



The Social Responsibility Assessment Toolkit

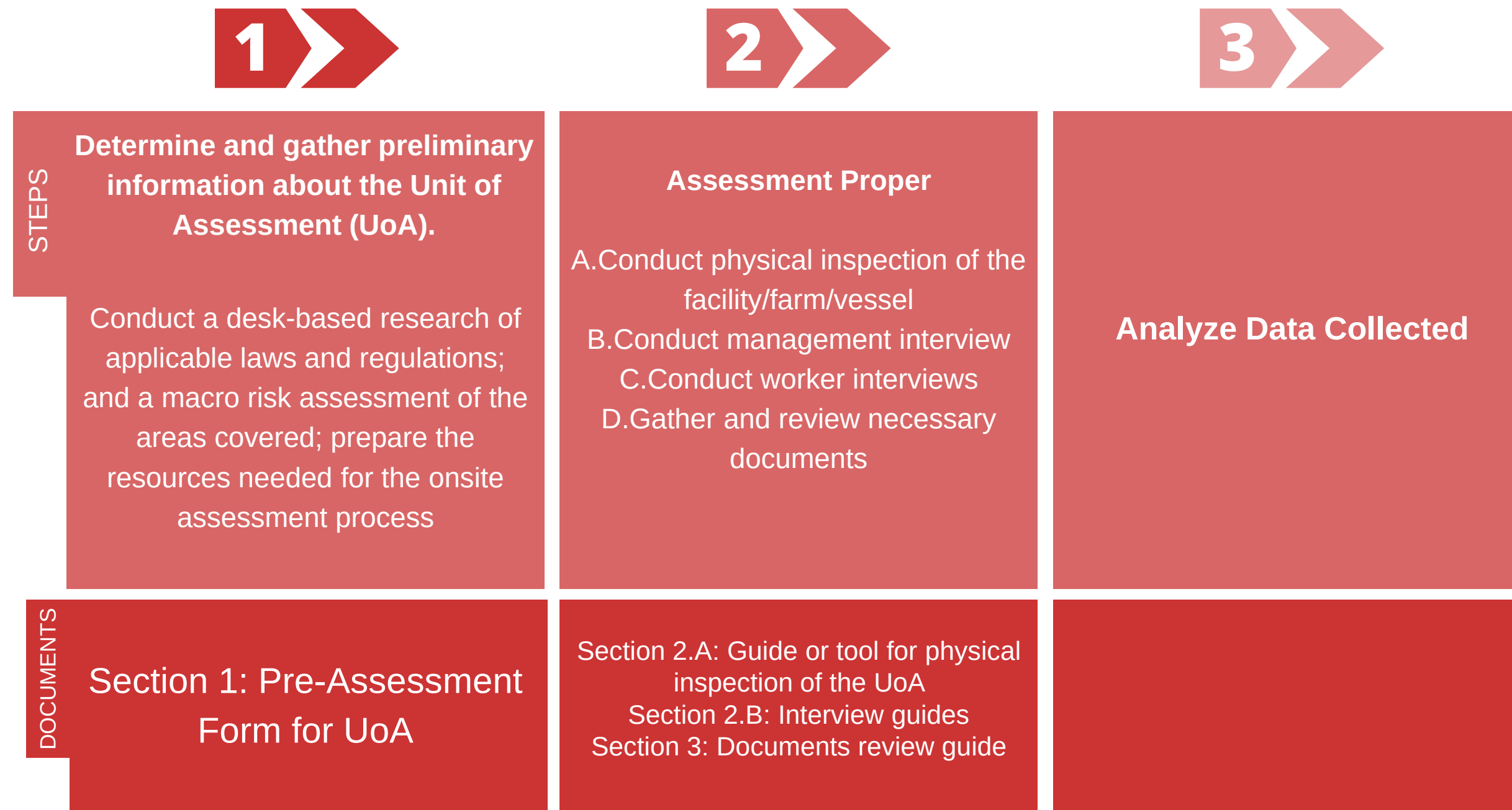
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Basic Assessment Steps

Basic Assessment Steps



Pre-assessment Form

I. PRE-ASSESSMENT FORM FOR THE UNIT OF ASSESSMENT (UOA)

- The pre-assessment form should be filled out by either the nominating entity or the company that will be assessed.
- This form provides the assessor information on the general profile of the UoA, and overview of its business operations and processes, as well as the profile of their workers. Gathering these ahead of the assessment proper will help the assessment team flag potential risk areas, gather additional information on legal and regulatory contexts, and identify which questions in the tools or guides will be applicable to the UoA, and if necessary, develop additional questions
- In addition, gathering practical information about the UoA will also assist the assessor in the logistical preparations of the assessment
- In this form, those in gray boxes are questions for vessels, and those uncolored cells can be answered by both land-based or sea-based UoAs.

Note: Those in gray boxes are for sea-based UoAs only, e.g., fishing vessels or transport vessels. If the UoA is a land-based facility or farm, those questions can be skipped.

UoA TYPE AND ACTIVITY	<input type="checkbox"/> Vessel <input type="checkbox"/> Fishing vessel <input type="checkbox"/> Transport vessel <input type="checkbox"/> Other, please specify: <input type="checkbox"/> Aquaculture farm <input type="checkbox"/> Land-based facility <input type="checkbox"/> Pre-processing <input type="checkbox"/> Processing <input type="checkbox"/> Distribution <input type="checkbox"/> Other, please specify:
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Name of UoA point person for coordination of assessment requirements	
Position	
Telephone and fax numbers	
Mobile Phone Number	
Email	
Target date/s of assessment	

UOA PROFILE

UoA (facility/farm/vessel) name	
UoA registered business address	

FOR VESSELS ONLY	
Vessel name (if different from UoA Name)	
Vessel flag state/s	

Vessel and/or fishing license no.	
Vessel and/or fishing license expiration date	
Captain name	

Port where vessel will be docked during the assessment	
Address	

Parent Company or Headquarters' Legal Business Name	
Headquarters' Address (including Province, City, State, Country, & Postal Code)	
Telephone & fax numbers	
Email	

MANAGEMENT AND STAFF INFORMATION

Manager Name	
Telephone & fax numbers	
Mobile phone number	
Email	
Persons in-charge of:	
Human resources	
Wages / Accounting & payroll	
Occupational health & safety	
Environmental safety	
For vessels: Vessel operations manager	

COMPANY CHARACTERISTICS

List the seafood species the company handles, e.g., tuna, shrimp, etc.	
Describe the different activities conducted in the facility/farm/vessel mentioning primary types of operation performed	
Physical description of UoA if land-based:	
Lot area in square meters	
Number of production buildings and floors per building:	
Estimate of floor area in square meters	
Number and size of Warehouses or other Storage Buildings	

Physical description if UoA is a vessel	
Deadweight (in metric tonnes)	
Gear type	<input type="checkbox"/> Longline <input type="checkbox"/> Purse-seine <input type="checkbox"/> Trawling

	<input type="checkbox"/> Other, please specify:
Average length of the trip	
Fishing areas/fishing grounds	
Fish landing areas	

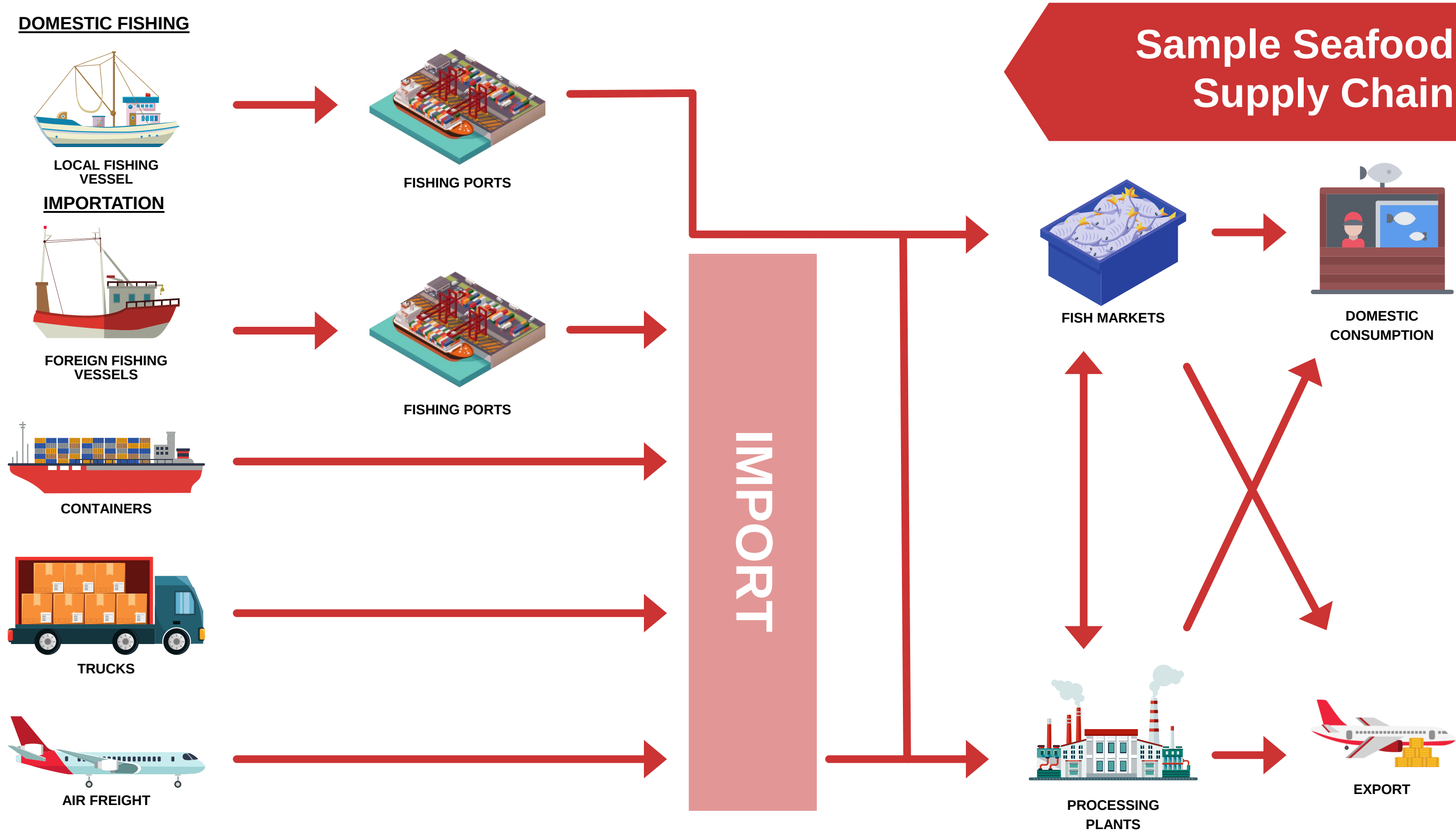
UOA's STAKEHOLDERS

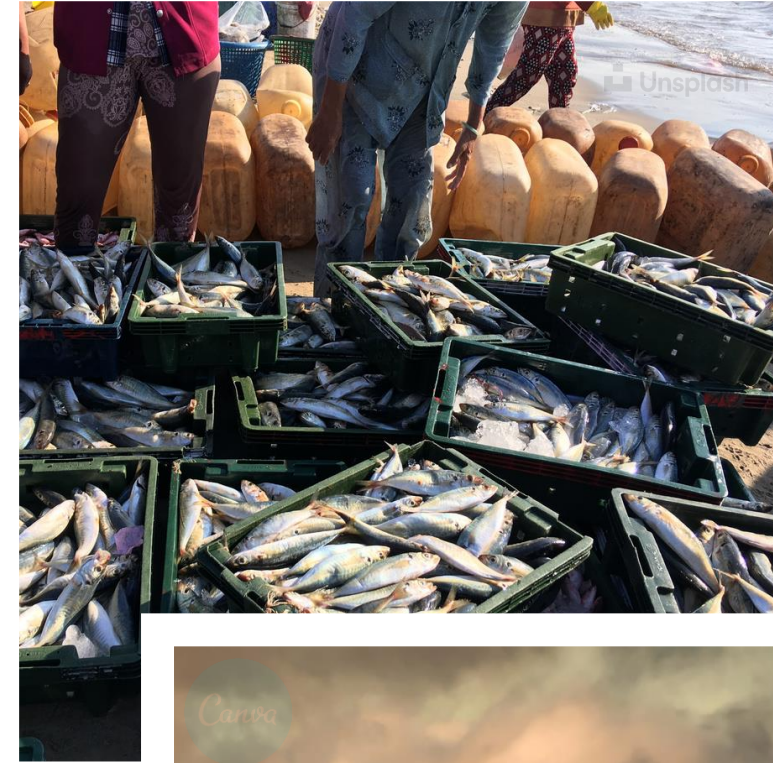
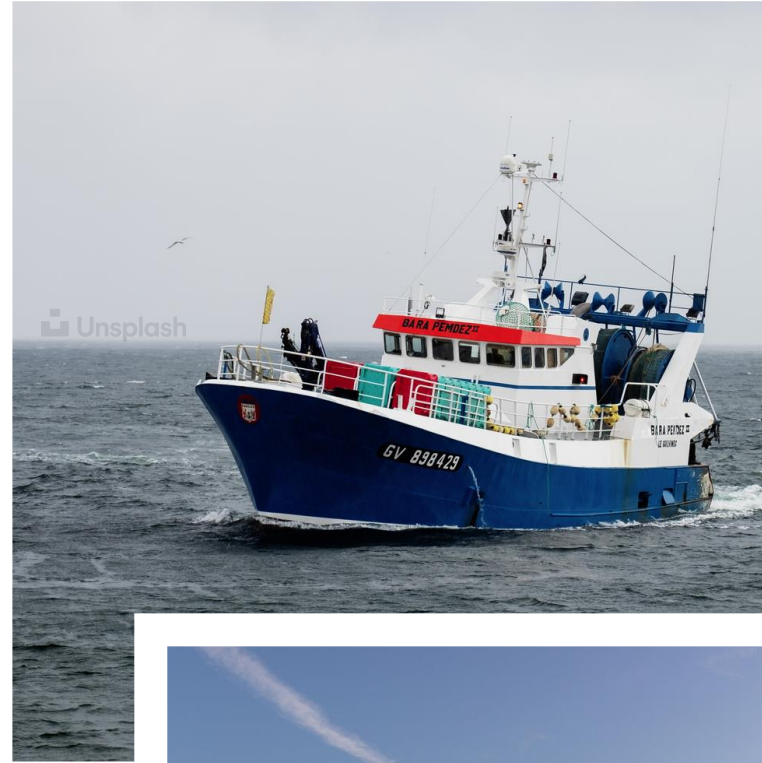
Name of union and name of union president	
Name of cooperative and name of cooperative president	
UoA's key suppliers e.g., service providers, contractors and suppliers, excluding labor brokers and private employment/ recruitment agencies	[Type of service/good supplied and name of service providers/suppliers] a. / b. / c. / d. /
Optional: UoA's key buyers	

WORKFORCE CHARACTERISTICS

Please indicate the type of workers present in your facility/farm/vessel, and the total number of workers for each category. Please count employees only once.	
<input type="checkbox"/> Management	[Type the number of workers]
<input type="checkbox"/> Office/administrative staff	
<input type="checkbox"/> Supervisory	
<input type="checkbox"/> Medical staff	
<input type="checkbox"/> Directly employed, regular workers	
<input type="checkbox"/> Directly employed, temporary or seasonal workers	
<input type="checkbox"/> Contractual workers (not direct employees of the company)	
<input type="checkbox"/> Outsourced or subcontracted workers (workers employed by a staffing or employment agency/company)	
<input type="checkbox"/> Apprentice/trainee workers	
<input type="checkbox"/> Security staff:	# Directly employed: # Subcontracted:
<input type="checkbox"/> Cleaning staff:	# Directly employed: # Subcontracted?
<input type="checkbox"/> Canteen workers:	# Directly employed: # Subcontracted?
<input type="checkbox"/> Other types of workers, please specify:	
TOTAL WORKFORCE POPULATION:	

Determining the Unit of Assessment







The Pre-assessment form for the Unit of Assessment would need the following information:

- ✓ UoA Profile
- ✓ Management and Staff Information
- ✓ Company Characteristics
- ✓ UoA's Stakeholders
- ✓ Workforce Characteristics
- ✓ Employee Housing
- ✓ Documents Checklist
- ✓ Travel Information for the Assessment Team
- ✓ UoA's Assessment History

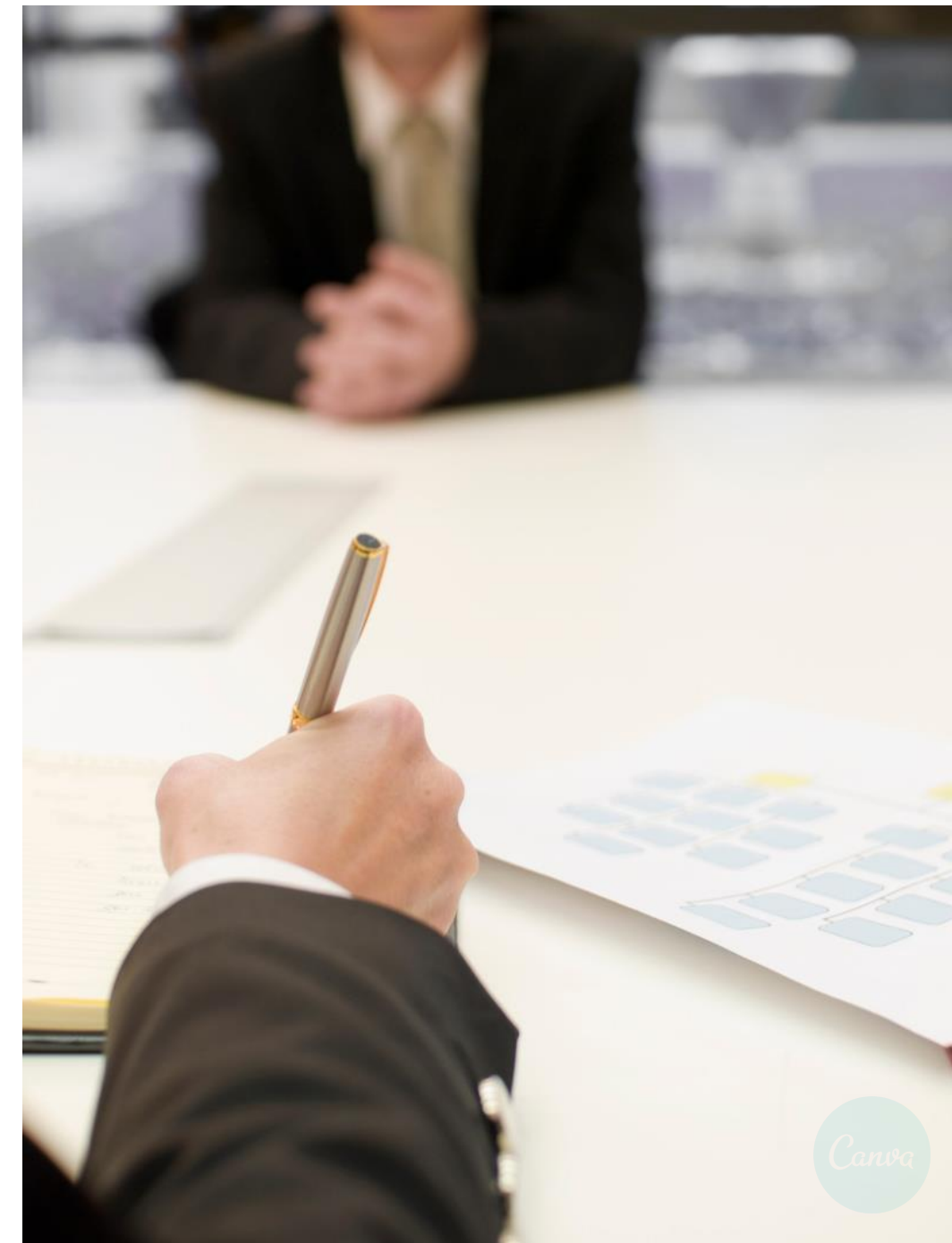
Assessment Tools

 Unsplash





A. Guidance or tool for physical inspection of the Unit of Assessment



B. Guides for management interviews and worker interviews



A. Guidance or tool for physical inspection of the Unit of Assessment

Health and Safety:

1. Medical services and first aid
2. Fire protection
3. Personal protective equipment


B. INTERVIEW GUIDES

Managers/management staff and workers are key source assessments.

From the management side, a social assessment would representatives of human resources, sustainability, health, social responsibility, and worker or crew management, departments. Part of the pre-work of the assessment team should be interviewed for a specific section or type of to agencies or labor contractors are involved, they are to be management interview portion of the assessment as well.

Choosing the workers to interview is an equally important already established the profile of the workforce the UoA pre-assessment form.

While the questions are clustered around a particular to opt to reorganize and ask the questions in a different sequence establishing a background and general context; or follow

**FYI!** Management should be able to provide the employees/workers, but the assessor/assessment team interview. In doing so, the assessor should ensure fair groups or types of workers:

- Workers' job roles and duties
- Workers with different contract terms, e.g., regular etc.)
- Nationality or citizenship, e.g., local and foreign
- Gender
- Length of service or number of years/months with company/UoA
- In addition, if the UoA has a large number of vulnerable population (or "protected class") it or from different labor brokers or recruitment population groups.

B.1 MANAGEMENT INTERVIEW FORM

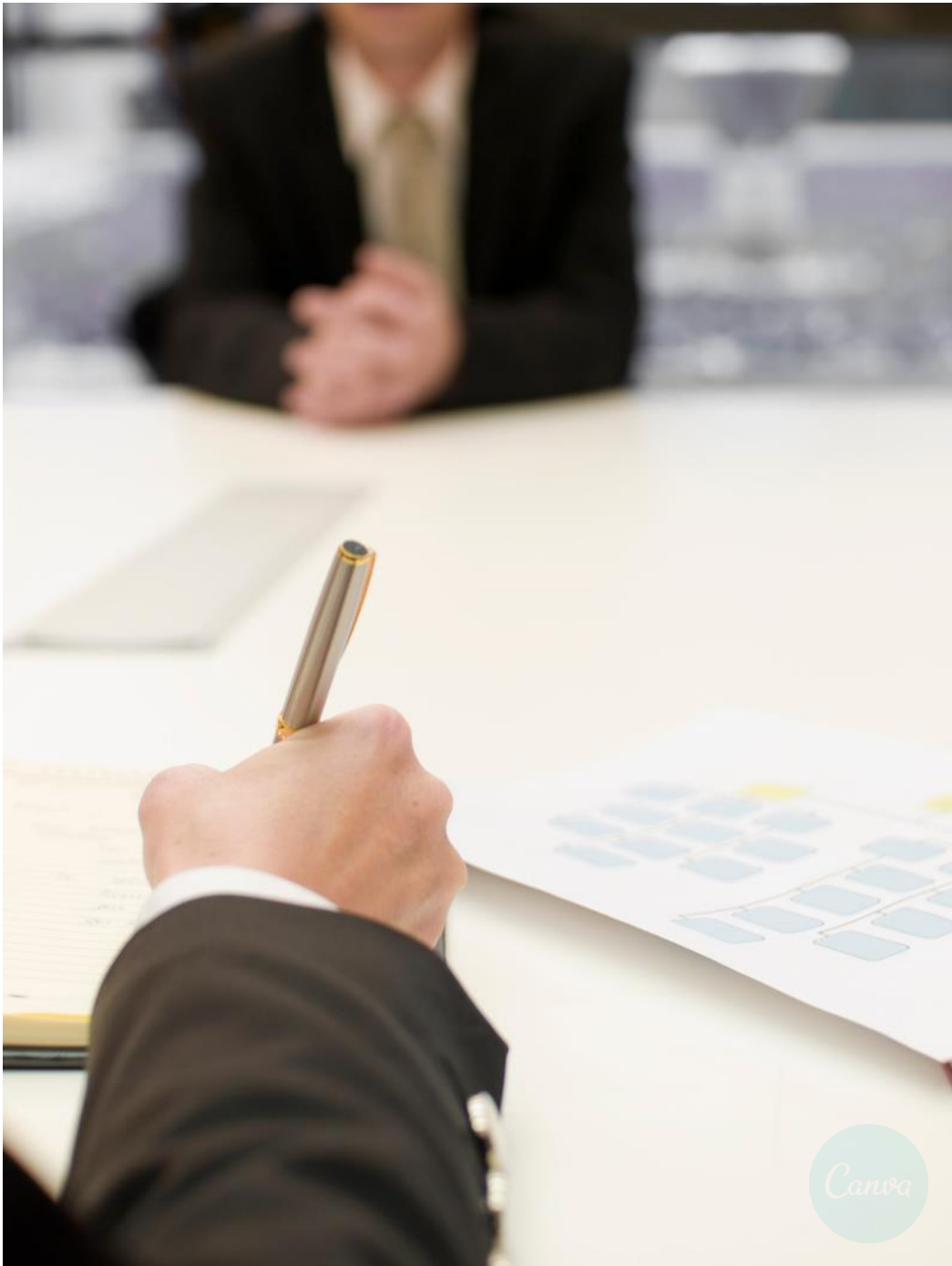
Note: Those in gray boxes are for vessel/sea-based UoAs only, e.g., fishing vessels or transport vessels. If the UoA is a land-based facility or farm, those questions can be skipped.

INTRODUCTION AND INFORMED CONSENT

Example: This study is being conducted on behalf of researchers from a non-profit organization called Conservation International. Our organization's goal is to protect nature for the benefit of human wellbeing. The purpose of this study is to better understand the safety, protection, and wellbeing of workers in this fishery, and to identify any conditions that could potentially become improved. We want to learn from your experiences working in this fishery, hear about your day-to-day work, and understand how this work contributes to your livelihood and wellbeing. We have a series of questions on these topics that should take no longer than 1 hour to complete. Participation in this is completely voluntary. You are free not to answer any questions and to discontinue your participation at any time. Your individual answers will be kept confidential and anonymous, and your name will not be recorded. There are no correct or incorrect responses so please feel free to express your opinions and share your experiences. Would you like to participate? If you have any questions, concerns, or complaints about this study, its procedures, risks, or benefits, please call: [insert contact number]

DEMOGRAPHIC INFORMATION AND OPENING QUESTIONS

Interviewee's name and designation	
How long have you worked for the UoA or the company being assessed?	
What, in general, are your roles and responsibilities?	
Can you explain the geographic scope of where your vessel operates?	
When are you in a specific fishing area?	
Off what country exclusive economic zones (EEZs) do you operate?	
Do you operate in the high seas?	



B. Guides for management interviews and worker interviews

A woman with dark, curly hair, wearing a purple top and a pearl earring, is seated at a desk. She is looking towards a man who is partially visible on the right side of the frame. The man is wearing a light-colored shirt and has his hands clasped. The background includes a potted plant on the left and a whiteboard on the right. A red rounded rectangle is overlaid on the image, containing the text 'Interviewing Workers'.

Interviewing Workers

Hi Bishal! Has anyone told you
what this interview is for?

B.2 WORKER INTERVIEW FORM

INTRODUCTION AND INFORMED CONSENT

Example: This study is being conducted by Conservation International, and other partner organizations. Conservation International is a non-profit Organization whose mission is to protect nature for the benefit of human wellbeing. The purpose of this study is to better understand the safety, protection, and wellbeing of workers in this fishery, and to identify any conditions that could potentially become improved. We want to learn from your experiences working in this fishery, hear about your day-to-day work, and understand how this work contributes to your livelihood and wellbeing. In this interview, we have a series longer than an hour to complete.

Participation in this is completely voluntary. You can discontinue your participation at any time. Your individual answers will be kept confidential. The reports will only present group information. Please feel free to express your opinions and we will share the main results with you.

Would you like to participate? If you have any questions about procedures, risks, or benefits, please call: [in]

OPENING QUESTIONS

- 1. What is your name?
- 2. Where are you originally from?
- 3. How old are you?
- 4. How long have you worked for the company?
- 5. What does a normal day of work look like?

For vessel workers:

- 6. How did you learn about this job?
- 7. How much time do you spend at sea?

HUMAN TRAFFICKING AND FORCED LABOR

- 1. How did you get this job? []
Note: The assessor can probe all the persons and steps involved during recruitment.
- 2. Where are you originally from? Did you move to the place specifically for this job? []
- 3. Did you apply to a recruitment agency? What is the name of the agency? []
- 4. Are there others assisted you in applying for the job? Please explain your answer: []
- 5. Did you (or do workers) have to pay any recruitment-related fees to a labor broker, agent, the company, in order to get this job? [] Yes [] No
If yes,
5.1 How much? []
5.2 What does the amount cover?
 - Service fee [] Yes [] No
 - Medical [] Yes [] No
 - Training [] Yes [] No
 - Documents-processing [] Yes [] No
 - Passport [] Yes [] No
 - Visa [] Yes [] No
 - Others, please list: []
5.3 How did you finance the costs and expenses related to your job application?



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Regular or Permanent Workers



Contractual Workers



Seasonal Workers



Subcontracted Workers



Other Types of Workers

Hi! I'm Clarice from Verité Southeast Asia. The purpose of this interview is to better understand the safety, protection, and wellbeing of workers in this fishery activity, and to identify any conditions that could potentially be improved.

Participation in this is completely voluntary, and you're free not to answer any questions and to discontinue your participation at any time.



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- ✓ ABUSE AND HARASSMENT
- ✓ HUMAN TRAFFICKING AND FORCED LABOR
- ✓ CHILD LABOR
- ✓ FREEDOM OF ASSOCIATION AND COLLECTIVE BARGAINING
- ✓ EARNINGS AND BENEFITS
- ✓ WORKING HOURS
- ✓ HEALTH AND SAFETY
- ✓ MEDICAL RESPONSE
- ✓ ACCESS TO BASIC SERVICES
- ✓ GRIEVANCE REPORTING AND ACCESS TO REMEDY
- ✓ STAKEHOLDER PARTICIPATION AND COLLABORATIVE MANAGEMENT
- ✓ EQUITABLE OPPORTUNITY TO BENEFIT
- ✓ DISCRIMINATION



SOCIAL RESPONSIBILITY ASSESSMENT TOOL FOR THE SEAFOOD SECTOR



Documents Review Guide





Written policies or procedures on:

- Recruitment, selection and hiring
- Work and rest hours
- Wages and benefits
- Freedom of movement
- Humane treatment and workplace equality
- Workers' housing and living conditions
- Worker communication and grievance procedures
- Termination of employment and repatriation

Copies of the following:

- Payroll records
- Time sheets
- Pay slips and records of payments to workers
- Records of remittance, deposits, savings, deductions
- Documented working arrangements or schedule in the working language or languages of the company or fishing vessel
- H&S records
- Records, service agreements pertaining to recruitment and placement services
- Invoices – proof of payment to recruitment and/or seafaring agency
- HR Policies and procedures
- Crew Recruitment procedures
- Written criteria and qualifications of workers/fishers

FOR VESSELS ONLY:

- Registration records
- License to fish in relation to area of operations
- Inspection records - a valid document issued by the competent authority stating that the vessel has been inspected by competent authority
- Fishing vessel safety certificates
- Previous audit/inspection reports
- Logbook
- Records of communication between skipper and fishing vessel owner
- Safety committee records
- Reports of accidents and investigations
- Crew list
- Fisher's Work Agreement / Contract of Employment
- Seaman's book – Safety of Life as Sea/Basic Safety training certificate
- Valid medical certificates issued by a duly qualified medical practitioner
- The medical certificate of a fisher shall state, at a minimum, that: (a) the hearing and sight of the fisher concerned are satisfactory for the fisher's duties on the vessel; and (b) the fisher is not suffering from any medical condition likely to be aggravated by service at sea or to render the fisher unfit for such service or to endanger the safety or health of other persons on board.
- The medical certificate shall be valid for a maximum period of two years unless the fisher is under the age of 18, in which case the maximum period of validity shall be one year.
- Scanned copies of crew members' passports or other official documents confirming fishers' birth dates
- Work schedules for regular fishers, and with respect to fishers under the age of 18 (to determine if hours and nature of work are appropriate for workers aged below 18).
- Information on types of work on board that have been identified as likely to jeopardize the safety of fishers under the age of 18
- Recent accident reports and safety committee reports to determine whether fishers under the age of 18 were involved

A. DOCUMENTS CHECKLIST

Documents that can provide inputs into the different SRAT Principles are listed below. This serves as a checklist where the assessor can easily mark those that were included in the assessment and/or were provided by the UoA.

DOCUMENT TYPE	REMARKS	RELEVANT PRINCIPLES OR INDICATORS
Does the <u>UoA</u> have written policies or procedures on: <input checked="" type="checkbox"/> Recruitment, selection and hiring <input checked="" type="checkbox"/> Work and rest hours <input checked="" type="checkbox"/> Wages and benefits <input checked="" type="checkbox"/> Freedom of movement <input type="checkbox"/> Humane treatment and workplace equality <input type="checkbox"/> Workers' housing and living conditions <input type="checkbox"/> Worker communication and grievance procedures <input type="checkbox"/> Termination of employment and repatriation		
Can the <u>UoA</u> provide copies of the following: <input checked="" type="checkbox"/> Payroll records <input checked="" type="checkbox"/> Time sheets		

FOR VESSELS ONLY: <input type="checkbox"/> Registration records <input type="checkbox"/> License to fish in relation to area of operations <input type="checkbox"/> Inspection records - a valid document issued by the competent authority stating that the vessel has been inspected by competent authority <input type="checkbox"/> Fishing vessel safety certificates <input type="checkbox"/> Previous audit/inspection reports <input type="checkbox"/> Logbook <input type="checkbox"/> Records of communication between skipper and fishing vessel owner <input type="checkbox"/> Safety committee records <input type="checkbox"/> Reports of accidents and investigations <input type="checkbox"/> Crew list <input type="checkbox"/> Fisher's Work Agreement / Contract of Employment <input type="checkbox"/> Seaman's book – Safety of Life as Sea/Basic Safety training certificate <input type="checkbox"/> Valid medical certificates issued by a duly qualified medical practitioner <input type="checkbox"/> The medical certificate of a fisher shall state, at a minimum, that: (a) the hearing and sight of the fisher concerned are satisfactory for the fisher's duties on the vessel; and (b) the fisher is not suffering from any medical condition likely to be aggravated by service at sea or to render the fisher unfit for such service or to endanger the safety or health of other persons on board.		
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Reminders:

- Check authenticity of the documents, especially those that are signed.
- Take note of dates – when policies or written procedures are crafted.
- If the UoA cannot provide copies of the documents in a language that an assessor can understand, it is important to have a translator in the assessment team.
- Cross-check information written in one document with another document. For example, company policies on wages and benefits should be consistent with what's written in workers' employment contracts and how wages are computed as per their pay slips.



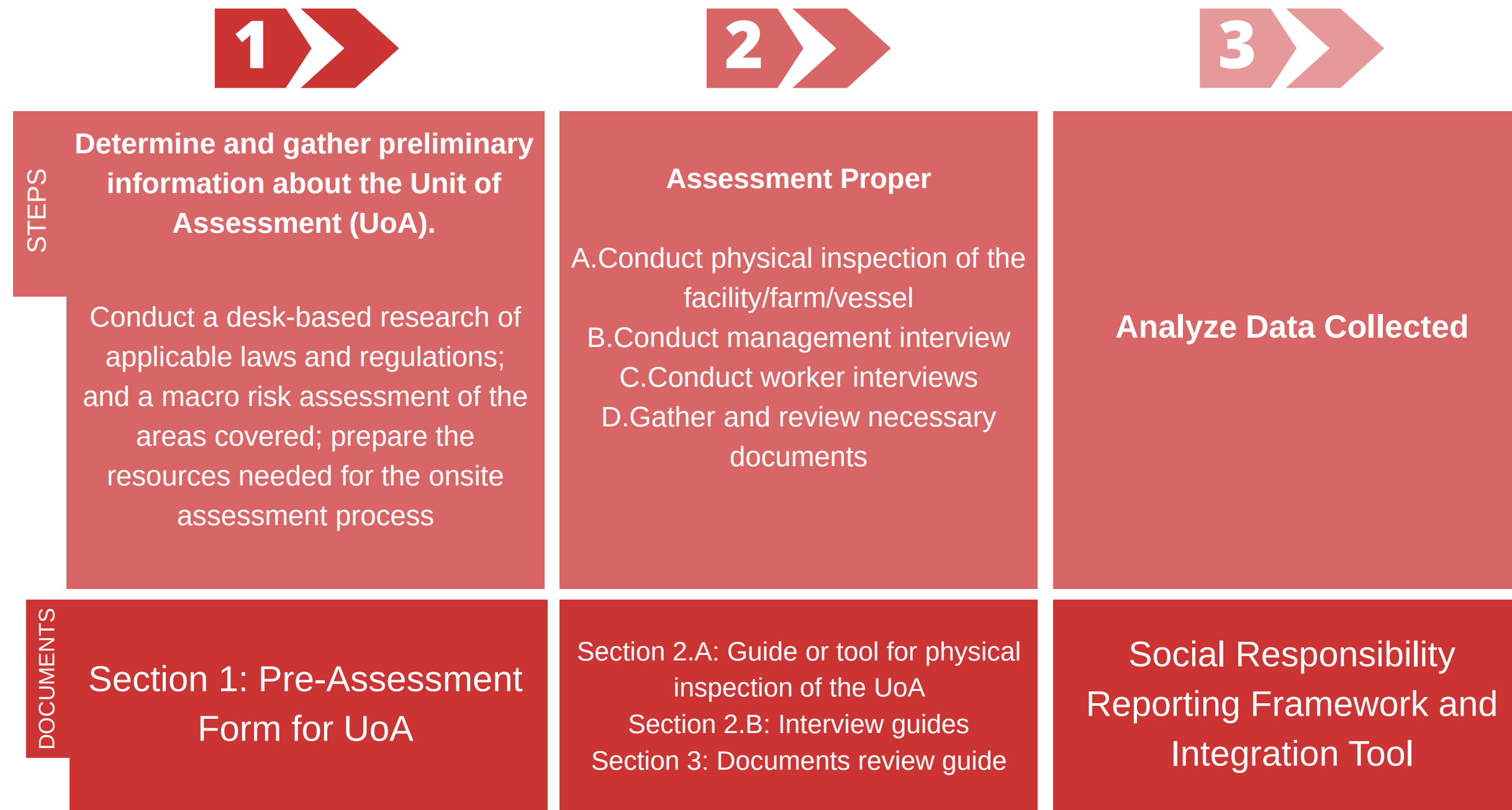


MINIMUM ELEMENTS OF AN EMPLOYMENT CONTRACT OR SERVICE AGREEMENT:

Are contracts written in language workers understand?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Notes:	
Are there more than one contract in place, or do workers sign more than one contract? If yes, please provide explanation.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Who are the signatories to the workers' contracts?	<input type="checkbox"/> Worker <input type="checkbox"/> UoA (facility/farm/vessel company) <input type="checkbox"/> Labor agent or broker <input type="checkbox"/> Third-part or outsourcing company <input type="checkbox"/> Other, please specify:
Do the employment contracts contain the following:	
<ul style="list-style-type: none"> Name of worker 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> Date of birth or age 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> Name and address of your company 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> Location of work 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> Additional for vessels: <ul style="list-style-type: none"> Flag state the fishing vessel carries 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> <ul style="list-style-type: none"> Name of the fishing vessel and registration number of the vessel 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> Job duties and responsibilities 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> Wages and benefits, including payment terms 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> Working hours and rest hours 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> Living conditions, housing and any associated costs 	<input type="checkbox"/> Yes <input type="checkbox"/> No

THE SOCIAL RESPONSIBILITY ASSESSMENT TOOLKIT

Basic Assessment Steps



Also available at the website of Conservation International:

<https://www.conservation.org/>

 <http://riseseafood.org>



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FOR THE SEAFOOD SECTOR**

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