels in respect of accommodation;
- Maintenance of accommodation and galley spaces with due regard to hygiene and overall safe, healthy, and comfortable conditions;
- Ventilation, heating, cooling, and lighting;
- Mitigation of excessive noise and vibration;
- Location, size, construction materials, furnishing and equipping of sleeping rooms, mess rooms, and other accommodation spaces;
- Sanitary facilities, including toilets and washing facilities with adequate privacy, and supply of sufficient hot and cold water; and
- Procedures for responding to complaints concerning accommodation that does not meet the requirements of this Convention (Source: ILO 2007).



1.1.7B ACCESS TO BASIC SERVICES (SSF COMMUNITIES)

In order to improve the *overall well-being* of workers, the conditions of their community can be assessed. This can be of particular importance for *small-scale fishing communities*, whereby fishers are operating their own vessels and providing for their communities.



Applicability:

1.1.7a	Does the fishery/farm provide worker housing or require live-aboard vessel time?	If YES, score 1.1.7a Access to basic services for worker housing/live-aboard vessels	
1.1.7b		If NO, score 1.1.7b Access to basic services for small-scale fishing communities	



1.1.8 OCCUPATIONAL HEALTH AND SAFETY

Fishing is one of the *most dangerous occupations in the world*. Injury is common and deaths can occur. Procedures and controls need to be in place to ensure fishers *can do their jobs safely*, and that proper due-diligence had been taken to reduce the likelihood of loss of life or limb.

Both proactive and reactive approaches should be implemented to handle occupational risks:

PROACTIVE

Assessing/mitigating risks
Developing procedures
Training fishers
Warning signs
PPE

REACTIVE

Recording accidents
Communication equipment
Compliance with law

Assessment

Workers have access to communication equipment

PPE provided at no cost to workers/fishers/farmers

Fishers and managers are trained on health and safety protocols

Vessel/farm/workplace complies with local/national safety and health regulations

Workplace risks and risk areas are identified in relevant languages with provisions for illiteracy, and workplace accidents are reported

Workplace has a written health and safety policy that is implemented, and workers are engaged

There are formal channels of communication between workers/fishers/farmers and management to discuss and implement health and safety procedures

There are special protections for young, pregnant, or other vulnerable workers



1.1.9 MEDICAL RESPONSE

As injury may occur, medical response capabilities are important in the fishing sector and are vital to ensuring worker safety. *Operators of high-seas or distant-water fishing vessels should take particular care*, given the harsh working conditions and long periods that vessels are out at sea.

Large vessels are defined under the SRA as those *equal to or greater than 24 meter*

Long trips are defined under the SRA as trips at sea for more than *three days*

Assessment

Adequate medical supplies are available (e.g. first aid kit)

There is a trained first responder (facilities, farms, and industrial vessels)

On large vessels taking long trips, fishers have a valid medical certificate attesting to their fitness to work

Workers/fishers/farmers are provided with medical care for workplace injuries and repatriated if necessary at the employer's expense

Injuries sustained in the course of work are subject to worker's compensation, lost time pay, and payment of medical expenses, if not by law, then by the employer

Workers are trained in emergency response and first aid

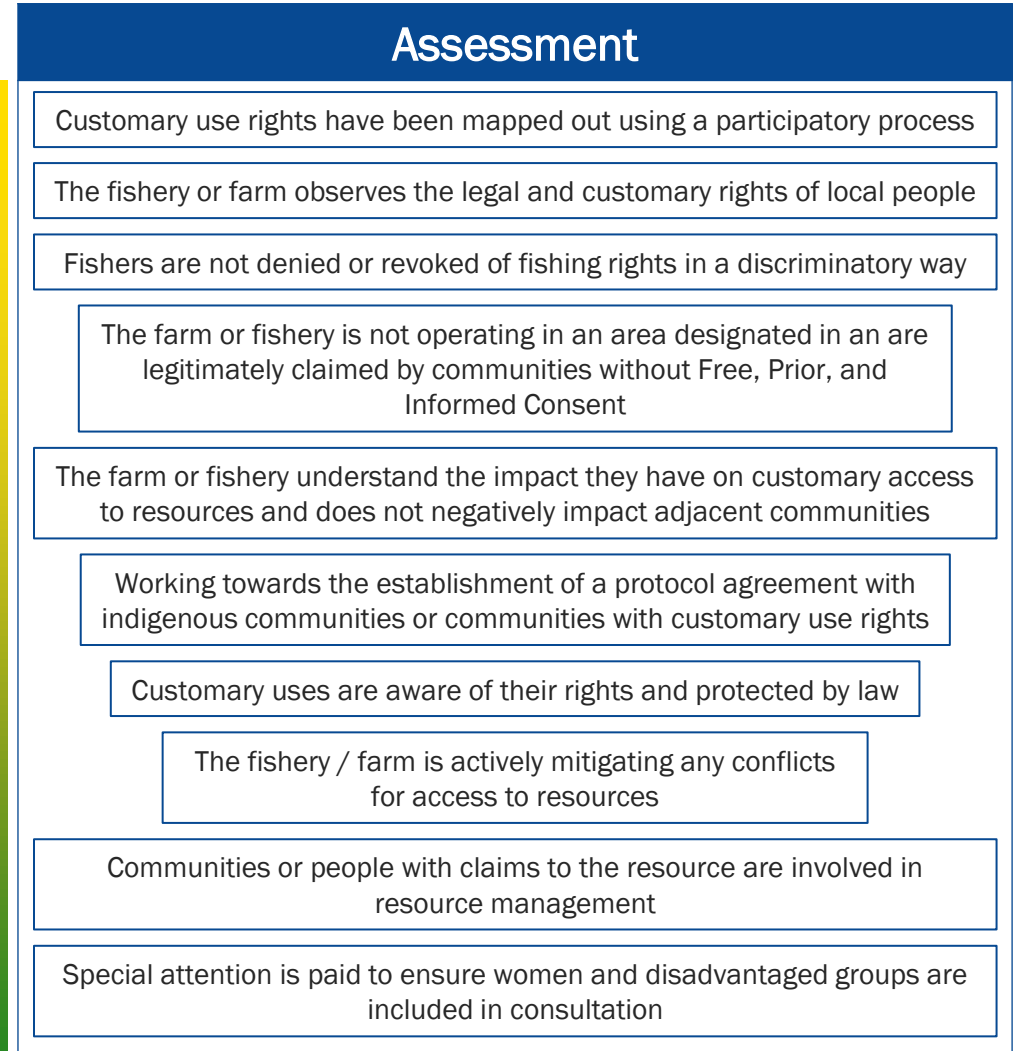


1.2.1 CUSTOMARY USE RIGHTS

Many of the world's remaining areas of high biodiversity and critical ecosystems *are lands and waters owned, occupied, and managed by Indigenous Peoples*. In many cases, their reliance on natural resources for their livelihoods may increase their vulnerability to the adverse impacts of project development, even in projects such as FIPs that may seem beneficial from the outset.

Applicability:

1.2.1	Does the fishery/farm operate within or adjacent to a customary use area?	If YES, score 1.2.1 Customary resource use rights
-------	---	---



1.2.1 CUSTOMARY USE RIGHTS

Free, Prior, and Informed Consent:

FREE

There is no coercion, duress, fraud, bribery, intimidation or manipulation.

PRIOR

Consent is to be sought sufficiently in advance of any significant planning, authorization or commencement of activities and each decision-making stage, and respect is shown to time requirements of indigenous consultation/consensus processes.

INFORMED

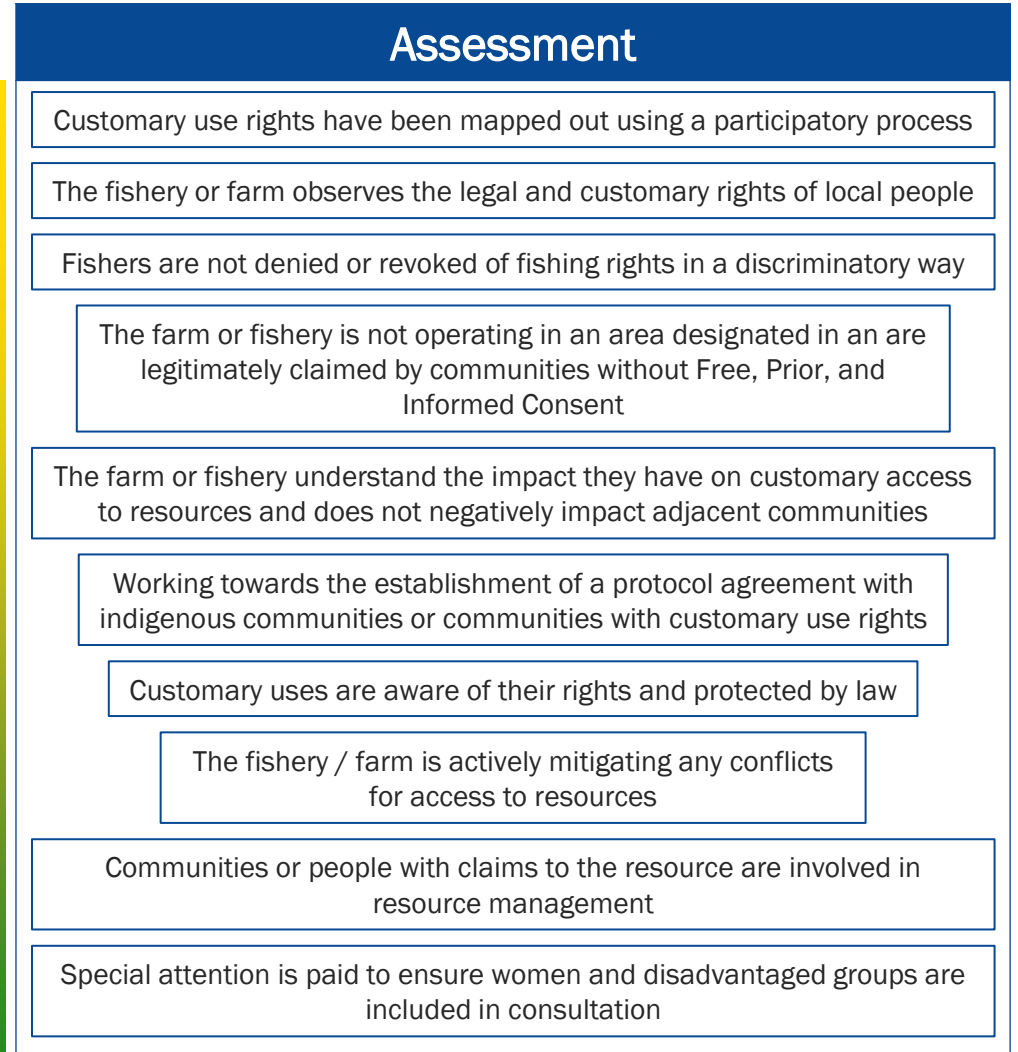
Information is provided, in appropriate language and format, that covers a range of aspects, for example, the scope, duration, or details.

CONSENT

Involves an explanation of how data will be stored or disseminated as to protect the anonymity and confidentiality of participants.

Applicability:

1.2.1	Does the fishery/farm operate within or adjacent to a customary use area?	If YES, score 1.2.1 Customary resource use rights
-------	---	---



1.2.2 CORPORATE RESPONSIBILITY AND TRANSPARENCY

Setting clear intentions at the management level is important to achieve sustainable outcomes. Commitments should be clear and well communicated at all levels of an enterprise.

This also means that a company needs to be *responsible/accountable and transparent*, in that they are operating legally and with good intentions.

Responsibility / accountability can be demonstrated through capacity building, training, communication programs, risk assessment and mitigation, documentation, and supplier alignment.

What to look for:

Commitment statements

Risk assessment and mitigation strategies and/or management systems

Policies and procedures

Tracking legal and customer requirements

CSR goals and performance targets

Applicability:

1.2.2 Does the fishery/farm constitute a single taxable enterprise or business? If YES, score 1.2.2 Corporate responsibility and transparency

Assessment

The fishery/farm can demonstrate compliance with tax laws

There is no evidence of bribery to gain access to resource or avoid compliance with local regulations

There is a human rights policy in place and the policy is implemented

The farm/fishery publicly discloses their social, economic, and environmental performance

The farm / fishery is engaged in multi-stakeholder, worker-centered initiatives aiming to improve social performance across the industry

Financial accounts are regularly reviewed by independent, third-party auditors

The farm / fishery has published the social responsibility and environmental policies

The human rights policy is communicated and training is provided on this policy



PRINCIPLE 2 COVERS THE FOLLOWING INDICATORS:

PRINCIPLE	COMPONENT	PI	PERFORMANCE INDICATOR
2 Ensure equality and equitable opportunity to benefit	2.1 Equality	2.1.1	Grievance reporting and access to remedy
		2.1.2	Stakeholder participation and collaborative management
	2.2 Equity	2.2.1	Equitable opportunity to benefit
		2.2.2	Discrimination



2.1.1 GRIEVANCE REPORTING AND ACCESS TO REMEDY

Providing channels of grievance for workers to come forward about complaints or issues is key to ensuring the well-being of workers. This system needs to be *trusted by workers, and procedures must be in place to respond to issues in a timely manner*.

The UN Guiding Principle on Business and Human Rights defines the characteristics grievance mechanisms should have:



2.1.1 GRIEVANCE REPORTING AND ACCESS TO REMEDY

Providing channels of grievance for workers to come forward about complaints or issues is key to ensuring the well-being of workers. This system needs to be *trusted by workers, and procedures must be in place to respond to issues in a timely manner.*

Implementing an effective grievance mechanism poses additional challenges in the seafood industry:



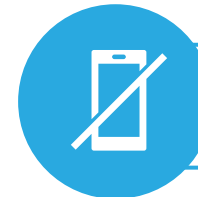
Often remote locations on fishing vessels



Low-literacy, especially among migrant workers who do not speak the local or native language



Low understanding of who the employer is



Lack of telephone, internet access, or other reliable means of communication



Limited time in port and corresponding limited access to land-based authorities or mechanisms



Effective grievance mechanisms can be costly



2.1.1 GRIEVANCE REPORTING AND ACCESS TO REMEDY

Legitimacy

- Building trust from the stakeholder groups who are the intended beneficiaries
- E.g., partnering with local trusted entities with multi-lingual capabilities

Accessibility

- Increasing awareness and providing adequate assistance for those who may face barriers to access
- E.g., identifying worker preferences and demographic factors to deploy channels that best meets workers' needs

Equitable/Rights Compatible

- Ensuring that outcomes and remedies accord with internationally-recognized human rights and workers have reasonable access to sources of information

Assessment

Workers/fishers/farmers that pertain to a business have knowledge of and access to effective, fair, and confidential grievance mechanisms

There is no retaliation or prejudice against workers/fishers/farmers who use grievance mechanisms

Grievance mechanisms are both procedurally and substantively effective at remediation in a time-bound manner, and remediation processes are publicly disclosed

The grievance procedure includes special considerations for vulnerable populations

Workers/fishers/farmers have access to third-party independent organizations that can address grievances

Find more details about how grievance mechanisms in the webinar [A Trusted Voice for Workers on Fishing Vessels: Accessing Effective Grievance Mechanisms](#)



CASE STUDY 7: GRIEVANCE MECHANISMS

We will now separate out into groups where you will discuss the case study as a group.

During the assessment, you uncover the following information about grievance reporting and access to remedy within the Unit of Assessment:

The Unit of Assessment comprises industrial scale vessels that are out at sea for 10-15 days. The fishing company has set up a suggestion/complaint box on each vessel where fishers can submit complaints or grievances while at sea. The skipper does not have access to the submitted claims, and they are reviewed by management once the vessel returns to shore after each trip.

In speaking with management you learn that more often than not, there are no submissions to the suggestion box, and management does not know why.

In a group interview with fishers, when asked about this suggestion/complain box, they said they knew where it was and what it was for, but never used it because they've never seen any follow-up. Fishers believed there was no point bringing up an issue because they did not know what would happen to the complaint once it was submitted and doubted any improvements would be made. A migrant worker mentioned they can't write in the local language, therefore they can't write out their complaints.

In a key informant interview, another fisher mentioned they once had a complaint about management, but did not want to submit a complaint in the suggestions/complaint box as they knew the manager would be reviewing and did not feel comfortable submitting the complaint.

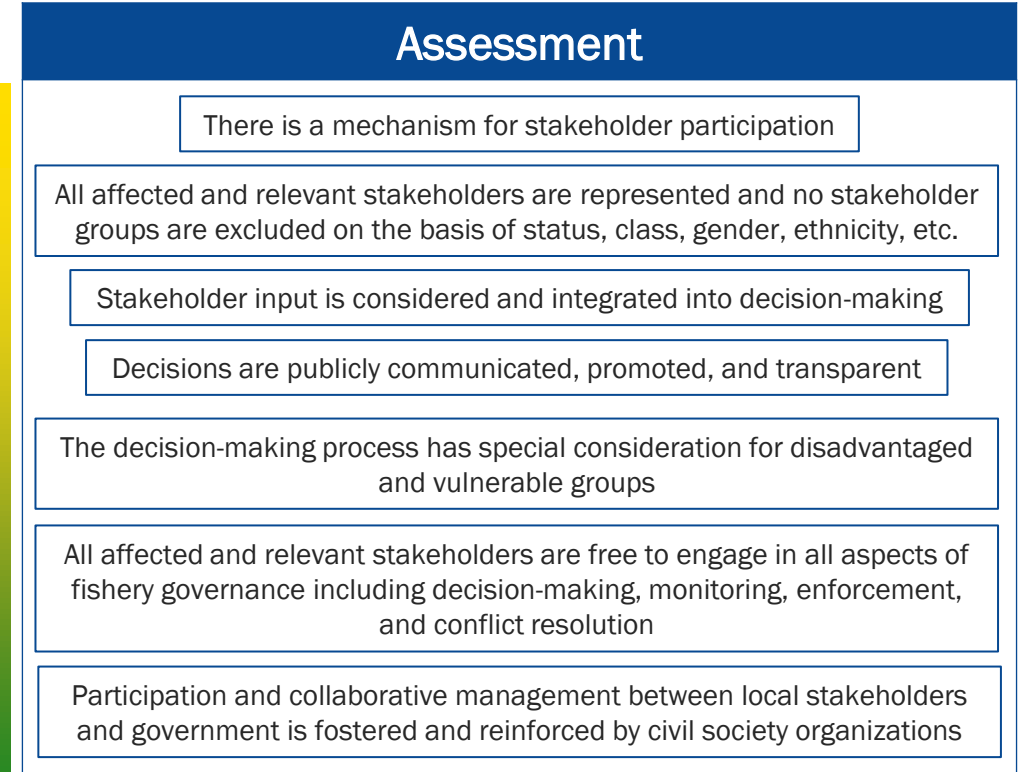
- 1) Think of the 8 criteria of an effective grievance mechanism. Indicate the ways in which this company can improve the effectiveness of their grievance channel?
- 2) Can you identify any key gaps in the grievance mechanism in place? How might you suggest you can improve the channels of communication to better address fisher complains in this fishery?



2.1.2 STAKEHOLDER PARTICIPATION AND COLLABORATIVE MANAGEMENT

Using a stakeholder approach to the development of company policies and procedures can be vital to improve the workplace for all parties involved. This can be in the form of a *worker committee(s)*, or regular *communication between workers and management*, for example.

Within communities of small-scale fishers, this can be a function within cooperatives, or between cooperatives and other stakeholders in the community, including management units managing the resource.



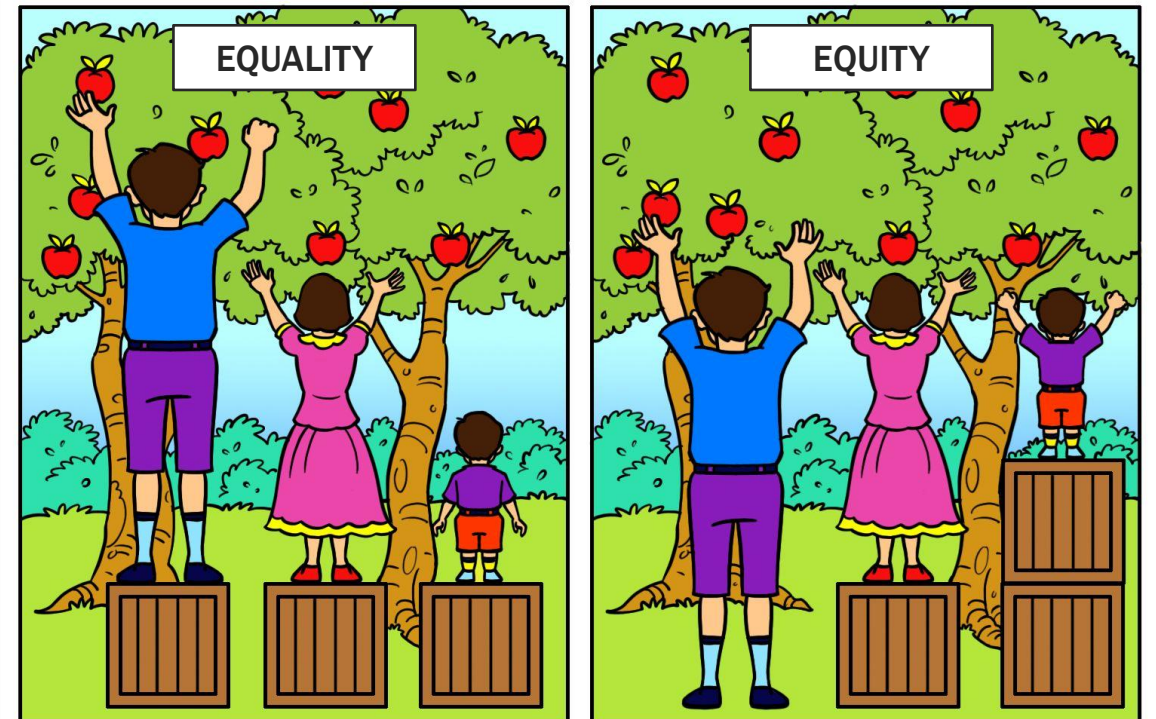
2.2.1 EQUITABLE OPPORTUNITIES TO BENEFIT ARE ENSURED TO ALL, THROUGH THE ENTIRE SUPPLY CHAIN

EQUALITY

The same status, rights, and responsibilities for all members of a society, group, or family; giving everyone *the same resources* regardless of their relative ability to benefit.

EQUITY

An equal opportunity to benefit; giving everyone the resources they need to *derive the same benefits*, dependent on their relative ability to benefit.



Applicability:

2.2.1 Does the fishery/farm employ women or other marginalized groups (i.e., migrants, ethnic, or religious minorities)?	If YES, score 2.2.1 Equitable opportunity to benefit
--	--



2.2.1 EQUITABLE OPPORTUNITIES TO BENEFIT ARE ENSURED TO ALL, THROUGH THE ENTIRE SUPPLY CHAIN

EQUALITY

The same status, rights, and responsibilities for all members of a society, group, or family; giving everyone *the same resources* regardless of their relative ability to benefit.

EQUITY

An equal opportunity to benefit; giving everyone the resources they need to *derive the same benefits*, dependent on their relative ability to benefit.

Assessment

There is equal access to opportunity to benefit from the fishery/farm regardless of gender, ethnicity, religion, sexual orientation, class, migrant status, political affiliation, etc.

If there is not equal access at the time of assessment, there is a strategy in place to address inequity

There is equal access, and marginalized groups are in leadership positions or positions of power

Gender transformative policies and research programs are in place when women participate in the farm/fishery (e.g. routine collection of disaggregated gender data)

Applicability:

2.2.1	Does the fishery/farm employ women or other marginalized groups (i.e., migrants, ethnic, or religious minorities)?	If YES, score 2.2.1 Equitable opportunity to benefit
-------	--	--



2.2.1 EQUITABLE OPPORTUNITIES TO BENEFIT ARE ENSURED TO ALL, THROUGH THE ENTIRE SUPPLY CHAIN

Integrating a Gender Lens:

Gender inequalities are pervasive across fisheries: for example, unequal pay and benefits, unequal remuneration, and gender-based harassment are just a few issues an assessor may come across. According to the FAO, although *women account for less than 10% of employment in the industrial sector, they comprise the majority of the workforce in processing and packing plants.*

Additionally, women rarely occupy leadership or managerial positions in seafood value chains, despite their significant contributions to the value-add they provide in the supply chain and their role in securing household protein availability in their communities.



In the context of the assessment, some questions to consider:

- + What is the existing state of gender dynamics in the target area?
- + What are the different ways that men and women access, use, and control resources, goods, and services?
- + What are the main gender-based constraints to gaining equal access to resources and benefits?
- + What gender-specific variables will need to be addressed when conducting the social assessment?
- + What forms or methods of communication best reach women? And men?
- + How might conducting a social assessment impact social gender structures? (e.g., time constraints on a particular gender, or impact on traditional rights)



2.2.2 DISCRIMINATION

Discrimination is any *distinction, exclusion, or preference* made on the basis of race, color, gender, religion, political opinion, immigration status, national extraction, disability, family responsibilities, sexual orientation, HIV/AIDS status, trade union membership, trade union activities, or social origin, which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation.

Assessment

Workers/fishers/farmers receive equal pay for work of equivalent value

There is no discrimination in recruitment, promotion, access to training, access to permits, remuneration, allocation of work, termination, retirement, ability to join a union, join a cooperative, or other.

There is no discrimination in access to benefits

There is no compulsory pregnancy testing for female workers/fishers/farmers

There is a proactive anti-discrimination policy implemented through procedures and practices, and posted in languages workers understand

Managers and workers are aware of and are trained on the anti-discrimination policy



PRINCIPLE 3 INCLUDES THE FOLLOWING INDICATORS:

PRINCIPLE	COMPONENT	PI	PERFORMANCE INDICATOR
3 Improve food, nutrition, and livelihood security	3.1 Food and nutrition security	3.1.1a	Food and nutrition security impacts of industrial fisheries
		3.1.1b	Food and nutrition security for small-scale fishing communities
		3.1.2	Healthcare
		3.1.3	Education
	3.2 Livelihood security	3.2.1	Benefits to and within community
		3.2.2	Economic value retention
		3.2.3	Long-term profitability and future workforce
		3.2.4	Economic flexibility and autonomy
		3.2.5	Livelihood security
		3.2.6	Fuel resource efficiency



SEAFOOD SECTOR SNAPSHOT

- + Fisheries and aquaculture play a crucial role for food security and nutrition—directly by providing healthy and highly nutritional food and indirectly by providing income.
- + Increasingly, the seafood sector is threatened by many challenges—such as increased global demand for fish, competition over water and coastal areas, overexploitation of resources, and climate change.
- + These challenges also threaten countries and communities dependent on the seafood sector for economic development and food security (i.e., Pacific Island countries where more than 50% of the Western and Central Pacific Ocean tuna catch is taken).
- + Food security, nutrition, and livelihoods concerns are not well factored into fisheries-related policy measures due to the overall lack of knowledge about their linkages as well as poor coordination across the respective policy domains.

Food, Nutrition, and Livelihood Security Considerations:

Where might activities of the company impact livelihoods and food security (e.g., restrictions on access to natural resources or modification of the local economy inclusive of impacts for small-scale fisheries and fishing communities)?

When found, can operations be modified to avoid those impacts?

Do livelihood and food security impacts arise solely from the company's activities, or is there a cumulative impact due to operations of other companies or operating jurisdiction, as well?

If the latter, what kind of sector or regional cooperation could help to address these impacts?



STEPS TO ASSESSING AND ADDRESSING FOOD AND LIVELIHOOD SECURITY

1. Understand and support human rights

2. Map issues at a national level

3. Assess severity of impact at a regional and community level

4. Implement activities to avoid and mitigate harms

5. Encourage peer to peer learning networks



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3.1.1 FOOD AND NUTRITION SECURITY OF...

3.1.1a Industrial Fisheries

3.1.1a Small-scale Fisheries

Assessment

The fishery/farm is adjacent to or offshore of a marine/coastal resource-dependent community or fishing for the same resource and the local community is not food insecure OR

The majority of the catch is retained for local consumption, or the community in question is not food insecure

Assessment

No food/nutrition insecurity of workers/fishers/farmers and their communities

If there is food/nutrition insecurity, local data shows that it is improving

There are programs in place to ensure international or export trade agreements which affect fisher/farm do not result in food/nutrition security

Food and nutrition security:

When all people at all times have physical, social, and economic access to food, which is consumed in a sufficient quantity and quality to meet their dietary needs and food preferences.

Applicability:

3.1.1a	Does the fishery/farm operate adjacent to or offshore of a marine/coastal resource-dependent community(ies) (within the country's EEZ) and is industrial to medium-scale?	If YES, score 3.1.1a Food and nutrition security impacts of industrial fisheries	
3.1.1b	Does the fishery/farm pertain to a	If YES, score 3.1.1b Food and nutrition	



3.1.1 FOOD AND NUTRITION SECURITY OF...

3.1.1a Industrial Fisheries

Assessment

The fishery/farm is operating offshore in a marine resource-dependent community or fishing for the same resource and the local community, but active measures are being taken to address impacts.
OR
The majority of the catch is not retained for local consumption, or the community in question is food insecure, but active measures are being taken to address these impacts

The fishery/farm is not operating offshore in a marine resource-dependent community or fishing for the same resource and the local community
OR
The majority of the catch is retained for local consumption, or the community in question is not food insecure

3.1.1b Small-Scale Fisheries

Assessment

The country is food/nutrition secure or low to moderate risk in an assessment

International or export trade agreements which affect the fishery/farm have not resulted in food/nutrition insecurity of workers/fishers/farmer or their communities

The local community is food insecure according to an assessment, but active measures are being taken to address these impacts

No food/nutrition insecurity of workers/fishers/farmers and their communities

If there is food/nutrition insecurity, local data shows that it is improving

There are programs in place to ensure international or export trade agreements which affect fisher/farm do not result in food/nutrition security

Applicability:

3.1.1a	Does the fishery/farm operate adjacent to or offshore of a marine/coastal resource-dependent community(ies) (within the country's EEZ) and is industrial to medium-scale?	If YES, score 3.1.1a Food and nutrition security impacts of industrial fisheries	
3.1.1b	Does the fishery/farm pertain to a marine/coastal resource-dependent community(ies)?	If YES, score 3.1.1b Food and nutrition security for small-scale fishing communities	
3.1.2		If YES, score 3.1.2 Healthcare	
3.1.3			
3.1.4			



3.1.2 & 3.1.3

Access to healthcare and education are internationally recognized as 2nd generation human rights.

3.1.2 Healthcare

Assessment

The community's healthcare needs have been assessed

The community's healthcare needs are not of concern

Resources are being invested to address any needs uncovered

Women have adequate access to reproductive healthcare

Local data shows improving healthcare

3.1.3 Education

Assessment

The community's education needs have been assessed

The community has adequate literacy and schooling rates

Girls and boys do not have different rates of educational attainment

There are resources being invested to address the educational needs of the community

There is universal access to education through a secondary level, via remote learning where relevant, or access to technical school or university

Literacy Rate
Is 90% or more among youth aged 15-24

Enrollment
Less than 10% of primary school-age children are out of school

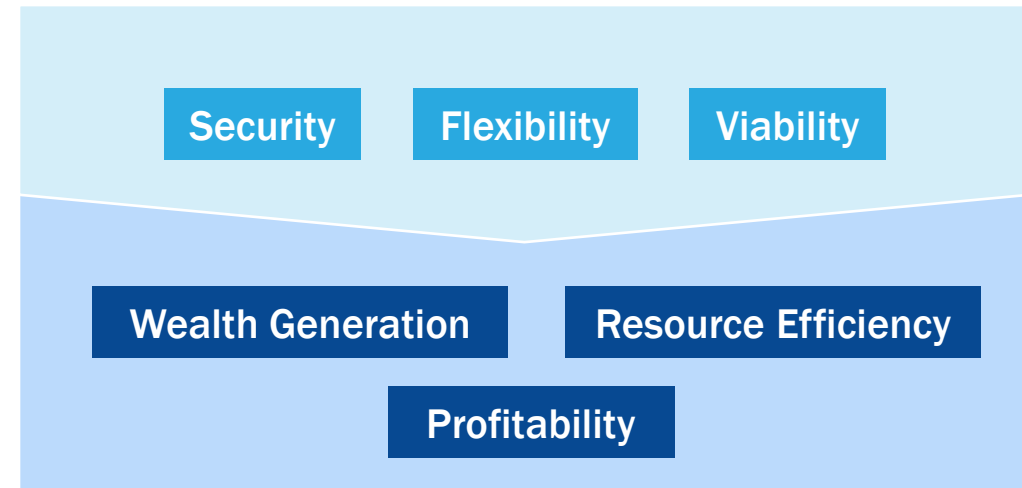
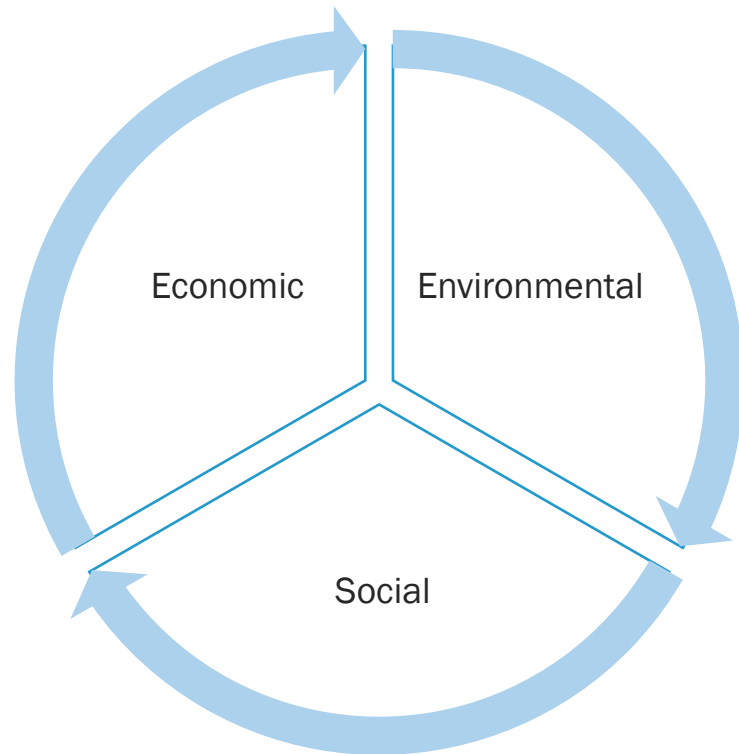
Applicability:

3.1.1b	Does the fishery/farm pertain to a marine/coastal resource-dependent community(ies)?	If YES, score 3.1.1b Food and nutrition security for small-scale fishing communities	
3.1.2		If YES, score 3.1.2 Healthcare	
3.2.1		If YES, score 3.1.3 Education	



SOCIAL AND ECONOMIC PERFORMANCE IN SEAFOOD SUPPLY CHAINS

Fishers may disregard environmental management strategies as a result of uncertain or negative socioeconomic impacts, which then undermines the ability to realize desired sustainability outcomes. Sustainability must encompass social, economic, and environmental outcomes to truly be successful.



[SFP \(2016\)](#). "A Method for Measuring Social and Economic Performance of Fisheries."



3.2.1 & 3.2.2

3.2.1 Benefits to and within community

Assessment	
People from within the community hold at least some resource access rights or permits	
Consideration is paid to hiring local workforce	
The majority of harvesting workforce is comprised of local residents	
People from within the community hold the majority of resource access rights or permits	
Majority of livelihoods and economic benefits from fishery/farm are distributed and retained locally	
High employment rates of women in local jobs created by the fishery/farm	

3.2.2 Economic value retention

Assessment	
The ratio of gross added value to turnover is between 47%-57%	
The ratio of gross added value to turnover is above 57%	
Formalized training is provided to fishers/farmers in how to add value to their product	

Ratio of gross added value added to turnover:

A metric useful for understanding the *economic value retained by the vessel owner, worker, fisher, or farmer*. This metric is calculated by dividing Gross Added Value by income (GAV/Income). Gross Added Value is defined as the grand total of all revenues, from final sales and (net) subsidies in a business, which is then used to cover expenses (wages & salaries, dividends), savings (profits, depreciation), and (indirect) taxes ([SFP \(2016\)](#)).

Applicability:

3.1.1b	Does the fishery/farm pertain to a marine/coastal resource-dependent community(ies)?	If YES, score 3.1.1b Food and nutrition security for small-scale fishing communities	
3.1.2		If YES, score 3.1.2 Healthcare	
3.1.3		If YES, score 3.1.3 Education	
3.2.1		If YES, score 3.2.1 Benefits to and within community	
3.2.2	Is the fishery/farm operating for	If NO, score 3.2.2 Economic value retention	



3.2.3 & 3.2.4

3.2.3 Long-term profitability and future workforce

Assessment

Long-term average operating profit margin is between 11%-18%

Average age of workers/fishers/farmers is close to the average age in the country, and new individuals are joining the workforce

Long-term average operating profit margin is above 18%

New workers, including women, are being recruited into the workforce

Women are increasingly taking leadership roles in the supply chain and communities

Operating profit margin:

Ratio of operating profit to turnover. Operating profit is defined as the difference between the turnover and all operating costs (SFP 2016).

3.2.4 Economic flexibility and autonomy

Assessment

If applicable, interest rates charged to fishers/farmers are transparent and agreed upon in advance

There is more than one local fish buyer, and harvesters are free to sell to whomever

There is no price collusion among local buyers

Fishers/farmers know the quality expected of the product, how the price is calculated, and when they will be paid via a verbal contract with buyers

Fishers/farmers can access loans from at least two types of lenders with interest rates that do not exceed government rates

Fishers/farmers are organized into groups to better negotiate with buyers and may be price setters

Written contracts are signed between fishers/farmers and buyers

When applicable, buyers support fishers/farmers through sharing of costs of certification and training

Fishers/farmers have access to competitive credit markets or are recipients of investment opportunities

Applicability:

3.2.2	Is the fishery/farm operating for subsistence purposes only?	If NO, score 3.2.2 Economic value retention	
3.2.3		If NO, score 3.2.3 Long-term profitability and future workforce	
3.2.4	Do fishers/farmers or their organization (i.e., cooperative, association, etc.) sell their own product?	If YES, score 3.2.4 Economic flexibility and autonomy	



3.2.5 & 3.2.6

3.2.5 Livelihood security

Assessment
Fishers/farmers/workers work under a license(s) or are recognized as part of a legal workforce
Fishers/farmers/workers have harvesting access to more than one species/species group
Fishers/farmers/workers have access to fishing/farming gear needed to fulfill livelihood responsibilities
Fishers/farmers/workers or someone in their household have alternative livelihoods outside of the fishery or farm
Male and female fishers/farmers/workers have formal, legal, access to a portfolio of species/species groups and gear types
Male and female fishers/farmers/workers have ownership over the gear needed to fulfill livelihood responsibilities
Male and female fishers/farmers/workers have access to professional development training or capacity building

3.2.6 Fuel resource efficiency

Assessment
Ratio of true vessel fuel costs (including subsidy) divided by fish sales is between 13%-18%
Ratio of true vessel fuel costs (including subsidy) divided by fish sales is below 13%

Applicability:

3.2.5	Is the fishery/farm contributing to local livelihood security?	If YES, score 3.2.5 Livelihood security	
3.2.6	Is the fishery/farm operating for subsistence purposes only?	If YES, score 3.2.6 Fuel resource efficiency	



Day 2 Recap and Questions

DAY 3 RECAP & CLOSING

1. The SRA's role in the seafood industry: you should understand how and why it emerged and how it was developed.
2. SRA content: you should have a good understanding of the topic areas covered by the SRA, their purpose, and how they are assessed under the SRA framework.

Thank you for your participation in the SRA Training.

You will be receiving a follow up email with a confirmation of training completion. In this email, there will also be a link to a feedback survey to provide feedback on the SRA training. This feedback will be an input into updated iterations of the training, so we greatly appreciate your feedback.

If you have any additional questions, please reach out to SRAsupport@elevatelimited.com



APPENDIX

APPENDIX 1: SRA DURATION ESTIMATE



Step 1:
Determine amount of time needed to conduct interviews.

Interview Sample	Number of Days
1-5	0.5
6-10	1.0
11-15	1.5

Step 2:
Determine amount of time needed for vessel inspections (applicable only for UoAs with vessels).

Vessel Sample	Number of Days
1 - 10	1.0
11 - 20	1.5
21 - 30	2.0

Step 3:
Determine amount of time needed based on the number of sites.

Number of Sites	Number of Days
2-5	1.0
6-10	1.5
>10	2.0

Step 4:
Determine amount of time needed for travel.

Travel time between sites	Number of Days
< 4 hours	0.5
4-8 hours	1.0
9-16 hours	1.5
17-24 hours	2.0

Step 5:
Add the total number of days from Steps 1-4 to determine the final estimated assessment duration.

Total minimum assessment days (estimate) = (sum of interview days at each site)
 + (sum of vessel inspection days at each site)
 + (number of days according to number of sites)
 + (number of days according to travel time between sites)
 + (0.5 days for desk research)
 + (1.0 day for report writing)



EXAMPLE: ASSESSMENT DURATION

Consider the following UoA:

There are a total of 6 landing sites. To visit each in a single trip would take 16 hours total of travel time.

Landing Site	Total Number of Fishers	Sample of Interviews	Total Number of Vessels	Sample of Vessels
Landing site 1	53	5	42	7
Landing site 2	267	15	20	5
Landing site 3	105	15	8	3
Landing site 4	92	5	12	4
Landing site 5	1,008	25	80	9
Landing site 6	32	5	35	6



EXAMPLE: ASSESSMENT DURATION

Consider the following UoA:

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Step 1

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Landing site 4	92	5	12	4
Landing site 5	1,008	25	80	9
Landing site 6	32	5	35	6

Variable	Landing Site 1	Landing Site 2	Landing Site 3	Landing Site 4	Landing Site 5	Landing Site 6	Total
Sample of Interviews (/site)	0.5 days	1.0 days	1.0 days	0.5 days	1.5 days	0.5 days	5.0 days
Sample of Vessels (/site)							
Total number of sites							
Travel Time between sites							
Desk Research and Report Writing							
Total SRA estimate:							



EXAMPLE: ASSESSMENT DURATION

Consider the following UoA:

There are a total of 6 landing sites. To visit each in a single trip would take 16 hours total of travel time.

Step 2

Vessel Sample	Number of Days
1 - 10	1.0
11 - 20	1.5
21 - 30	2.0

Landing Site	Total Number of Fishers	Sample of Interviews	Total Number of Vessels	Sample of Vessels
Landing site 1	53	5	42	7
Landing site 2	267	15	20	5
Landing site 3	105	15	8	3
Landing site 4	92	5	12	4
Landing site 5	1,008	25	80	9
Landing site 6	32	5	35	6

Variable	Landing Site 1	Landing Site 2	Landing Site 3	Landing Site 4	Landing Site 5	Landing Site 6	Total
Sample of Interviews (/site)	0.5 days	1.0 days	1.0 days	0.5 days	1.5 days	0.5 days	5.0 days
Sample of Vessels (/site)	1.0 days	1.0 days	1.0 days	1.0 days	1.0 days	1.0 days	6.0 days
Total number of sites							
Travel Time between sites							
Desk Research and Report Writing							
Total SRA estimate:							



EXAMPLE: ASSESSMENT DURATION

Consider the following UoA:

There are a total of **6 landing sites**. To visit each in a single trip would take 16 hours total of travel time.

Step 3

Number of Sites	Number of Days
2-5	1.0
6-10	1.5
>10	2.0

Landing Site	Total Number of Fishers	Sample of Interviews	Total Number of Vessels	Sample of Vessels
Landing site 1	53	5	42	7
Landing site 2	267	15	20	5
Landing site 3	105	15	8	3
Landing site 4	92	5	12	4
Landing site 5	1,008	25	80	9
Landing site 6	32	5	35	6

Variable	Landing Site 1	Landing Site 2	Landing Site 3	Landing Site 4	Landing Site 5	Landing Site 6	Total
Sample of Interviews (/site)	0.5 days	1.0 days	1.0 days	0.5 days	1.5 days	0.5 days	5.0 days
Sample of Vessels (/site)	1.0 days	1.0 days	1.0 days	1.0 days	1.0 days	1.0 days	6.0 days
Total number of sites	-	-	-	-	-	-	1.5 days
Travel Time between sites							
Desk Research and Report Writing							
Total SRA estimate:							



EXAMPLE: ASSESSMENT DURATION

Consider the following UoA:

There are a total of 6 landing sites. To visit each in a single trip would take 16 hours total of travel time.

Step 4	Travel time between sites	Number of Days
	< 4 hours	0.5
	4-8 hours	1.0
	9-16 hours	1.5
	17-24 hours	2.0

Landing Site	Total Number of Fishers	Sample of Interviews	Total Number of Vessels	Sample of Vessels
Landing site 1	53	5	42	7
Landing site 2	267	15	20	5
Landing site 3	105	15	8	3
Landing site 4	92	5	12	4
Landing site 5	1,008	25	80	9
Landing site 6	32	5	35	6

Variable	Landing Site 1	Landing Site 2	Landing Site 3	Landing Site 4	Landing Site 5	Landing Site 6	Total
Sample of Interviews (/site)	0.5 days	1.0 days	1.0 days	0.5 days	1.5 days	0.5 days	5.0 days
Sample of Vessels (/site)	1.0 days	1.0 days	1.0 days	1.0 days	1.0 days	1.0 days	6.0 days
Total number of sites	-	-	-	-	-	-	1.5 days
Travel Time between sites	-	-	-	-	-	-	1.5 days
Desk Research and Report Writing							
Total SRA estimate:							



EXAMPLE: ASSESSMENT DURATION

Consider the following UoA:

There are a total of 6 landing sites. To visit each in a single trip would take 16 hours total of travel time

Step 5

Total minimum assessment days (estimate) = (sum of interview days at each site)
 + (sum of vessel inspection days at each site)
 + (number of days according to number of sites)
 + (number of days according to travel time between sites)
 + (0.5 days for desk research)
 + (1.0 day for report writing)

Landing Site	Total Number of Fishers	Sample of Interviews	Total Number of Vessels	Sample of Vessels
Landing site 1	53	5	42	7
Landing site 2	267	15	20	5
Landing site 3	105	15	8	3
Landing site 4	92	5	12	4
Landing site 5	1,008	25	80	9
Landing site 6	32	5	35	6

Variable	Landing Site 1	Landing Site 2	Landing Site 3	Landing Site 4	Landing Site 5	Landing Site 6	Total
Sample of Interviews (/site)	0.5 days	1.0 days	1.0 days	0.5 days	1.5 days	0.5 days	5.0 days
Sample of Vessels (/site)	1.0 days	1.0 days	1.0 days	1.0 days	1.0 days	1.0 days	6.0 days
Total number of sites	-	-	-	-	-	-	1.5 days
Travel Time between sites	-	-	-	-	-	-	1.5 days
Desk Research and Report Writing	-	-	-	-	-	-	1.5 days
Total SRA estimate:							15.5 days



CASE STUDY 4: ESTIMATING SRA DURATION

You will now be separated into groups. In your groups, you will estimate of the duration of an SRA with the following UoA information:

The UoA comprises 3 landing sites:

The travel time between sites is a total of **8 hours**.

Using ELEVATE's recommended methodology, what is the minimum amount of time recommended to allocate to the SRA for this UoA?

Characteristic	Landing Site 1	Landing Site 2	Landing Site 3
Number of Fishers	100	600	50
Number of Vessels	100	80	10

Variable	Landing Site 1	Landing Site 2	Landing Site 3	Total
Days according to Sample of Interviews (/site)				
Days according to Sample of Vessels (/site)				
Days according to Total number of sites				
Days according to Travel Time between sites				
Days for Desk Research and Report Writing				
<i>Total SRA Duration estimate:</i>				



CASE STUDY 4: ESTIMATING SRA DURATION

You will now be separated into groups. In your groups, you will determine an estimate of the duration of an SRA with the following UoA information:

The UoA comprises 3 landing sites:

The travel time between sites is a total of **8 hours**.

Using ELEVATE's recommended methodology, what is the minimum amount of time recommended to allocate to the SRA for this UoA?

Characteristic	Landing Site 1	Landing Site 2	Landing Site 3
Number of Fishers	100	600	50
Number of Vessels	100	80	10

Variable	Landing Site 1	Landing Site 2	Landing Site 3	Total
Days according to Sample of Interviews (/site)	1.0 days	1.0 days	0.5 days	2.5 days
Days according to Sample of Vessels (/site)	1.0 days	1.0 days	1.0 days	3.0 days
Days according to Total number of sites				1.0 days
Days according to Travel Time between sites				1.0 days
Days for Desk Research and Report Writing				1.5 days
<i>Total SRA Duration estimate:</i>				9.0 days



APPENDIX 2: HUMAN RIGHTS



WHAT ARE HUMAN RIGHTS?

Human rights are the basic rights and freedoms that are universal – they belong to every person in the world



WHAT ARE HUMAN RIGHTS?

Human rights theory also defines human rights along individual and collective rights, with three “generations” of human rights:

1st Generation: Civil and Political Rights

Includes the right to vote, freedom of assembly, freedom of speech and religion, right to a fair trial, and freedom of association.

CATEGORIES OF HUMAN RIGHTS

All human rights are indivisible and no human right shall be prioritized at the expense of another



WHAT ARE HUMAN RIGHTS?

Human rights theory also defines human rights along individual and collective rights, with three “generations” of human rights:

**1st Generation:
Civil and Political Rights**

**2nd Generation:
Economic, Social, and Cultural Rights**

Includes the right to adequate food and housing, right to education, right to health, right to work, right to water and sanitation.

CATEGORIES OF HUMAN RIGHTS

All human rights are indivisible and no human right shall be prioritized at the expense of another



WHAT ARE HUMAN RIGHTS?

Human rights theory also defines human rights along individual and collective rights, with three “generations” of human rights:

**1st Generation:
Civil and Political Rights**

**2nd Generation:
Economic, Social, and Cultural Rights**

**3rd Generation:
Collective Rights**

Collective or group rights provide for rights at a collective level for communities, populations, societies or nations. Collective rights may include the right to economic development, the right to breathe unpolluted air, the right to the lands/territories and resources which they have traditionally owned, and the right to live in a cohesive and harmonious society.

CATEGORIES OF HUMAN RIGHTS

All human rights are indivisible and no human right shall be prioritized at the expense of another

