The Social Responsibility Assessment Toolkit
Basic Assessment Steps
Basic Assessment Steps

1. Determine and gather preliminary information about the Unit of Assessment (UoA).
   - Conduct a desk-based research of applicable laws and regulations; and a macro risk assessment of the areas covered; prepare the resources needed for the onsite assessment process

2. Assessment Proper
   - A. Conduct physical inspection of the facility/farm/vessel
   - B. Conduct management interview
   - C. Conduct worker interviews
   - D. Gather and review necessary documents

3. Analyze Data Collected

**Documents**
- Section 1: Pre-Assessment Form for UoA
- Section 2.A: Guide or tool for physical inspection of the UoA
- Section 2.B: Interview guides
- Section 3: Documents review guide
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 boxes can be answered by both land-based or sea-based UOAs.

### UOA TYPE AND ACTIVITY

- **Vessel**
- **Fishing vessel**
- **Transport vessel**
- **Aquaculture farm**

### UOA PROFILE

<table>
<thead>
<tr>
<th><strong>UOA Type</strong></th>
<th><strong>Activity</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Vessel</td>
<td>Fishing</td>
</tr>
<tr>
<td></td>
<td>Transport</td>
</tr>
<tr>
<td></td>
<td>Aquaculture</td>
</tr>
</tbody>
</table>

### 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.

- **Management**
- **Office/administrative staff**
- **Supervisory**
- **Medical staff**
- **Directly employed, regular workers**
- **Directly employed, temporary or seasonal workers**
- **Contractual workers (not direct employees of the company)**
- **Outsourced or subcontracted workers (workers employed by a staffing or employment agency/company)**
- **Apprentice/apprentices**
- **Security staff**
- **Cleaning staff**

### TOTAL WORKFORCE POPULATION:

**Other type of workers, please specify:**
Determining the Unit of Assessment

Sample Seafood Supply Chain

DOMESTIC FISHING
- LOCAL FISHING VESSEL
- IMPORTATION
- FOREIGN FISHING VESSELS

IMPORT
- CONTAINERS
- TRUCKS
- AIR FREIGHT

FISHING PORTS

FISHING PORTS

FISH MARKETS

DOMESTIC CONSUMPTION

EXPORT

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

B. Guides for management interviews and worker interviews
Health and Safety:

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

A. Guidance or tool for physical inspection of the Unit of Assessment
B. Guides for management interviews and worker interviews

B.1 MANAGEMENT INTERVIEW FORM

INTRODUCTION AND INFORMED CONSENT

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

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 future 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 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

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

THE SOCIAL RESPONSIBILITY ASSESSMENT TOOLKIT
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 communicate from your experiences working in this fishery, hear about your day-to-day work, and understand how this work affects you both mentally and physically. In this interview, we have a series longer than an hour to complete.

Participation in this is completely voluntary. Discontinue your participation at any time. Your individual answers will be kept confidential. The report will only present group data. Please feel free to express your opinions as you will share the main results with you.

Would you like to participate? If you have any procedures, risks, or benefits, please call.

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 into 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, or company in order to get this job? Yes No
   If yes, 5.1 How much? 
   5.2 What does the amount cover?
   - Service fee
   - Medical
   - Training
   - Documents-processing
   - Passport
   - Visa
   - Others, please list:

5.3 How did you finance the costs and expenses related to your job application?
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.
✓ 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
Documents
Review
Guide
Written policies or procedures on:

• Recruitment, selection and hiring
• Work and rest hours
• Wages and benefits
• 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 at 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.

<table>
<thead>
<tr>
<th>DOCUMENT TYPE</th>
<th>REMARKS</th>
<th>RELEVANT PRINCIPLES OR INDICATORS</th>
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Does the UoA have 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

Can the UoA provide copies of the following:
- Payroll records
- Time sheets

FOR VESSELS ONLY:
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:

1. Are contracts written in language workers understand?
   - Yes
   - No
   Notes:

2. Are there more than one contract in place, or do workers sign more than one contract?
   - Yes
   - No
   If yes, please provide explanation.

3. Who are the signatories to the workers' contracts?
   - Worker
   - UdA (facility/farm/vessel company)
   - Labor agent or broker
   - Third-party or outsourcing company
   - Other, please specify.

Do the employment contracts contain the following:

- Name of worker
- Date of birth or age
- Name and address of your company
- Location of work
- Additional for vessels:
  - Flag state the fishing vessel carries
  - Name of the fishing vessel and registration number of the vessel
- Job duties and responsibilities
- Wages and benefits, including payment terms
- Working hours and rest hours

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Social Responsibility Reporting Framework and Integration Tool

Also available at the website of Conservation International:
https://www.conservation.org/