



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

**CONSERVATION
INTERNATIONAL**



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

A collaboration between Conservation International, the Conservation Alliance for Seafood Solutions, and the Coalition for Socially Responsible Seafood.

Thank you to all those who provided input and feedback.

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EXECUTIVE SUMMARY

The Social Responsibility Assessment Tool for the Seafood Sector

The Social Responsibility Assessment Tool for the Seafood Sector, co-developed as a collaborative resource by more than two-dozen organizations, is useful as a diagnostic or risk-assessment tool for conducting human rights due diligence in seafood supply chains. This resource is meant to be used as a sister tool to a FIP needs-assessment or pre-assessment, and should be applied to assess risks of social issues, uncover critical information gaps, identify areas in need of improvement, and inform the development of a Fishery Improvement Project (FIP) workplan that includes a social element.

Alignment with the Conservation Alliance FIP Guidelines

The Social Responsibility Assessment Tool is built on the three principles of the “The Monterey Framework” – a shared definition of social responsibility inclusive of: 1) protecting human rights, dignity, and access to resources, 2) ensuring equality and equitable opportunity to benefit, 3) improving food, nutrition, and livelihood security. The Monterey Framework is now reflected in the Conservation Alliance Common Vision, and the Conservation Alliance FIP Guidelines.

A Collation of All Existing Certifications + Ratings for Social Issues

Two main documents inform most of the content and format of this Social Responsibility Assessment Tool: Certification and Ratings Collaboration Framework on Social Responsibility for the Seafood Sector (Opal 2018); FIP Rapid Assessment Protocol (OSMI 2018). Furthermore, the indicators and scoring guideposts used to build this tool are a collation of all the existing certification and ratings community of practice for social issues in seafood. Namely, the Social Responsibility Assessment Tool integrates criteria from: SSRT, FTUSA, Clearview, Seafish RFS, ASC, Naturland, BSCI, FishSource, IFFO RS, GRASP, FOTS, BAP, SFP, IPNLF, and Thai Gap, among others (for a complete list see ANNEX II of the Social Responsibility Assessment Tool). The Assessment Tool also integrates all relevant ILO Conventions and international protocols and standards.

Using the Assessment

Critical to the use of the assessment tool, is that the assessment team must have local representation and social science or human rights expertise. Data collection may involve secondary data, primary data, or both, and thus will require time in the field interacting with the fishery and the workers. Ultimately, data gathered during the initial assessment will inform the development of the improvement plans with local stakeholders for driving social change. This resource is to be used as a sister tool to a FIP needs-assessment or pre-assessment, and is relevant in the context of an industrial fishery and small-scale fisheries.

The Social Responsibility Assessment Tool Guidance

The Social Responsibility Assessment Tool: A guide to data collection houses specific scoring and data collection guidance for each indicator. Within this guidance document, types of data needed to score each indicator—such as secondary data collected by desk-based research or primary data collected in the field using surveys and interviews—is suggested. The document provides guidance on where to find information in the case of secondary data collection, and provides sample survey/interview questions in the case of primary data collection. It is important to note that each interview question will need to be adapted to meet the needs of local context, culture, and language.

Code of Conduct for Assessment Team

The Code of Conduct outlines the expectations on the conduct of all parties participating in 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 and other interview respondents: Informed consent and voluntary participation in the assessment, may opt to withhold consent anytime.

Introduction and Informed Consent (Example)

The purpose of this assessment 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 of questions related to these topics that should take no longer than an 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. The information provided will only be used by this study. Your individual answers will be kept confidential and anonymous, and your name will not be recorded. The reports will only present group results. There are no correct or incorrect responses so please feel free to express your opinions and share your experiences. Once we finish the study, we will share the main results with you. Would you like to participate?

Using the Decision Tree

Recognizing that industrial and small-scale fisheries and farms face different social issues, some Performance Indicators (PIs) and related Scoring Guideposts (SG)s will not be relevant to certain fisheries and contexts. In order to guide this journey, the Decision Tree enables the user to understand the subset of universal indicators applicable to all fisheries/farms, indicated by a tick. As the SRAT protocol is intended to be flexible and adaptable for a diversity of situations, the remaining indicators are paired with qualifying questions to guide the user on the applicability of the indicator to the Unit of Assessment (UoA).

PI	SCORING GUIDANCE	PERFORMANCE INDICATOR	
1.1.1	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		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	Is the fishery/farm operating for subsistence purposes only?	If YES, score 3.2.1 Benefits to and within community	
3.2.2		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		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	

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 harassment

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	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,
	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.

Research Mode: Primary data collection

Primary data collection should be used for this indicator, and the targeted sample population should be the observers/ worker/fisher/farmer. When collecting sensitive information through interviews or surveys the assessor should work closely with worker representatives, local human rights organizations, or other frontline groups that will help protect the interests and rights of workers, should grievance reporting and remediation mechanisms need to be activated immediately.

The assessor should be cognizant of verbal abuse, and how this is differentiated from verbal banter typical on board fishing vessels. The interviewer needs to assess whether the worker/fisher/farmer/observer has recourse for addressing abuse when it occurs and whether there are repercussions for the party responsible.

Suggested survey questions include:

- 1) Are you from a different country to the country of operation i.e., flagged vessel for offshore operations, or country of operation for inshore?
- 2) Has your migration status impacted your way of working? If yes, how?
- 3) Have you experienced abuse or harassment connected to your migration status, ethnicity, gender, class, political or religious affiliation (abuse or harassment could include 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)?
- 4) If so, do you have recourse for addressing abuse when it occurs?
- 5) Have you or your colleagues ever faced abuse or harassment at work?
- 6) If so, would you identify this abuse as physical or mental?
- 7) Has any member of your family or community faced abuse or harassment by employers, buyers, labor brokers, or organized crime in connection with your employment in the fishery?
- 8) Are you expected to use drugs or have you ever received drugs as compensation for your work?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	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.

Research Mode: Primary data collection

Primary data collection should be used for this indicator, and the targeted sample population should be the worker/fisher/farmer. When collecting sensitive information through interviews or surveys the assessor should work closely with worker representatives, local human rights organizations, or other frontline groups that will help protect the interests and rights of workers, should grievance reporting and remediation mechanisms need to be activated immediately. In addition to using surveys and interviews, direct observation techniques can be used to determine where or not there are posted policies in different languages.

Suggested survey questions include:

- 1) Does your workplace have a written policy that prohibits physical abuse, bullying, and sexual harassment accessible to all workers (posted in all languages spoken and with provisions for illiteracy)?
- 2) If so, is there a disciplinary procedure in place to address cases of harassment with discipline commensurate to alleged actions?
- 3) If so, do you feel that everyone at your workplace is aware of the policy and trained on how to use it?
- 4) Does your workplace have a grievance procedure in place to report harassment, that is trusted, used, and effective?

Indicator 1.1.2: Human trafficking and forced labor; Debt bondage in small-scale fisheries

Question: *Is the fishery/farm industrial or medium scale with labor recruitment from other countries and/or contracts with employers likely?*

If YES, score Indicator 1.1.2a: Human trafficking and forced labor

If NO, score Indicator 1.1.2b: Debt bondage in small-scale fisheries

Indicator 1.1.2a: Human trafficking and forced labor

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA1.1.2a 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 assessment team or affected workers/fishers,
	SRA1.1.2a S2	AND - The farm/fishery has a policy prohibiting the use of forced, bonded, indentured, prison labor, slavery or trafficked labor,
	SRA1.1.2a S3	AND - 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), but the farm/fishery is actively implementing, tracking progress on, and reporting on a remediation plan,
	SRA1.1.2a S3	OR - There are no 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), but the farm/fishery does not have a robust system in place to monitor, remediate, and report on both its own performance on recruitment and labor practice, and when applicable, the performance and compliance of labor recruiters.

Research Mode: Desk-based and primary data collection

Desk-based research can be used to determine what the country-level, sectoral risk and supply chain risk is for human trafficking and forced labor (including means of recruitment used in sectors/occupations prone to forced labour, and means of coercion used by recruiters/employers).

The assessor should also look into whether or not the country has ratified relevant International Labor Organization Conventions No. 29 and No. 105. The assessor can use desk-based research to identify national stakeholders such as government ministries, trade unions, employers' organizations, human rights commissions, international organizations, NGOs, and religious leaders concerned with forced labour and trafficking.

Secondary data analysis and desk-based review can be used to better understand areas/ regions of the country where different forms of forced labour are most likely to occur in relation to the fishery/ farm, the population groups most at risk of forced labour (ethnic minorities, certain age groups, low castes, etc).

Key sources of information for the desk-based review:

1. 2020 U.S. Department of State's Office to Monitor and Combat Trafficking In Persons 'Trafficking in Persons (TIP) Report.'

In the [TIP report](#), each country is placed into one of three tiers by the U.S. Department of State. These tiers are chosen based on a government's efforts to comply with the [Trafficking Victims Protection Act](#)'s minimum standards for the elimination of trafficking. The TIP report aims to outline the scope and nature of global trafficking in persons, as well as the range of government actions used to eliminate these abuses.

2. The Walk Free Foundation's Global Slavery Index (GSI).

The [Global Slavery Index](#) estimates the prevalence of modern slavery country by country, the absolute number by population, how governments are tackling modern slavery, and what factors explain or predict the prevalence of modern slavery.

The Government Response Index provides a comparative assessment of the legal, policy, and programmatic actions that governments are taking to respond to modern slavery. This is based on data collected on 104 indicators that are relevant to understanding how each government is tracking towards achieving five milestones:

1. Survivors of slavery are identified and supported to exit and remain out of slavery.
2. Criminal justice mechanisms function effectively to prevent modern slavery.
3. Coordination occurs at the national and regional level, and governments are held to account for their response.
4. Risk factors such as attitudes, social systems, and institutions that enable modern slavery are addressed.
5. Government and business stop sourcing goods and services produced by forced labor.

3. The Transparency International Corruption Perceptions Index

The Corruption Perceptions Index ranks countries and territories based on how corrupt their public sector is perceived to be. A country or territory's score indicates the perceived level of public sector corruption on a scale of 0 (highly corrupt) to 100 (very clean). A country or territory's rank indicates its position relative to the other countries and territories in the index. The 2019 index includes 180 countries and territories. The full list of included data sources can be found in the [Corruption Perceptions Index](#).

The CPI scores and ranks countries/territories based on how corrupt a country's public sector is perceived to be by experts and business executives. It is a composite index, a combination of 13 surveys and assessments of corruption, collected by a variety of reputable institutions. The CPI is the most widely used indicator of corruption worldwide.

4. Seafood Slavery Risk Tool

If profile is available, the assessor can review the “summary of evidence of forced labor, and human trafficking in the seafood supply chain” base risks, and the “summary of factors that affect the likelihood of forced labor and human trafficking in the seafood supply chain.”

Primary data collected via interviews/surveys with workers fishers and farmers can help evaluate risk as well. When collecting sensitive information through interviews or surveys, the assessor should work closely with worker representatives, local human rights organizations, or other frontline groups that will help protect the interests and rights of workers, should grievance reporting and remediation mechanisms need to be activated immediately. It is important to note that this PI does not score evidence of human trafficking or forced labor but rather indicators of. In the case there is no direct evidence of forced labor, the assessor should not assume workers/fishers/farmers are not at risk of forced labour occurring.

Suggested survey questions include:

- 1) Do you get paid more than 30 days after the work is performed?
- 2) Do you consistently work overtime, or is overtime compulsory?
- 3) Are unfair deductions from your salary made by the employer?
- 4) Do you pay deductions to labor brokers?
- 5) Have you ever had your passport retained?
- 6) Are you permitted to leave the vessel when in port?
- 7) Did you have to pay a deposit at the beginning of employment to prevent you from quitting or work?
- 8) Do workers/fishers/farmers have proper documentation and visas to work legally?
- 9) Can you leave your employer?
 - a. Yes, at any time, as long as the terms of the contract are respected (notice, etc.)
 - b. No, because there are no jobs available locally
 - c. No, the employer would not let me go [In this case, go to next question]
 - d. I don't know
- 10) What do you risk if you were to leave?
 - a. I would have no income
 - b. The employer would get other employers from the area to boycott me or my family
 - c. Violence to myself by the employer or recruiter
 - d. Violence against my family
 - e. Denunciation to authorities and possible deportation
 - f. Other members of my family would be dismissed
 - g. Loss of benefits for myself/members of my family

For more information on specific indicators of forced labor and human trafficking and how they are measured: www.ilo.org/wcmsp5/groups/public/---ed_norm/---declaration/documents/publication/wcms_203832.pdf

Additional information can be found here: Pages 74–80 of the [Hard to see, harder to count: survey guidelines to estimate forced labour of adults and children / International Labour Office](#) (Geneva: ILO, 2012) provide guidance on translation of forced labor

indicators to survey/interview questions, in four main sections: 1. Initial recruitment, 2. Working and employment conditions, 3. Living conditions, 4. Coercion.

While interviews and surveys with stakeholders are of utmost importance, some documents (payroll, contracts) in themselves can be considered primary data for specific indicators: contract substitution; underpayment of wages; unfair disciplinary procedures.

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA1.1.2a S4	The farm/fishery has a policy prohibiting the use of forced, bonded, indentured, prison labor, slavery or trafficked labor, and managers and workers/fishers/farmers are aware of and trained on the forced labour policy with access to effective grievance procedures for reporting violations of the policy,
	SRA1.1.2a S5	AND - There are no 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 fishery/farm has a robust operational system in place to monitor, remediate, and report on both its own performance on recruitment and labor practice, and when applicable, the performance and compliance of labor recruiters,
	SRA1.1.2a S6	AND - All workers/fishers/farmers, including domestic and foreign migrants, have written contracts in a language they understand, with extra provisions made for illiterate workers, so that their rights and terms of recruitment and employment are clearly understood,
	SRA1.1.2a S7	AND - Workers/fishers/farmers do not pay any recruitment fees (document/visa/passport fees excluded),
	SRA1.1.2a S8	AND - Workers/fishers/farmers are paid at least monthly.

Research Mode: Desk-based and primary data collection

Desk-based research can also be used to determine national laws and other legal instruments which refer to forced labour, human trafficking, slavery, bonded labour, domestic labor laws and legal requirements of overtime, minimum wage, etc. See desk-based research guidance above.

Primary data collected via interviews/surveys with workers fishers and farmers can help evaluate risk. When collecting sensitive information through interviews or surveys, the assessor should work closely with worker representatives, local human rights organizations, or other frontline groups that will help protect the interests and rights of workers, should grievance reporting and remediation mechanisms need to be activated

immediately. It is important to note that this indicator does not score evidence of human trafficking or forced labor but rather indicators of. Just because there is not direct evidence of slavery, does not mean workers/fishers/farmers are not at high risk of this occurring.

While interviews and surveys with stakeholders are of utmost importance, some documents (payroll, contracts) in themselves can be considered primary data for specific indicators: contract substitution; underpayment of wages; unfair disciplinary procedures.

Suggested survey questions include:

- 1) Are you paid at least monthly?
- 2) Is overtime voluntary?
- 3) Have you had to pay any recruitment fees (excluding fees for passports, visas, or other documentation)?
- 4) Does the fishery/farm have a monitoring system in place to monitor, remediate, and report on both its own performance on recruitment and labor practice, and when applicable, the performance and compliance of labor recruiters,
- 5) For migrant workers, prior to migration, are there written contracts in place detailing their rights and terms of employment and recruitment in a language the workers understand with provisions for illiteracy?

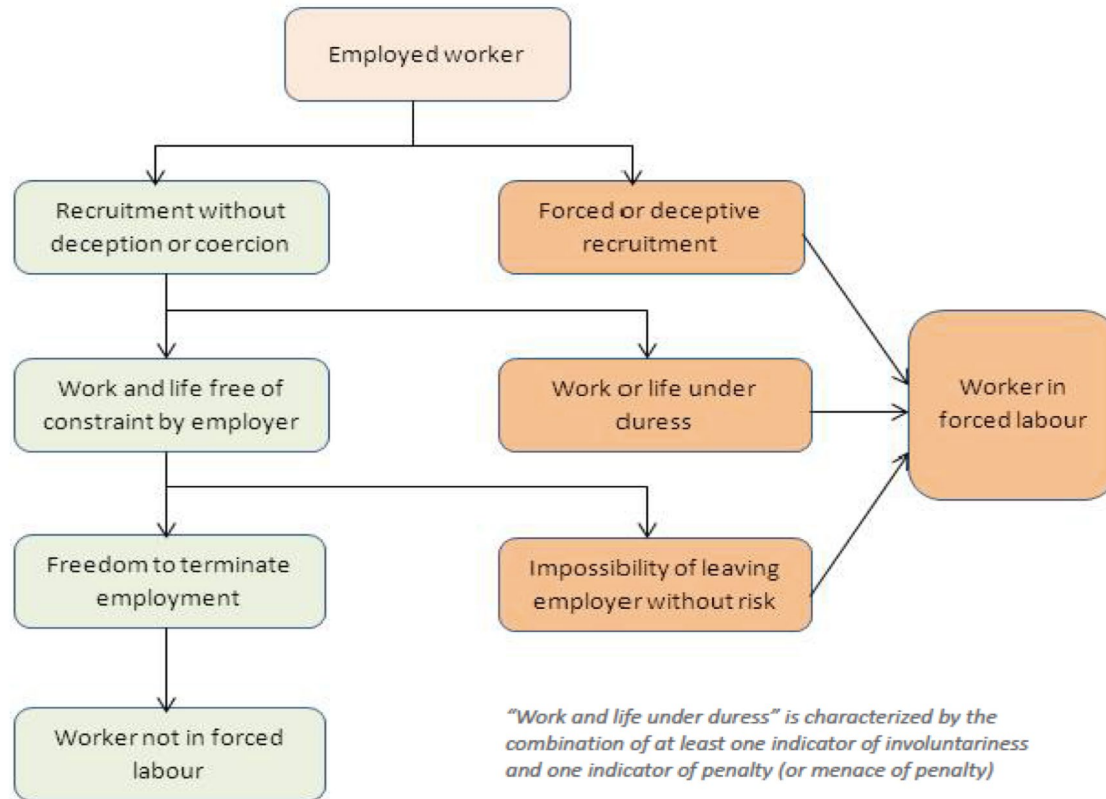
For more information on specific indicators of forced labor and human trafficking and how they are measured: www.ilo.org/wcmsp5/groups/public/---ed_norm/---declaration/documents/publication/wcms_203832.pdf

Pages 74–80 of the [Hard to see, harder to count: survey guidelines to estimate forced labour of adults and children / International Labour Office](#) (Geneva: ILO, 2012) provide guidance on translation of forced labor indicators to survey/interview questions, in four main sections: 1. Initial recruitment, 2. Working and employment conditions, 3. Living conditions, 4. Coercion.

[Hard to see, harder to count](#)¹ offers a measurement framework for forced labour. The assessor can review the diagnostic tree in aid on recognising if at least one element “involuntariness” and at least one element of “penalty or menace of a penalty” are in combination, equating to a situation of forced labour.

¹ Hard to see, harder to count: survey guidelines to estimate forced labour of adults and children/ International Labour Office. Geneva: ILO, 2012. p. 286.

A schematic presentation of the measurement framework for forced labour of adults is shown below:



Examples of the use of indicators of forced labour of adults

- A worker who is abducted, brought to a workplace AND forced to work under the threat of physical violence IS a victim of forced labour (one strong indicator of involuntariness, one strong indicator of penalty).
- A worker who is recruited by force as collateral for a debt AND works under the threat of exclusion from community and social life IS a victim of forced labour (one strong indicator of involuntariness, one medium indicator of penalty).
- A worker who is deceived about the wages to be paid AND cannot leave because his or her wages are withheld by the employer IS a victim of forced labour (one medium indicator of involuntariness, one strong indicator of penalty).
- A worker who is dependent on the employer for housing and food AND is subject to financial penalties for refusing to perform additional tasks which are not part of the contract, though not employed in decent working conditions, IS NOT recognized as a victim of forced labour for purposes of data collection (one medium indicator of involuntariness, one medium indicator of penalty).

- A person working in sub-standard working conditions BUT who can leave the employer if he or she finds a better job, though not employed in decent work, IS NOT recognized as a victim of forced labour.
- A migrant worker who is deceived by an intermediary about the nature of the job AND who cannot leave the employer because he or she is threatened with denunciation to the authorities IS a victim of forced labour.

Indicator 1.1.2b: Debt bondage in small-scale fisheries

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA1.1.2b 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,
	SRA1.1.2b 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,
	SRA1.1.2b 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),
	SRA1.1.2b S4	AND - The fisher/farmer is allowed to witness the product being weighed or graded to calculate their income (or share of catch),
	SRA1.1.2b S5	AND - If applicable, interest rates charged to fishers/farmers are transparent and agreed upon in advance with fishers/farmers.

Research Mode: Primary data collection

Primary data collection is necessary in this case to ascertain levels of debt bondage within the fishery/farm and how this has changed over time. Surveys and interviews must be conducted with the fishers/farmers, not with cooperative directors, permit holders (if different than fishers), association leaders, or buyers.

Suggested survey questions include:

- 1) How often are you paid?
- 2) When you are paid or your income is calculated, are you allowed to witness the product being weighed or graded?
- 3) Are you in debt to a cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.)?
- 4) If so, when you are paid, how much of your income is withheld or how much do you have to pay back towards your debts (percentage or estimate)?
- 5) If so, would you say the proportion of your income used to pay back loans has increased, decreased, or stabilized over time?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA1.1.2b 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),
	SRA1.1.2b S6	OR - The fisher/farmer is NOT paying off debt to the cooperative, association, buyer, or permit holder.

Research Mode: Primary data collection

Primary data collection is necessary in this case to ascertain levels of debt bondage within the fishery/farm and how this has changed over time. Surveys and interviews must be conducted with the fishers/farmers, not with cooperative directors, permit holders (if different than fishers), association leaders, or buyers.

Suggested survey questions include:

- 1) How often are you paid?
- 2) When you are paid or your income is calculated, are you allowed to witness the product being weighed or graded?
- 3) Are you in debt to a cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.)?
- 4) If so, when you are paid, how much of your income is withheld or how much do you have to pay back towards your debts (percentage or estimate)?
- 5) If so, would you say the proportion of your income used to pay back loans has increased, decreased, or stabilized over time?

Indicator 1.1.3: Child labor

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA1.1.3 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,
	SRA1.1.3 S2	AND - There is no evidence of hazardous child labor,
	SRA1.1.3 S3	AND - Children below the legal age of employment are not employed as waged workers,
	SRA1.1.3 S4	AND - Children below the legal age of employment work alongside family members only if this does not interfere with schooling, and on tasks which do not harm their health, safety or morals, and do not work at night,
	SRA1.1.3 S5	AND - There is no evidence of hazardous child labor, children below the legal age of employment are not paid as waged workers, nor does the work interfere with their schooling or pose risk to their health and safety, BUT the farm or fishery does not have a child labor policy that ensures the best interests of the child and that the child does not end up in a worse form of employment.

Research Mode: Desk-based and primary data collection

Desk-based research can be used to determine what the country-level, sectoral risk and supply chain risk is for child labor and hazardous child labour using publicly available human rights risk assessment resources:

1. 2020 U.S. Department of State's Office to Monitor and Combat Trafficking In Persons 'Trafficking in Persons (TIP) Report.'

In the [TIP report](#), each country is placed into one of three tiers by the U.S. Department of State. These tiers are chosen based on a government's efforts to comply with the [Trafficking Victims Protection Act](#)'s minimum standards for the elimination of trafficking. The TIP report aims to outline the scope and nature of global trafficking in persons(including children), as well as the range of government actions used to eliminate these abuses.

2. Seafood Slavery Risk Tool

If profile is available, the assessor can review the “summary of evidence of forced labor, and human trafficking in the seafood supply chain” base risks, and the “summary of factors that affect the likelihood of forced labor and human trafficking in the seafood supply chain.”

3. Sweat & Toil: Child Labor, Forced Labor, and Human Trafficking Around the

World: www.dol.gov/general/apps/ilab

[Sweat & Toil](#), developed by ILAB, documents child labor and forced labor. Data is sourced from ILAB's three flagship reports: Findings on the Worst Forms of Child Labor; List of Goods Produced by Child Labor or Forced Labor; and List of Products Produced by Forced or Indentured Child Labor.

Desk-based research can also be used to determine what the legal age of employment is, as this varies domestically. Note that for onshore fisheries, the International Labor Organization designates 15 years of age as the legal age of employment, unless local minimum age law stipulates a higher age for work or mandatory schooling, in which case the higher age would apply. If, however, local minimum age law is set at 14 years of age in accordance with developing country exceptions under ILO convention 138, the lower age applies. For offshore fisheries, the International Labor Organization stipulates the minimum age as 16 years, unless the competent authority has authorized a minimum age of 15 for persons who are (a) no longer subject to compulsory schooling as provided by national legislation, and who are engaged in vocational training in fishing or (b) performing light work during school holidays. The assessor should also look into whether or not the country has ratified relevant International Labor Organization Conventions No. 138 and No. 182.

Primary data collection can also be used to assess risk, but the assessor should not interview minors or children directly (under 18 years old), in accordance with human subjects research protocols. Surveys and interviews can instead be done with workers/fishers/farmers over the age of 18 years old to ascertain risks of child labor. Direct and participant observation will also be important especially for assessing indicators of hazardous child labor (Work which exposes children to physical, psychological or sexual abuse; work underground, under water, at dangerous heights or in confined spaces; work with dangerous machinery, equipment and tools, or which involves the manual handling or transport of heavy loads; work in an unhealthy environment which may, for example, expose children to hazardous substances, agents or processes, or to temperatures, noise levels, or vibrations damaging to their health; work under particularly difficult conditions such as work for long hours or during the night or work where the child is unreasonably confined to the premises of the employer).

Suggested survey questions include:

- 1) What were the main reasons for taking your current job?
- 2) Who decided that you should take your current job?
- 3) What risk would you face if you refused to work for this employer?
- 4) Do any of your family members work along side you?
- 5) If yes, how old are the family members that work along side you?
- 6) If under, (legal age), does this affect their schooling?
- 7) If under, (legal age), does this affect their health?
- 8) If under, (legal age), are they employed as waged workers?
- 9) Could you have refused the job or quit when you found that it was not what had been promised? Yes/No
- 10) Does the fishery/farm have relevant policies on child labor and monitoring systems to ensure compliance?

Pages 80–85 of the [Hard to see, harder to count: survey guidelines to estimate forced labour of adults and children / International Labour Office](#) (Geneva: ILO, 2012) provide guidance on translation of forced child labor indicators to survey/interview questions, in three main sections: (1) Forced and deceptive recruitment, (2) Working and living conditions, (3) Impossibility of leaving the employer.

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	<p>SRA11.3 S6 There is no evidence of hazardous child labor, children below the legal age of employment are not paid as waged workers, nor does the work alongside family members interfere with their schooling or pose risk to their health and safety, and the farm or fishery has a child labor policy that ensures the best interests of the child and that the child does not end up in a worse form of employment.</p>
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Research Mode: Desk-based and primary data collection

Desk-based research can be used to determine what the country-level, sectoral risk and supply chain risk is for child labor and hazardous child labour using publicly available human rights risk assessment resources:

1. 2020 U.S. Department of State's Office to Monitor and Combat Trafficking In Persons 'Trafficking in Persons (TIP) Report.'

In the [TIP report](#), each country is placed into one of three tiers by the U.S. Department of State. These tiers are chosen based on a government's efforts to comply with the [Trafficking Victims Protection Act](#)'s minimum standards for the elimination of trafficking. The TIP report aims to outline the scope and nature of global trafficking in persons(including children), as well as the range of government actions used to eliminate these abuses.

2. Seafood Slavery Risk Tool: www.seafoodslaveryrisk.org

3. Sweat & Toil: Child Labor, Forced Labor, and Human Trafficking Around the World: www.dol.gov/general/apps/ilab

[Sweat & Toil](#), developed by ILAB, documents child labor and forced labor. Data is sourced from ILAB's three flagship reports: Findings on the Worst Forms of Child Labor; List of Goods Produced by Child Labor or Forced Labor; and List of Products Produced by Forced or Indentured Child Labor.

Desk-based research can also be used to determine what the legal age of employment is, as this varies domestically. Note that for onshore fisheries, the International Labor Organization designates 15 years of age as the legal age of employment, unless local minimum age law stipulates a higher age for work or mandatory schooling, in which case the higher age would apply. If, however, local minimum age law is set at 14 years of age in accordance with developing country exceptions under ILO convention 138, the lower age applies. For offshore fisheries, the International Labor Organization stipulates the minimum age as 16 years, unless the competent authority has authorized a minimum age of 15 for persons who are (a) no longer subject to compulsory schooling as provided by national legislation, and who are engaged in vocational training in fishing or (b) performing light work during school holidays. The assessor should also look into whether or not the country has ratified relevant International Labor Organization Conventions No. 138 and No. 182.

Primary data collection can also be used to assess risk, but the assessor should not interview minors or children directly (under 18 years old), in accordance with human subjects research protocols. Surveys and interviews can instead be done with workers/fishers/farmers over the age of 18 years old to ascertain risks of child labor. Direct and participant observation will also be important especially for assessing indicators of hazardous child labor (Work which exposes children to physical, psychological or sexual abuse; work underground, under water, at dangerous heights or in confined spaces;

work with dangerous machinery, equipment and tools, or which involves the manual handling or transport of heavy loads; work in an unhealthy environment which may, for example, expose children to hazardous substances, agents or processes, or to temperatures, noise levels, or vibrations damaging to their health; work under particularly difficult conditions such as work for long hours or during the night or work where the child is unreasonably confined to the premises of the employer).

Suggested survey questions include:

- 1) Does the farm or fishery have a child labor remediation policy that ensures the best interests of the child and that the child does not end up in a worse form of employment?
- 2) In your opinion what are the root causes of child labor?
- 3) Has the fishery/farm taken any measures to improve or address these root causes?

Indicator 1.1.4: Freedom of association and collective bargaining

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA1.1.4 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,
	SRA1.1.4 S2	AND - Workers/fishers/farmers are free to form worker organizations, including trade unions, to advocate for and protect their rights, and have the right to decide their own structure, policies, programs, priorities, etc. without employer interference,
	SRA1.1.4 S3	AND - There are national laws protecting collective workers' rights (including cooperatives) which are upheld and respected, or the country restricts trade union rights but the company/fishery/farm has provided a way for workers/fishers/farmers to organize and express grievances,
	SRA1.1.4 S4	AND - Human rights defenders are not actively suppressed and there is no recent record of litigation by employers against human rights defenders,
	SRA1.1.4 S5	AND - There is no discrimination against workers/fishers/farmers who are members or leaders of organizations, unions or cooperatives, and workers/fishers/farmers are not dismissed for exercising their right to strike.

Research Mode: Desk-based and primary data collection

The assessor can use desk-based research to look into whether or not the country has ratified relevant International Labor Organization Conventions No. 87, No. 98, and No 154. Desk-based research can also be used to determine if there is national law protecting the freedom to organize into labor unions, cooperatives, etc. and laws protecting the bargaining rights of these collective bodies. Other useful material may include policies and by-laws from unions or cooperatives. Finally, national litigation records can be used to uncover any cases where human rights defenders have been prosecuted by employers for whistle blowing.

Primary data collection via surveys and interviews with workers/fishers/farmers and/or union or cooperative representatives and leaders will also provide insight.

Suggested survey questions include:

- 1) Are you part of a union, cooperative, or any other worker organization? If not, why?
- 2) If so, do you feel that the worker organization adequately advocates for and protects your rights?
- 3) Within the worker organization, are you free to decide your own structure, policies, programs, priorities without interference (i.e., democratically voted cooperative by-laws)?
- 4) Have you ever experienced barriers or challenges, operating as a union or cooperative?
- 5) Have you ever faced discrimination due to your position in a union or cooperative, and/or from exercising your right to strike?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)

- | | |
|------------|---|
| SRA11.4 S6 | The employer or association has a written policy or by-laws (shared with workers/fishers/farmers in relevant languages and with provisions for illiteracy) that they respect the rights of workers/fishers/farmers to Freedom of Association and Collective Bargaining, |
| SRA11.4 S7 | AND - Workers/fishers/farmers are trained by workers' organizations on their rights to organize and bargain collectively, |
| SRA11.4 S8 | AND - Women participate in unions or cooperatives commensurate with their representation in the workforce. |

Research Mode: Primary data collection

Primary data collection via surveys and interviews with workers/fishers/farmers and/or union or cooperative representatives and leaders will provide insight on the above scoring guideposts.

Suggested survey questions include:

- 1) Does the fishery/farm have a written policy (shared with workers/fishers/farmers in relevant languages and with provisions for illiteracy) that demonstrates they respect the rights of workers/fishers/farmers to Freedom of Association and Collective Bargaining?
- 2) Have you received any capacity building training from local labor organizations on your rights to organize and collectively bargain? Y/N. Please describe.
- 3) Do women participate in the labor union or cooperative?
- 4) Is this commensurate with their representation in the workforce?

Indicator 1.1.5: Earnings and benefits

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA11.5 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,
	SRA11.5 S2	AND - Minimum legal requirements for income and benefits are properly defined in domestic labor law,
	SRA11.5 S3	AND - Domestic law may not recognize equal remuneration for work of equal value for men and women, however, wages paid to workers/fishers/farmers do reflect equal remuneration,
	SRA11.5 S4	AND - Wage levels and benefits meet the minimum legal requirements according to domestic labor laws of workplace, farm, or country of flagged vessel,
	SRA11.5 S5	AND - Overtime wages are paid in accordance with minimum legal requirements, based on domestic labor laws of workplace, farm, or country of flagged vessel,
	SRA11.5 S6	AND - Wages paid to workers/fishers/farmers are what was promised at the time of employment, are not withheld as a form of discipline, do not contain illegal deductions, are paid on time or directly to the worker/fisher/farmer, and workers/fishers/farmers do not go longer than one month without being paid,
	SRA11.5 S7	AND - Employers legally contract employees,
	SRA11.5 S8	AND - Workers/fishers/farmers are aware of how their earnings or deductions are calculated and their rights to benefits, are allowed to witness procedures used to determine earnings (weighing, grading), and only sign contracts they understand with provisions for different languages or illiteracy,
	SRA11.5 S9	AND - Workers/fishers/farmers receive wage slips with deductions itemized or written receipts.

Research Mode: Desk-based and primary data collection

Desk-based research can be used to determine domestic laws around wages, benefits, overtime, equal pay for men and women, and employment contract and other measures implementing Convention No 188.

Primary data collection can be used to ascertain fishery/farm/workplace level compliance with domestic laws. Surveys and interviews should be conducted with workers/fishers/farmers.

Where applicable, given the variety of payment systems on board fishing vessels, assessors will need to check the type(s) of pay systems in place on the fishing vessels they evaluate. Indicative sources of information for assessors include:

- Fishers' work agreements (which detail the payment system and method)
- Crew list (specifying functions of fishers on board)
- Records of pay or payslips of fishers, where available.
- Records of bank transfers and receipts of pay, where available.
- Collective bargaining agreements.

Suggested survey questions include:

- 1) Do men and women receive equal pay for equal work in your fishery/farm/workplace?
- 2) What is your daily OR weekly OR monthly income?
- 3) What percentage of that is given back to the association/broker/buyer/permit holder/recruiter/fishery/farm as a form of debt repayment (for association dues, recruitment, permits, fuel, motors, gear, etc.)?
- 4) Do you receive benefits in the form of social security or healthcare?
- 5) Do you receive overtime pay?
- 6) How often are you paid?
- 7) Are your payments ever withheld as a discipline?
- 8) Do you have a contract with your employer (not for self-employed fishers/farmers)? If so, do you fully understand your contract?
- 9) If so, have your wages declined since signing a contract with your employer (not for self-employed fishers/farmers)?
- 10) Are you aware of how your earnings are calculated (for example, do you witness the product being weighed or graded)?
- 11) Do you receive wage slips with itemized deductions or written receipts?
- 12) Do you have a means to transmit all or part of the payments received, including advances, to your families at no cost?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA1.1.5 S10	Wages or earnings are higher than minimum legal wages or meet living wage levels (includes being able to provide for family, save, or invest), and benefits are provided beyond legal minimums,
	SRA1.1.5 S11	AND - Both domestic law and practices and policies of the fishery/farm uphold the principles of equal remuneration for men and women,
	SRA1.1.5 S12	AND - The employer and workers discuss how they can improve wages and productivity in mutually beneficial ways,
	SRA1.1.5 S13	AND - There are written contracts between employer and employees in a language employees understand with provisions for illiterate workers.

Research Mode: Desk-based and primary data collection

Desk-based research can be used to determine domestic laws around wages, benefits, overtime, equal pay for men and women, and employment contracts.

Primary data collection can be used to ascertain fishery/farm/workplace level compliance with domestic laws. Surveys and interviews should be conducted with workers/fishers/farmers.

Suggested survey questions include:

- 1) Are you able to make a living wage and save for yourself or your family?
- 2) Do you ever discuss with your employer how to increase wages and productivity in a mutually beneficial way?
- 3) Do you have a written contract with your employer (not for self-employed fishers/farmers)? If so, do you fully understand your written contract?

Indicator 1.1.6: Adequate rest

Question: *Are workers or farmers self-employed?*

If NO, score Indicator 1.1.6: Adequate rest

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA11.6 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,
	SRA11.6 S2	AND - There is a mechanism in place for workers/fishers/farmers to record hours worked,
	SRA11.6 S3	AND - Working hours meet the domestic legal minimum requirements, and overtime hours are paid at a premium as required by law,
	SRA11.6 S4	AND - Workers have at least 10 hours of rest in a 24 hour period and at least 77 hours in a 7 day period,
	SRA11.6 S5	AND - Overtime is voluntary.

Research Mode: Desk-based and primary data collection

Desk-based research can be used to determine domestic laws around working hours on a daily and weekly basis, overtime provisions, and rest periods. Desk-based research can also be used to determine whether or not the country has ratified International Labor Organization convention no. 188.

Primary data collection can be used to ascertain fishery/farm/workplace level compliance with domestic laws. Surveys and interviews should be conducted with workers/fishers/farmers.

The assessor can review the International Labour Organisation's [Guidelines on Flag State Inspection of Working and Living Conditions on Board Fishing Vessels](#).

Indicative sources of information for assessors review when assessing adequate rest include:

- Fishers' work agreements, or the relevant collective agreement, or other documents (such as the bridge and engine-room logbooks, which may also be checked)
- A table of working arrangements or a schedule
- Up-to-date records of work or rest for each fisher serving on the fishing vessel (if national standards require these).

Suggested survey questions include:

- 1) Do you, your employer, or anyone else record your number of hours worked?
- 2) How many hours do you, on average, work daily? Weekly?
- 3) Do you ever work more than [enter overtime hours legally mandated]?
- 4) If so, are you paid at a higher rate? If so, how much?
- 5) Are you required to work over [enter overtime hours legally mandated], or do you do so voluntarily?
- 6) How much rest do you typically get in a 24 hour period?
- 7) How much rest do you typically get in a week?
- 8) How many days do you typically work per week?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA11.6 S6	There is an independent, third party oversight mechanism for verification of working hours,
	SRA11.6 S7	AND - Onshore workers do not work more than 48 hours/week even if the law permits more,
	SRA11.6 S8	AND - Onshore workers do not work more than 6 days/week,
	SRA11.6 S9	AND - The workplace/farm/fishery has systems in place to anticipate peak production needs and seasonal variation to ensure that excessive overtime is not required,
	SRA11.6 S10	AND - The workplace/fishery/farm has paid pre- and post-natal maternity/paternity leave with adequate compensation.

Research Mode: Desk-based and primary data collection

Desk-based research can be used to determine domestic laws around working hours on a daily and weekly basis, overtime provisions, and rest periods. Desk-based research can be used to determine if there is a third party organization recording and verifying hours worked (i.e., a labor union). Desk-based research can also be used to determine whether or not the country has ratified International Labor Organization convention no. 188.

Primary data collection can be used to ascertain fishery/farm/workplace level compliance with domestic laws. Surveys and interviews should be conducted with workers/fishers/farmers.

Suggested survey questions include:

- 1) Does your workplace/farm/fishery have a system in place to anticipate peak production needs and seasonal variation to ensure that excessive overtime is not required?
- 2) Does your workplace/fishery/farm offer paid pre- and post-natal maternity/paternity leave with adequate compensation?

Indicator 1.1.7: Access to basic services

Question: *Does the fishery/farm provide worker housing or require live-aboard vessel time?*

If YES, score Indicator 1.1.7a: Access to basic services for worker housing/live-aboard vessels

If NO, score Indicator 1.1.7b: Access to basic services for small-scale fishing communities

Indicator 1.1.7a: Access to basic services for worker housing/live-aboard vessels

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA1.1.7a 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,
	SRA1.1.7a S2	AND - Housing and sleeping quarters have adequate fire prevention and air ventilation, meet legal requirements, and meet reasonable levels of safety, decency, hygiene, and comfort,
	SRA1.1.7a S3	AND - When present, fisheries observers are provided adequate accommodation appropriate to the size of the monitored entity and equivalent to that of the officers of the monitored entity,
	SRA1.1.7a S4	AND - Sanitary facilities (appropriate to vessel size) with adequate privacy are provided,
	SRA1.1.7a S5	AND - Potable water is accessible to workers,
	SRA1.1.7a S6	AND - Workers/fishers living on site or on board have access to adequate and sanitary food at fair prices.

Research Mode: Desk-based and primary data collection

Desk-based research can be used to determine domestic laws around safety of housing and sleeping quarters. Desk-based research can also be used to determine whether or not the country has ratified International Labor Organization convention no. 188 (for at-sea fisheries). If applicable, desk-based research can be used to review the [International Observer Bill of Rights and Codes of Conduct for Responsible Observer Programmes](#) and the country (based on the vessel flag) that is accountable in terms of protecting observers rights and investigating allegations of observers' rights violation.

Primary data collection can be used to ascertain fishery/farm access to basic services, primarily via direct observation of the vessel or worker housing. Surveys and interviews can also be used and should be conducted with workers/fishers/farmers.

Suggested survey questions include:

- 1) Do you feel safe, clean, and comfortable in your housing and sleeping quarters?
- 2) Do you feel that sanitary facilities with adequate privacy are provided, appropriate to your vessel size when applicable?
- 3) Do you have access to potable water?
- 4) Do you have access to adequate and sanitary food at a fair price?
- 5) Are observers provided with adequate accommodation appropriate to the size of the monitored entity and equivalent to that of the officers of the monitored entity?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA11.7a S7	There are separate sanitary facilities for men and women, or sanitary facilities can be locked from the inside,
	SRA11.7a S8	AND - There are separate sleeping quarters for men and women, or if there is one sleeping space, men and women have separate bunks, or share same bunk during different shifts,
	SRA11.7a S9	AND - Sleeping quarters or sanitation facilities cannot be locked from the outside (restriction of movement is prevented),
	SRA11.7a S10	AND - Workers'/fishers' representatives and management meet regularly to discuss vessel or housing improvements,
	SRA11.7a S11	AND - The workplace/fishery/farm provides childcare.

Research Mode: Desk-based and primary data collection

Desk-based research can be used to determine domestic laws around safety of housing and sleeping quarters. Desk-based research can also be used to determine whether or not the country has ratified International Labor Organization convention no. 188 (for at-sea fisheries).

Primary data collection can be used to ascertain fishery/farm access to basic services (sleeping quarters, sanitation, etc.), primarily via direct observation of the vessel or worker housing. Surveys and interviews can also be used and should be conducted with workers/fishers/farmers.

Suggested survey questions include:

- 1) Do you or your representatives meet regularly with management to discuss vessel or housing improvements?
- 2) Does your workplace/fishery/farm provide childcare?

Indicator 1.1.7b: Access to basic services for small-scale fishing communities

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA1.1.7b 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,
	SRA1.1.7b S2	AND - There is access to potable water in the community,
	SRA1.1.7b S3	AND - There is access to electricity intermittently,
	SRA1.1.7b S4	AND - There is access to sewage disposal (i.e., sewage containers),
	SRA1.1.7b S5	AND - There is access to waste disposal (i.e., community dump).

Research Mode: Primary data collection

Primary data collection can be used to ascertain community access to basic services, primarily via direct observation of community resources. Surveys and interviews can also be used and should be conducted with workers/fishers/farmers.

Suggested survey questions include:

- 1) Do you have access to potable water in the community?
- 2) Do you have access to electricity intermittently?
- 3) Do you have access to sewage disposal (i.e., sewage containers)?
- 4) Do you have access to waste disposal (i.e., community dump)?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA1.1.7b S6	There is access to potable water in each household,
	SRA1.1.7b S7	AND - There is continuous access to electricity,
	SRA1.1.7b S8	AND - There is access to sewage treatment (i.e., community treatment systems),
	SRA1.1.7b S9	AND - There is access to waste management (i.e., garbage collection and sorting of recycled materials).

Research Mode: Primary data collection

Primary data collection can be used to ascertain community access to basic services, primarily via direct observation of community resources. Surveys and interviews can also be used and should be conducted with workers/fishers/farmers.

Suggested survey questions include:

- 1) Do you have access to potable water in your household?
- 2) Do you have access to electricity continuously?
- 3) Do you have access to sewage treatment (i.e., community treatment systems)?
- 4) Do you have access to waste management (i.e., garbage collection and sorting of recycled materials)?

Indicator 1.1.8: Occupational safety

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA11.8 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,
	SRA11.8 S2	AND - On large vessels, making long trips, vessels carry a crew list and provide a copy to authorized persons ashore at the time of vessel departure [long trips defined as 3 days],
	SRA11.8 S3	AND - Workers/fishers/farmers/observers have access to communication equipment, or there is a radio on board for vessels over 24 meters,
	SRA11.8 S4	AND - Adequate personal protective equipment (PPE) (i.e., life jackets) is provided onboard or in the workplace/farm. It is provided at no cost to any employees,
	SRA11.8 S5	AND - Workers/fishers/farmers and managers are trained in health and safety procedures and on proper use of PPE and safe operation of any equipment they use (unless self-employed),
	SRA11.8 S6	AND - Vessel/farm/workplace complies with local/national safety and health regulations.

Research Mode: Desk-based and primary data collection

First, the assessor should use desk-based research to determine what local/national safety and health regulations exist, to then evaluate whether or not the fishery/farm is in compliance. The assessor can review the International Labour Organisation's [Guidelines on Flag State Inspection of Working and Living Conditions on Board Fishing Vessels](#) which includes the application of ILO Convention No. 188, on flag State inspection systems for the fishing sector, on specific issues to be addressed during on-board inspection of working and living conditions on fishing vessels (including requirements of the Convention to be implemented through national laws, regulations or other measures; indicative sources of information for inspectors; interviewing fishers; and examples of deficiencies) and on actions to be taken if deficiencies are identified. The Convention sets requirements that apply to all vessels and more stringent requirements for certain vessels. In accordance with Article 41 of Convention No. 188, certain industrial fishing vessels are required to “carry a valid document issued by the competent authority stating that the vessel has been inspected by the competent authority or on its behalf, for compliance with the provisions of this Convention concerning living and working conditions.”²

² [Guidelines on Flag State Inspection of Working and Living Conditions on Board Fishing Vessels](#), p, 39.

If applicable, desk-based research can be used to review the International Observer Bill of Rights and Codes of Conduct for Responsible Observer Programmes and the country (based on the vessel flag) that is accountable in terms of protecting observers rights and investigating allegations of observers' rights violation—for example, Observer access to satellite phones or ways of communicating when on vessel.

Primary data collection can then be used via direct observation and by implementing surveys and interviews with workers/fishers/farmers. Direct observation can uncover if there is a radio onboard or another type of communication, if there are PFDs, etc. Where applicable, further indicative sources of information for assessors include:

- Logbook.
- Crew list.
- Records of communication between the skipper and the fishing vessel owner.
- Safety and health committee records.
- Reports of accidents and investigations.
- License to fish in relation to area of operation.
- Catch information records that verify the length of time the fishers are likely to have worked.
- Previous inspection reports.
- Safe manning document, where applicable.
- Basic safety training certificate(s).
- Documentation on the qualifications of the fishers on board, including certificates of competency.
- Collective bargaining agreement, where it exists.
- Medical certificates.

Suggested survey questions include:

- 1) Do you have a communication device onboard (cell phone or radio)?
- 2) Do you have personal flotation devices onboard?
- 3) Do you have any other safety equipment onboard (i.e., firstaid)?
- 4) Are you/your manager aware/trained in health and safety procedures? If yes, can you please describe the protocol?
- 5) Do vessels that perform trips for over five days provide a crew list and provide a copy to authorized persons ashore at the time of vessel departure?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA11.8 S7	On small vessels (<24 meters), there is a working radio on board,
	SRA11.8 S8	AND - Workers/fishers/farmers and managers are trained in health and safety procedures and on proper use of PPE and safe operation of any equipment they use,
	SRA11.8 S9	AND - Workplace risks and risk areas are identified in relevant languages with provisions for illiteracy, and workplace accidents are recorded,
	SRA11.8 S10	AND - Workplace/fishery/farm has a written health and safety policy, properly implemented, and workers/fishers/farmers are engaged in reviewing and implementing policy,
	SRA11.8 S11	AND - Workplace/fishery/farm has a structure or mechanism in place (i.e., occupational health and safety committee), with formal channels of communications established, to discuss and implement protection of workplace health and safety,
	SRA11.8 S12	AND - There are special protections for young, pregnant, or other vulnerable workers/fishers/farmers.

Research Mode: Desk-based and primary data collection

First, the assessor should use desk-based research to determine what local/national safety and health regulations exist, to then evaluate whether or not the fishery/farm is in compliance, and if workplace accidents are recorded.

Primary data collection can then be used via direct observation and by implementing surveys and interviews with workers/fishers/farmers. Direct observation can uncover if there is a radio onboard or another type of communication, if there are PFDs, etc.

Suggested survey questions include:

- 1) Have you received training in proper use of PPE and safe operation of any equipment used?
- 2) Does your fishery/farm/workplace have a written health and safety policy that everyone understands and is trained in?
- 3) Is there an occupational health and safety committee, with formal channels of communication established, to discuss and implement protection of workplace health and safety?
- 4) Within the workplace/fishery/farm policy, are there special safety protections for young, pregnant, or other vulnerable workers/fishers/farmers?

Indicator 1.1.9: Medical response

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA11.9 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,
	SRA11.9 S2	AND - Adequate medical supplies are available (i.e., there is a first aid kit),
	SRA11.9 S3	AND - In factories, farms, or large vessels, there is a trained first aid responder,
	SRA11.9 S4	AND - On large vessels, making long trips, fishers have a valid medical certificate attesting to their fitness to work [long trips defined as 3 days],
	SRA11.9 S5	AND - Workers are provided with medical care for workplace injuries and are repatriated if necessary at employer's expense.

Research Mode: Desk-based and primary data collection

First, the assessor should use desk-based research to determine what local/national health regulations exist, to then evaluate whether or not the fishery/farm is in compliance, and if workplace accidents are recorded.

The assessor can review the International Labour Organisation's [Guidelines on Flag State Inspection of Working and Living Conditions on Board Fishing Vessels](#).

Primary data collection can be used via direct observation and by implementing surveys and interviews with workers/fishers/farmers. Direct observation can uncover if there is a first aid kit or adequate medical equipment onboard vessels or in the farm or factory.

Where applicable, further indicative sources of information for assessors include:

- A list of approved medical practitioners and institutions, available from the competent authority.
- Individual fishers' medical certificates.
- The crew list, which could contain details of medical certificate expiry dates.
- Fishers' work agreements to assess for whether the worker/ fishers/ observer are entitled to repatriation in the event that the fisher's work agreement has expired or has been terminated for justified reasons by the fisher or by the fishing vessel owner, or the fisher is no longer able to carry out the duties required under the work agreement or cannot be expected to carry them out in the specific circumstances.

Suggested survey questions include:

- 1) Is there first aid trained personnel within your operations (for large vessels, factories or farms)?
- 2) For large vessels, do workers (or do you) have a medical certificate attesting to your fitness to work?
- 3) Are you provided with medical care if you sustain a work-related injury, and if necessary repatriated at expense of the fishery/farm/factory?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)

SRA1.1.9 S6

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 employer,

SRA1.1.9 S7

AND - Workers/fishers/farmers are trained in emergency response and first aid.

Research Mode: Primary data collection

Primary data collection can be used via direct observation and by implementing surveys and interviews with workers/fishers/farmers. Direct observation can uncover if there is a first aid kit or adequate medical equipment onboard vessels or in the farm or factory.

Suggested survey questions include:

- 1) Have you received training in emergency response and first aid?
- 2) If you sustain any injuries during work are you subject to worker's compensation, lost time pay, and payment of medical expenses, if not by law, then by employer?

Component 1.2: Rights and access to resources are respected and fairly allocated and respectful of collective and indigenous rights

Indicator 1.2.1: Customary resource use rights

Question: *Does the fishery/farm operate within or adjacent to a customary use area?*

If YES, score Indicator 1.2.1: Customary resource use rights

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA1.2.1 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,
	SRA1.2.1 S2	AND - Customary use rights have been mapped out using a participatory stakeholder process,
	SRA1.2.1 S3	AND - The fishery or farm observes the legal and customary rights of local people,
	SRA1.2.1 S4	AND - Fishers are not denied or revoked of fishing rights due to discrimination (e.g., gender, ethnicity, religion, political affiliation) by authorities and/or other communities or entities,
	SRA1.2.1 S5	AND - The farm or fishery is not designated in an area legitimately claimed by communities without their documented Free, Prior, and Informed Consent,
	SRA1.2.1 S6	AND - The farm or fishery understands its impact on customary access to resources, and does not negatively impact adjacent communities, land, and/or water, or restrict access to vital community resources without community approval.

Research Mode: Desk-based and primary data collection

Desk-based work can be used to research whether or not customary or informal use rights may exist in the area, and any documented free, prior, and informed consent processes undertaken; however, if there is no indication or evidence in the literature, the assessor should not assume customary or informal rights do not exist. This is where field visits and primary data collection become critically important, in addition to working with frontline local labor unions, fisher organizations, or human rights representatives.

Primary data could be collected from the fishery/farm via interviews/surveys, but should primarily be collected by engaging the customary resource users; they could have a different perspective or experience than the fishery/farm in question. To fully engage with this indicator, the assessor should become familiarized with what free, prior, and informed consent is from the Declaration on the Rights of Indigenous Peoples (2007). Free indicates that there is no coercion, duress, fraud, bribery, intimidation or manipulation.

Prior indicates that 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. And informed indicates that sufficient information is provided, in appropriate language and format, that covers a range of aspects, including the nature, size, pace, reversibility and scope of any proposed project or activity; the purpose of the project as well as its duration; locality and areas affected; a preliminary assessment of the likely economic, social, cultural and environmental impact, including potential risks; personnel likely to be involved in the execution of the project; procedures the project may entail; and indigenous rights under domestic and national law. All information must be provided free from external manipulation and with sufficient time for review and decision-making in accordance with the laws and customs of the affected indigenous people. This process may include the option of withholding consent. Communities must be allowed to withhold consent.

Suggested survey questions are as follows:

- 1) Have you ever participated in a mapping exercise with other stakeholders where you were able to assert and defend the spatial area indicating where in the marine or coastal environment you have accessed resources for subsistence, cultural or economic resources in the past or present?
- 2) Do you feel that the fishery/farm in question has observed and respected the legal or customary rights and uses of this marine/coastal area?
- 3) Do you feel that your fishing rights have been denied or revoked by the fishery/farm in question, authorities, or another community, due to discrimination (e.g. gender, ethnicity, religion, political affiliation)?
- 4) If the farm/fishery in question coexists in an area of customary or informal resource use, was free, prior, and informed consent undertaken and documented?

- 5) (For the fishery/farm in question): Do you fully understand the suite of potential social, economic or environmental impacts your activity may have on adjacent communities or resource users? If so, what are they, and what attempts have you made to mitigate or avoid these impacts? Did you obtain community approval with full information disclosed before commencing your activity?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA1.2.1 S7	There is an active process to establish a protocol agreement, or there is a protocol agreement in place, with indigenous communities, or communities with customary use rights, using Free, Prior, and Informed Consent,
	SRA1.2.1 S8	AND - Customary resource users are aware of their rights, and are protected under law and can seek recourse within the legal system,
	SRA1.2.1 S9	AND - The fishery or farm is actively mitigating any impacts or conflicts on access to resources for customary users,
	SRA1.2.1 S10	AND - Communities or people with claims to the resource are strongly involved in management of the resource, and traditional practices and knowledge are incorporated into resource management,
	SRA1.2.1 S11	AND - Special attention is paid to ensure women and disadvantaged groups are included in consultation.

Research Mode: Desk-based and primary data collection

Desk-based work can be used to research whether or not customary or informal use rights may exist in the area, and any documented free, prior, and informed consent processes undertaken; however, if there is no indication or evidence in the literature, the assessor should not assume customary or informal rights do not exist. This is where field visits and primary data collection become critically important, in addition to working with frontline local labor unions, fisher organizations, or human rights representatives.

Primary data could be collected from the fishery/farm via interviews/surveys, but should primarily be collected by engaging the customary resource users; they could have a different perspective or experience than the fishery/farm in question.

Suggested survey questions are as follows:

- 1) Are you aware of an agreement in place or underway using Free, Prior, and Informed Consent between the fishery/farm in question and customary resource users in the area?
- 2) Are you aware of your rights as an indigenous person (or otherwise) as protected by the law, and amenable to recourse?
- 3) Have customary resource users (or you, as a customary resource user) been strongly involved in decisions carried out over access, use and management of the resource? Do you feel your voice has been heard in the management process, and your local/traditional knowledge integrated?
- 4) Do you feel special consideration has been given to the most disadvantaged populations affected by decisions carried out over resources, to make sure they are included in the consultation, consent, and management processes?

Indicator 1.2.2: Corporate responsibility and transparency

Question: *Does the fishery/farm constitute a single taxable enterprise or business?*

If YES, score Indicator 1.2.2: Corporate responsibility and transparency

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA1.2.2 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,
	SRA1.2.2 S2	AND - The fishery/farm can demonstrate compliance with all tax laws,
	SRA1.2.2 S3	AND - There is no evidence that owners, managers, fishers or farmers pay bribes to public servants to gain access to resources or to avoid compliance with local regulations,
	SRA1.2.2 S4	AND - The fishery/farm has a human rights policy in place (appropriate to their size and circumstances to meet their responsibility to respect human rights), and can demonstrate evidentiary compliance with their policy.

Research Mode: Desk-based and primary data collection

Desk-based research can be used to determine if the corporate entity has complied with tax laws. Suggested resources include audited tax records. Desk-based research can be used to determine if the corporate entity has material accessible by the general public around their human rights policy or human rights due diligence processes as indicated by UNGP Section II (The Corporate Responsibility to Respect Human Rights), which requires a policy commitment to meet the responsibility to respect human rights. If applicable, desk-based research can be used to review the International Observer Bill of Rights and Codes of Conduct for Responsible Observer Programmes and the country (based on the vessel flag) that is accountable in terms of protecting observers rights and investigating allegations of observers' rights violation.

Primary data collection will be important for determining if bribery and compliance avoidance occurs in the fishery/farm. Since this is a sensitive issue, techniques other than surveys/interviews can be used, such as participant observation, direct observation, or consultation with local experts.

Suggested survey questions are as follows:

- 1) Are you aware of a human rights policy in the fishery/farm in question?
- 2) Does the fishery/farm has a human rights policy in place, and is clear responsibility assigned and operational procedures are in place to implement the human rights policy?
- 3) Can the fishery/farm can demonstrate evidentiary compliance with the human rights policy?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA1.2.2 S5	Farm or fishery publicly discloses their social, economic, and environmental performance,
	SRA1.2.2 S6	AND - Farm or fishery is engaged in multi-stakeholder, worker-centered initiatives aiming to improve social performance across the industry,
	SRA1.2.2 S7	AND - Financial accounts are regularly reviewed by independent third-party auditors,
	SRA1.2.2 S8	AND - Farm or fishery has published social responsibility and environmental policies,
	SRA1.2.2 S9	AND - The human rights policy is communicated and training is provided, in a language or medium understandable to all workers and observers on the fishing vessel and other relevant persons who assume the responsibility or duties for the operation of the fishing vessel or its workers.

Research Mode: Desk-based research

Desk-based research can be used to determine if the corporate entity has material accessible by the general public around social responsibility and transparency in the workplace. Suggested resources include policies by-laws, codes of conduct, manifestos, and any records kept by the corporate entity around compliance and triple bottom line performance. Audited tax records can also be used to score this indicator.

Suggested survey questions are as follows:

- 1) Is the human rights policy communicated in a language or medium understandable to all workers and observers on the fishing vessel and other relevant persons who assume the responsibility or duties for the operation of the fishing vessel or its workers?
- 2) Do workers, fishers, farmers receive adequate training on human rights and are made aware of how to access grievance mechanisms if the human rights policy is not upheld?

PRINCIPLE 2: Ensure equality and equitable opportunity to benefit

Component 2.1: Recognition, voice, and respectful engagement for all groups, irrespective of gender, ethnicity, culture, political, or socioeconomic status

Indicator 2.1.1: Grievance reporting and access to remedy

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA2.1.1 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,
	SRA2.1.1 S2	AND - Workers/fishers/farmers that pertain to a business have knowledge of and access to effective, fair, and confidential grievance mechanisms, or if workers/fisher/farmers are part of a cooperative, association, or customary group, they have knowledge and access to effective and fair grievance mechanisms (according to established protocols and by-laws of transparency, democracy, and equal representation) appropriate for and commensurate with size and scale of fishery/farm,
	SRA2.1.1 S3	AND - There is no retaliation or prejudice against workers/fishers/farmers who submit grievances, including gender-based prejudice or retaliation.

Research Mode: Desk-based and primary data collection

Desk-based work can be used to research whether or not there are available records of grievances, responses, and remedies by the organization/business or by a third party. Also, review cooperative, association, or customary group by-laws or protocols when applicable.

If applicable, desk-based research can be used to review the [International Observer Bill of Rights and Codes of Conduct for Responsible Observer Programmes](#) and the country (based on the vessel flag) that is accountable in terms of protecting observers rights and investigating allegations of observers' rights violation. Fishery observers work independently onboard commercial fishing vessels to collect scientific data on the state of the marine environment, and in some instances report on compliance with fisheries conservation and management measures. Fisheries observers have faced intimidation, threats, lack of transparency when reporting and resolving grievances, and fear of retribution when grievances are reported.

Suggested target population for primary data collection (surveys/interviews) is fishers/workers/farmers and observers.

Suggested survey questions are as follows:

- 1) Since your participation in the fishery, have you received any unfair treatment that you wished or wish to report? If yes, please explain.
- 2) Are you aware of a process through which you can report any complaint or unfair treatment? Can you describe the process?
- 3) If you have used it, did you find it effective, fair, and confidential? If you have not used it, why not?
- 4) If you have used it, did your employers respond to and remedy the situation?
- 5) Do you ever fear retribution or retaliation from employers if you do file a formal complaint?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA2.1.1 S4	Grievance mechanisms are both procedurally and substantively effective at remediation of conflicts and complaints in a time-bound manner with no reoccurring grievances, and these remediation processes (corrective action plans) are publicly disclosed,
	SRA2.1.1 S5	AND - The grievance procedure includes special consideration for vulnerable populations (e.g., migrant workers, women, ethnic minorities),
	SRA2.1.1 S6	AND - Workers/fishers/farmers have access to third party independent organizations or local/customary governance body that can address grievances and ensure effective representation.

Research Mode: Desk-based and primary data collection

Desk-based work can be used to research whether or not there are available records of grievances, responses, and remedies by the organization/business or by a third party. Also, review cooperative, association, or customary group by-laws or protocols when applicable.

Suggested target population for primary data collection (surveys/interviews) is fishers/workers/farmers.

Suggested survey questions are as follows:

- 1) Would you say that remediation occurs in a timely manner directly after the reporting?
- 2) Do similar complaints keep reoccurring, or does the current grievance process result in no reoccurrences?
- 3) Are you aware of any special considerations or protections for vulnerable populations in reporting and addressing grievances, such as for migrant workers, ethnic minorities, and women?
- 4) Do you have access to any additional (third party) organizations that can support in addressing grievances and represent your interests?

Indicator 2.1.2: Stakeholder participation and collaborative management

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA2.1.2 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,
	SRA2.1.2 S2	AND - There is a mechanism for stakeholder participation or in the fishery/ farm management unit (i.e., worker committees, worker-management communication channels, advisory/technical councils, co-management bodies, consultation processes, etc.),
	SRA2.1.2 S3	AND - All affected and relevant stakeholders are represented and no stakeholder groups are excluded based on status, class, gender, ethnicity, etc.,
	SRA2.1.2 S4	AND - Stakeholder input is considered and integrated into decision-making.

Research Mode: Desk-based and primary data collection

Desk-based work can be used to research whether or not there are formal mechanisms for stakeholder participation and collaborative management. Suggested resources include, cooperative or fisher association bylaws, fisheries laws and policies written at any level of government calling for collaborative management or stakeholder participation, etc. However, just because a formal law exists does not mean it is upheld in practice, likewise fisheries governance may happen informally outside of the government.

This is where primary research is important to collect. Suggested target population for primary data collection (surveys/interviews) is fishers/workers/farmers.

Suggested survey questions are as follows:

- 1) Are you involved in any decision-making within your fishery either formally (i.e., through mandates in fisheries policies) or informally (i.e., through customary practice, fishing cooperative norms or bylaws)? If so, how?
- 2) Is there a legal or practical mechanism to ensure your participation in the management of the fishery, (i.e., stakeholder meetings, public comment periods, co-management bodies, advisory committees)?
- 3) Does the collaborative management body of the fishery reflect the demographic make-up of the fishery (i.e., ethnicity, class, gender, migrant status)?
- 4) Do you feel like your input is considered and adequately integrated into decision-making processes to influence the management of the fishery? If so, how?

To Score Low Risk, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA2.1.2 S5	Decisions are publicly communicated, promoted, and transparent,
	SRA2.1.2 S6	AND - Decision-making processes have special consideration provided for disadvantaged and vulnerable groups (i.e., migrant workers, women, ethnic minorities), so that decisions are made by affected stakeholders on equal terms,
	SRA2.1.2 S7	AND - All affected and relevant stakeholders are free to engage in all aspects of fishery/aquaculture governance including decision-making, monitoring, enforcement, and conflict resolution,
	SRA2.1.2 S8	AND - Participation and collaborative management between local stakeholders and government (or between workers and management in the case of industrial fisheries) is fostered and reinforced by civil society organizations working to protect the interests of relevant stakeholders.

Research Mode: Desk-based and primary data collection

Desk-based work can be used to research whether or not decisions are transparent and are made publicly available. Suggested resources include, websites and other platforms for transparency and knowledge dissemination.

Suggested target population for primary data collection (surveys/interviews) is with fishers/workers/farmers.

Suggested survey questions are as follows:

- 1) Do you feel that the entire decision-making process is transparent and made publicly available even to everyone affected by the decision?
- 2) Do you feel that decisions are made by all affected stakeholders are engaged on equal terms (have equal capacity to participate)?
- 3) Are affected and relevant stakeholders free to engage in all aspects of fishery/aquaculture governance including decision-making, monitoring, enforcement, and conflict resolution?
- 4) Do you, or others in the fishery, work with a civil society organization that you feel represents your interests and helps you to engage in collaborative management with the government?

Component 2.2: Equitable opportunities to benefit are ensured to all, through the entire supply chain

Indicator 2.2.1: Equitable opportunity to benefit

Question: *Does the fishery/farm employ women or other marginalized groups (i.e., migrants, ethnic, or religious minorities)?*

If YES, score Indicator 2.2.1: Equitable opportunity to benefit

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA2.2.1 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,
	SRA2.2.1 S2	AND - There is equal access to or opportunity to benefit from the fishery/farm regardless of gender, ethnicity, religion, sexual orientation, class, migrant status, political affiliation, etc.,
	SRA2.2.1 S2	OR - There is not equal access to or opportunity to benefit from the fishery/farm, but a strategy or policy to address inequity is in place.

Research Mode: Desk-based and primary data collection

Desk-based work can be used to research whether or not there are strategies, policies, or practices in place to address inequity in the fishery or farm, for example if there are special provisions for vulnerable or at-risk populations to ensure they can receive benefits as well (i.e., micro-loans for women). Suggested resources include, cooperative or fisher association bylaws, codes of conduct and other formal agreements.

Suggested target population for primary data collection (surveys/interviews) is with fishers/workers/farmers.

Suggested survey questions are as follows:

- 1) Do you feel you have equal opportunity to benefit from the fishery as everyone else participating (i.e., do you have equal access to fishing rights, profits, medical care, social security, markets, loans, credits, subsidies, and social protection measures)? Please explain.

- 2) Do you feel others have equal opportunity to benefit in the fishery regardless of gender, ethnicity, religion, sexual orientation, class, migrant status, or political affiliation? Is there a particular demographic or population that does not have equal opportunity to benefit or is disadvantaged?
- 3) Do you know of any strategy, policy, or practice in place to help disadvantaged people have the equal opportunity to benefit?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA2.2.1 S3	There is evidence of equal access to or opportunity to benefit from the fishery/farm, and marginalized groups are in leadership positions or positions of power,
	SRA2.2.1 S4	AND - Gender transformative policies and research programs are in place when women participate in the farm or fishery (i.e., routine data collection of gender disaggregated data).

Research Mode: Desk-based research

Desk-based work can be used to research whether or not gender transformative policies and research programs are in place and who has access to positions of leadership.

Indicator 2.2.2: Discrimination

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)

- | | |
|-------------|--|
| SRA2.2.2 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, |
| SRA2.2.2 S2 | AND - Workers/fishers/farmers receive equal pay for work of equal value, |
| SRA2.2.2 S3 | AND - There is no discrimination in recruitment promotion, access to training, access to permits, remuneration, allocation of work, termination of employment, retirement, ability to join unions or cooperatives, or other activities, |
| SRA2.2.2 S4 | AND - There is no discrimination in access to benefits e.g., health care, savings accounts, insurance, etc., |
| SRA2.2.2 S5 | AND - There is no compulsory pregnancy testing for female workers/fishers/farmers. |

Research Mode: Desk-based and primary data collection

The assessor can use desk-based research to look into whether or not the country has ratified relevant International Labor Organization Conventions No. 100 and No. 111.

Suggested target population for primary data collection (surveys/interviews) is with fishers/workers/farmers.

Suggested survey questions are as follows:

- 1) Do you feel your wages or earnings are equal and fair relative to others based on an equal value of work (i.e., you receive the same wages for the same catch weight, or the same hours at sea, or based on similar responsibilities, such as divers, or skippers, etc.)?
- 2) Is there equal pay for men and women based on similar work?
- 3) Have you or anyone you know experienced discrimination in the fishery made on the basis of race, gender, color, political affiliation, religion, economic class, immigration status, disability, or sexual orientation, etc.? For example, discrimination can potentially occur during recruitment to the fishery, promotion, access to training, access to permits, remuneration, allocation of work, retirement, ability to join or form a cooperative or union, ability to access benefits, among other things.
- 4) Are you aware of female workers having to do pregnancy testing? (Only applicable in specific contexts).

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA2.2.2 S6	There is a comprehensive and proactive anti-discrimination policy for the fishery or farm. The policy is implemented through procedures and practices, posted in all languages and visible to all workers,
	SRA2.2.2 S7	AND - Managers and workers/fishers/farmers are aware of and trained on the anti-discrimination policy.

Research Mode: Desk-based and primary data collection

The assessor can use desk-based research to look into whether or not the country has ratified relevant International Labor Organization Conventions No. 100 and No. 111. Desk-based work can also be used to research whether or not there is a comprehensive and proactive anti-discrimination policy for the fishery or farm, implemented through procedures and practices, and posted in all languages relevant to workers.

Suggested target population for primary data collection (surveys/interviews) is with fishers/workers/farmers.

Suggested survey questions are as follows:

- 1) Are you aware of, and trained on, an anti-discrimination policy for the fishery or farm? Is it available, visible, or posted in a language you understand?

PRINCIPLE 3: Improve food, nutrition, and livelihood security

Component 3.1: Nutritional and sustenance needs of resource-dependent communities are maintained or improved

Indicator 3.1.1a: Food and nutrition security impacts of industrial fisheries

Question: *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 Indicator 3.1.1a: Food and nutrition security impacts of industrial fisheries

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA3.1.1a S1	There are reliable and transparent data available, and the assessment team is able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected workers/fishers,
	SRA3.1.1a S2	AND - The fishery/farm is operating offshore a marine resource-dependent community or fishing for the same resource (or fish stock) as the local community (either directly as target catch, or indirectly as bycatch), but active measures are being taken to address these impacts,
	SRA3.1.1a S2	OR - The majority of the catch landed by the fishery/farm is not retained for local consumption, or the country or community in question is food/nutrition insecure (i.e., based on % undernourished or FIES, respectively), but active measures are being taken to address these impacts.

Research Mode: Desk-based and primary data collection

Desk-based work can be used to research whether or not the country is food/nutrition secure. The suggested methodology for doing this is to use the FAO Undernourishment Indicator—measures the share of the population which has a caloric (dietary energy) intake which is insufficient to meet the minimum energy requirements defined as necessary for a given population (UN FAO State of Food Security and Nutrition in the World: www.fao.org/state-of-food-security-nutrition/en).

Desk-based work can also be used to research whether the fishery/farm is operating adjacent to Inshore Exclusion Zones set aside for small-scale fisheries.

The assessor can review whether a participatory local food and nutrition assessment has already been conducted. The suggested methodology for doing local food and nutrition security assessment is the FAO Food Insecurity Experience Scale (FIES) (www.fao.org/in-action/voices-of-the-hungry/fies/en/). If this has not already been completed for the community, it can be done using primary research.

The suggested target population for primary data collection (surveys/interviews) is individuals or households within the community to then derive a community score. Collecting FIES primary data consists of a list of eight questions referring to the experiences of an individual or household associated with increasing difficulties in accessing food due to resource constraints.

FIES survey questions are as follows:

During the last 12 months, was there a time when, because of lack of money or other resources:

1. You were worried you would not have enough food to eat?
2. You were unable to eat healthy and nutritious food?
3. You ate only a few kinds of foods?
4. You had to skip a meal?
5. You ate less than you thought you should?
6. Your household ran out of food?
7. You were hungry but did not eat?
8. You went without eating for a whole day?

Other potential survey questions include:

- 1) Do you feel that the operations of the fishery/farm in question, or the operations of another nearby fishery/farm, has impacted your ability to acquire safe and healthy food? If yes, how so? For example, if the transport of your product elsewhere limits your ability to eat fresh, local fish?
- 2) Do you feel that new export markets for seafood has impacted your ability to acquire safe and healthy food? If yes, how so?
- 3) If you answered yes to either of the above questions, has the fishery/farm in question taken steps to address or fix their impacts on food security?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA3.1.1a S3	The fishery/farm is not operating offshore a marine resource-dependent community or fishing for the same resource (or fish stock) as the local community (either directly as target catch, or indirectly as bycatch),
	SRA3.1.1a S3	OR - The majority of the catch landed by the fishery/farm is retained for local consumption, and the country or community in question is not food/nutrition insecure (i.e., based on % undernourished or FIES, respectively).

Research Mode: Desk-based and primary data collection

Desk-based work can be used to research whether or not a participatory local food and nutrition assessment has already been conducted. The suggested methodology for doing local food and nutrition security assessment is the FAO Food Insecurity Experience Scale (FIES) (www.fao.org/in-action/voices-of-the-hungry/fies/en/). If this has not already been completed for the community, it can be done using primary research.

The suggested target population for primary data collection (surveys/interviews) is individuals or households within the community to then derive a community score.

Collecting FIES primary data consists of a list of eight questions referring to the experiences of an individual or household associated with increasing difficulties in accessing food due to resource constraints.

FIES survey questions are as follows:

During the last 12 months, was there a time when, because of lack of money or other resources:

1. You were worried you would not have enough food to eat?
2. You were unable to eat healthy and nutritious food?
3. You ate only a few kinds of foods?
4. You had to skip a meal?
5. You ate less than you thought you should?
6. Your household ran out of food?
7. You were hungry but did not eat?
8. You went without eating for a whole day?

Other survey questions include:

- 1) Are you aware of any programs in place to ensure international or export trade agreements with the fishery/farm do not result in food/nutrition insecurity for the workers/fishers/farmers, their families, or community members?
- 2) Are you allowed to access the marine environment for subsistence purposes? If yes, has your access to marine environment for subsistence purposes increased, decreased, or been stable over the last 12 months?

Indicator 3.1.1b: Food and nutrition security for small-scale fishing communities

Question: *Does the fishery/farm pertain to a marine/coastal resource-dependent community(ies)?*

If YES, score Indicator 3.1.1b: Food and nutrition security for small-scale fishing communities

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA3.1.1b 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,
	SRA3.1.1b S2	AND - The country is food/nutrition secure (i.e., based on % undernourished), or a participatory local food and nutrition security assessment has found low to moderate risk of food/nutrition insecurity,
	SRA3.1.1b S3	AND - International or export trade agreements which affect the fishery/farm have not resulted in food/nutrition insecurity for the workers/fishers/farmers, their families, or community members,
	SRA3.1.1b S3	OR - A participatory local food and nutrition security assessment (i.e., FIES or MDDI-W) has found food/nutrition insecurity impacts due to the fishery/farm (i.e., lack of access to marine resources for subsistence purposes) but active measures are being taken to address these impacts.

Research Mode: Desk-based and primary data collection

Desk-based work can be used to research whether or not the country is food/nutrition secure. The suggested methodology for doing this is to use the FAO Undernourishment Indicator—measures the share of the population which has a caloric (dietary energy) intake which is insufficient to meet the minimum energy requirements defined as necessary for a given population (UN FAO State of Food Security and Nutrition in the World: www.fao.org/state-of-food-security-nutrition/en).

Desk-based work can also be used to research whether or not a participatory local food and nutrition assessment has already been conducted. The suggested methodology for doing local food and nutrition security assessment is the FAO Food Insecurity Experience Scale (FIES) (www.fao.org/in-action/voices-of-the-hungry/fies/en/). If this has not already been completed for the community, it can be done using primary research.

The suggested target population for primary data collection (surveys/interviews) is individuals or households within the community to then derive a community score. Collecting FIES primary data consists of a list of eight questions referring to the experiences of an individual or household associated with increasing difficulties in accessing food due to resource constraints.

FIES survey questions are as follows:

During the last 12 months, was there a time when, because of lack of money or other resources:

1. You were worried you would not have enough food to eat?
2. You were unable to eat healthy and nutritious food?
3. You ate only a few kinds of foods?
4. You had to skip a meal?
5. You ate less than you thought you should?
6. Your household ran out of food?
7. You were hungry but did not eat?
8. You went without eating for a whole day?

Other potential survey questions include:

- 1) Do you feel that the operations of the fishery/farm in question, or the operations of another nearby fishery/farm, has impacted your ability to acquire safe and healthy food? If yes, how so? For example, if the transport of your product elsewhere limits your ability to eat fresh, local fish?
- 2) Do you feel that new export markets for seafood has impacted your ability to acquire safe and healthy food? If yes, how so?
- 3) If answered yes, the either of the above questions, has the fishery/farm in question taken steps to address or fix their impacts on food security?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA3.1.1b S4	There is no food/nutrition insecurity among workers/fishers/farmers and their families, nor among community members adjacent to a fishery/farm (i.e., based on FIES or MDDI-W),
	SRA3.1.1b S4	OR - Where food/nutrition insecurity has been found among seafood-dependent communities (i.e., based on FIES or MDDI-W), local data shows improving food/nutrition security factors (i.e., increasing access to marine resources for subsistence purposes),
	SRA3.1.1b S5	AND - There are programs in place to ensure international or export trade agreements which affect the fishery/farm do not result in food/nutrition insecurity for the workers/fishers/farmers, their families, or community members.

Research Mode: Desk-based and primary data collection

Desk-based work can be used to research whether or not a participatory local food and nutrition assessment has already been conducted. The suggested methodology for doing local food and nutrition security assessment is the FAO Food Insecurity Experience Scale (FIES) (www.fao.org/in-action/voices-of-the-hungry/fies/en/). If this has not already been completed for the community, it can be done using primary research.

The suggested target population for primary data collection (surveys/interviews) is individuals or households within the community to then derive a community score. Collecting FIES primary data consists of a list of eight questions referring to the experiences of an individual or household associated with increasing difficulties in accessing food due to resource constraints.

FIES survey questions are as follows:

During the last 12 months, was there a time when, because of lack of money or other resources:

1. You were worried you would not have enough food to eat?
2. You were unable to eat healthy and nutritious food?
3. You ate only a few kinds of foods?
4. You had to skip a meal?
5. You ate less than you thought you should?
6. Your household ran out of food?
7. You were hungry but did not eat?
8. You went without eating for a whole day?

Other survey questions include:

- 1) Are you aware of any programs in place to ensure international or export trade agreements with the fishery/farm do not result in food/nutrition insecurity for the workers/fishers/farmers, their families, or community members?
- 2) Are you allowed to access the marine environment for subsistence purposes? If yes, has your access to marine environment for subsistence purposes increased, decreased, or been stable over the last 12 months?

Indicator 3.1.2: Healthcare

Question: *Does the fishery/farm pertain to a marine/coastal resource-dependent community(ies)?*

If YES, score Indicator 3.1.2: Healthcare

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA3.1.2 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,
	SRA3.1.2 S2	AND - The community's (adjacent to fishery/farm) healthcare needs have been assessed,
	SRA3.1.2 S3	AND - The community's (adjacent to fishery/farm) healthcare needs are not of concern.

Research Mode: Desk-based and primary data collection

Desk-based work can be used to research whether or not the country or region has poor health indicators. Suggested indicators include life expectancy at birth and/or under-five mortality (see WHO: www.who.int/data/gho/data/indicators/indicators-index).

Desk-based research can also be used to determine whether or not any local health assessments have been done, and if so, what the results indicate. While in the field, the assessor can also visit the local clinic to review what services they have and if they are appropriate for the community's needs. For example, if there is a dive fishery with related injuries or deaths, does the community have access to a decompression chamber?

Primary data can also be collected to augment any existing datasets. The suggested target population for primary data collection (surveys/interviews) is individuals or households within the community or associated with the fishery or farm.

Suggested survey questions are as follows:

- 1) In your opinion, do you and others in the community have access to adequate health care resources? Has this been improving, staying the same, or declining?
- 2) How far is the closest health care clinic?

- 3) What is the level of healthcare you receive from this clinic? Basic, Primary, Specialized?
- 4) If you experience an emergency, how long does it take to reach a hospital?
- 5) Are there any health care resources that are lacking or you wish you had, particularly relevant to your occupation (i.e., decompression chamber)?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA3.1.2 S4	The community's (adjacent to fishery/farm) healthcare needs have been assessed and there are resources being invested to address any needs uncovered,
	SRA3.1.2 S5	AND - Women have adequate access to reproductive healthcare including family planning, pre- and post-natal, and maternal care,
	SRA3.1.2 S6	AND - Local data shows improving healthcare.

Research Mode: Desk-based and primary data collection

Desk-based research can also be used to determine whether or not any local health assessments have been done, and if so, what the results indicate. While in the field, the assessor can also visit the local clinic to review what services they have and if they are appropriate for the community's needs.

Primary data can also be collected to augment any existing datasets. The suggested target population for primary data collection (surveys/interviews) is individuals or households within the community or associated with the fishery or farm (in this case women).

Suggested survey questions are as follows:

- 1) As a woman, do you feel like you have access to reproductive healthcare, including (circle all that apply) family planning, pre-natal, post-natal, and maternal care?
- 2) Are there any health resources you wish you had as a woman, and currently do not?

Indicator 3.1.3: Education

Question: *Does the fishery/farm pertain to a marine/coastal resource-dependent community(ies)?*

If YES, score Indicator 3.1.3: Education

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA3.1.3 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,
	SRA3.1.3 S2	AND - The community's (adjacent to fishery/farm) education needs have been assessed,
	SRA3.1.3 S3	AND - The community (adjacent to fishery/farm) has adequate literacy (literacy rate among youth aged 15-24 is 90% or more), and schooling rates (less than 10% of primary school-age children are out of school) (see SFP 2016),
	SRA3.1.3 S4	AND - Girls and boys do not have different rates of educational attainment.

Research Mode: Desk-based and primary data collection

Desk-based research can be used to determine whether or not any local assessments have been conducted on education needs, literacy rates, schooling rates, and disaggregated gender data. Suggested resources include regional and community-level population census assessments. While in the field, the assessor can also visit the local school to review records there.

Primary data collection via surveys/interviews with local teachers or educators.

Suggested survey questions are as follows:

- 1) Is the literacy rate among youth (aged 15-24) is 90% or more, and schooling rates adequate (less than 10% of primary school-age children are out of school)?
- 2) Do girls and boys attend primary school in equal proportion?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA3.1.3 S5	The community's educational needs have been assessed and there are resources being invested to address any needs uncovered,
	SRA3.1.3 S6	AND - There is universal access to education through a secondary school level, via remote learning where relevant, or access to a technical school, or university.

Research Mode: Desk-based and primary data collection

Desk-based research can be used to determine whether or not any local assessments have been conducted on education needs, literacy rates, schooling rates, and disaggregated gender data. Suggested resources include regional and community-level population census assessments. While in the field, the assessor can also visit the local school to review records there.

Suggested survey questions are as follows:

- 1) Are there any resources being invested into local schools to address identified needs?
- 2) Is there access to a secondary school or remotely-accessed secondary school, or technical school, or university?

Component 3.2: Livelihood opportunities are secured or improved, including fair access to markets and capabilities to maintain income generation

Indicator 3.2.1: Benefits to and within community

Question: *Does the fishery/farm pertain to a marine/coastal resource-dependent community(ies)?*

If YES, score Indicator 3.2.1: Benefits to and within community

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA3.2.1 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,
	SRA3.2.1 S2	AND - People from within the community hold at least some resource access rights or permits,
	SRA3.2.1 S3	AND - Consideration is paid to hiring a local workforce (in the case of industrial vessels, some labor positions are occupied by local workforce).

Research Mode: Desk-based and primary data collection

Desk-based research can be used to look at who comprises the workforce and permit holders if such information exists. Examples of resources include government registers of rights and permit holders and registers of the work/labor force from the fishery or farm.

Primary data can also be collected to augment any existing datasets, or if these registers do not exist. The suggested target population for primary data collection (surveys/interviews) is workers/fishers/farmers.

Suggested survey questions are as follows:

- 1) Does the fishery/farm source inputs and equipment locally from within the community or region?
- 2) In this fishery/farm who holds the access and harvesting rights or permits? Are they mostly held by people from within the community or outside of the community?

- 3) When the government is assigning access and harvesting rights or permits, are local people (residing within the community or region) given priority over non-local?
- 4) If permit or rights holders are different from the labor force (the people actually carrying out the work), would you say special consideration is paid to hiring a local (people residing from within the community or region) labor force?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA3.2.1 S4	The majority of the harvesting workforce is comprised of local residents,
	SRA3.2.1 S5	AND - People from within the community hold the majority of resource access rights or permits,
	SRA3.2.1 S6	AND - Majority of livelihoods and economic benefits from fishery/farm are distributed and retained locally,
	SRA3.2.1 S7	AND - High employment rates of women in local jobs created by fishery/farm.

Research Mode: Desk-based and primary data collection

Again, desk-based research can be used to look at who comprises the workforce and permit holders if such information exists. Examples of resources include, government registers of rights and permit holders, and registers of the work/labor force from the fishery or farm.

Primary data can also be collected to augment any existing datasets, or if these registers do not exist. The suggested target population for primary data collection (surveys/interviews) is workers/fishers/farmers.

Suggested survey questions are as follows:

- 1) In your opinion, has the fishery/farm brought economic benefits to the local community in terms of jobs created and increased economic opportunity?
- 2) In your opinion, has the fishery/farm brought greater economic and livelihood opportunities for women? If so, how?

Indicator 3.2.2: Economic value retention

Question: *Is the fishery/farm operating for subsistence purposes only?*

If NO, score Indicator 3.2.2: Economic value retention

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA3.2.2 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,
	SRA3.2.2 S2	AND - The ratio of gross value added to turnover is between 47-57%.

Research Mode: Desk-based research

Here, (if economic data from the fishery or farm are available) desk-based research can be used to determine the **ratio of gross 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.

Suggested datastreams (variables) for calculating Economic Value Retention include:

- Total catch broken down by species (weight)
- Price per weight paid to fisher for each species (value/weight)
- Fisher return = Total catch x price per weight
- End market value (price that restaurants, retailers, etc. are paying to suppliers x total catch broken down by species)
- Economic Value Retention = Fisher return / End market value

*Important to capture changes in prices over time (or per different market channel available to the fisher(s)) and relate these to catch volume, as price will fluctuate depending on available product in the market or specific market channel (home consumer vs wholesale buyer).

Data-rich scenarios: If data exist for more than one fisher, you can calculate EVR from multiple fishers (provided that the data captured per fisher is of a similar resolution for all fishers). If there are robust time series data (across months and years) you can capture differences in EVR over time as market fluctuates, or you can use average.

Data-limited scenarios: Use data from one fisher who you feel is representative of the larger fishery (with sufficient duration of data capture to achieve representation across both the "good" and "bad" fishing seasons).

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA3.2.2 S3	The ratio of gross value added to turnover is above 57%,
	SRA3.2.2 S4	AND - Formalized training is provided to fishers/farmers in how to add value to their product.

Research Mode: Desk-based and primary data collection

As above.

Suggested survey questions are as follows:

- 1) Have you, or someone you know, received training on how to add value to your product?
- 2) If yes, who provided the training? Was it the fishery/farm?

Indicator 3.2.3: Long-term profitability and future workforce

Question: *Is the fishery/farm operating for subsistence purposes only?*

If NO, score Indicator 3.2.3: Long-term profitability and future workforce

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA3.2.3 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,
	SRA3.2.3 S2	AND - Long-term average operating profit margin is between 11%-18%,
	SRA3.2.3 S3	AND -The average age of workers/fishers/farmers is close to the average age in the country, and new workers/fishers/farmers are joining the workforce.

Research Mode: Desk-based and primary data collection

If economic data from the fishery or farm are available desk-based research can be used to determine the **operating profit margin**—or the ratio of operating profit to turnover. Operating profit is defined as the difference between the turnover and all operating costs.

Desk-based research can also be used to determine the average age of the workforce in the country (via census data) to compare to the average age of the workforce in the particular fishery/farm.

Suggested datastreams (variables) for calculating Operating Profit Margin include:

- Total catch broken down by species (weight)
- Price per weight paid to fisher for each species (value/weight)
- Fisher return = Total catch x price per weight
- Average trip operating costs (or operating costs at interval most relevant to fishery - i.e., daily, weekly, monthly)
- Annual operating costs (fixed costs for fishery - i.e., license renewals, gear, etc.)
- Total costs is calculated by combining trip costs with annual costs
- Operating profit margin = (Fisher return - Total costs) / Fisher return

Primary data collection can be used to survey age and gender of the workforce. The target sample would be the worker fisher/farmer in this case.

Suggested survey questions are as follows:

- 1) Are new fishers/farmers/workers joining the workforce now?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA3.2.3 S4	Long-term average operating profit margin is above 18%,
	SRA3.2.3 S5	AND - New workers/fishers/farmers including women are being recruited into the workforce,
	SRA3.2.3 S6	AND - Women are increasingly taking leadership roles in the supply chain and fishing/farming communities.

Research Mode: Desk-based and primary data collection

Again, (if economic data from the fishery or farm are available) desk-based research can be used to determine the **operating profit margin**—or the ratio of operating profit to turnover. Operating profit is defined as the difference between the turnover and all operating costs.

Desk-based research can also be used to determine the average age of the workforce in the country (via census data) to compare to the average age of the workforce in the particular fishery/farm.

Primary data collection can be used to survey age and gender of the workforce. The target sample would be the worker fisher/farmer in this case.

Suggested survey questions are as follows:

- 1) Are women fishers/farmers/workers joining the workforce now?
- 2) If yes, are women taking on leadership roles in the fishery/farm?

Indicator 3.2.4: Economic flexibility and autonomy

Question: *Do fishers/farmers or their organization (i.e., cooperative, association, etc.) sell their own product?*

If YES, score Indicator 3.2.4: Economic flexibility and autonomy

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA3.2.4 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,
	SRA3.2.4 S2	AND - If applicable, interest rates charged to fishers/farmers are transparent and agreed upon in advance with fishers/farmers,
	SRA3.2.4 S3	AND - There is more than one local fish buyer, and harvesters are free to sell to whomever they wish without retribution,
	SRA3.2.4 S4	AND - There is no price collusion among local buyers,
	SRA3.2.4 S5	AND - Fishers/farmers know the quality expected of the product, how the price is calculated, and when they will be paid via verbal contract with buyers.

Research Mode: Primary data collection

Primary data collection can be used to collect data on all of the above indicators. In order to accurately assess economic autonomy and flexibility of the fishers/farmers, it is critical to interview/survey them directly (as opposed to interviewing buyers, for example).

Suggested survey questions are as follows:

- 1) Are you charged interest rates for loans or credits? If so, do you feel they are fair, transparent, and agreed upon well in advance of your payments? If not, please explain.
- 2) Is there more than one local buyer available to buy your product? If so, are you free to sell to whatever buyer you choose without fear of retribution? If not, please explain.
- 3) If there is more than one buyer, do different buyers buy at different prices, or is the price agreed upon by all buyers?
- 4) Are the buyers transparent about how they set the prices, the quality of product they expect, and when/how you will be paid?
- 5) Do you have a verbal contract with buyers?
- 6) Do you have access to credit markets or are you a recipient of investment opportunities?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA3.2.4 S6	If applicable, fishers/farmers can access loans from at least two types of lenders at interest rates not exceeding government rates or lender's borrowing rate,
	SRA3.2.4 S7	AND - Fishers/farmers are organized into groups to better negotiate with buyers and may be price setters,
	SRA3.2.4 S8	AND - Fishers/farmers know the quality expected of the product, how the price is calculated, and when they will be paid via written contract with buyers (in a language understood or with provisions for illiteracy),
	SRA3.2.4 S9	AND - When applicable, buyers support fishers/farmers through sharing costs of certification and training,
	SRA3.2.4 S10	AND - Fishers/farmers have access to competitive credit markets or are recipients of investment opportunities.

Research Mode: Primary data collection

Primary data collection can be used to collect data on all of the above indicators. In order to accurately assess economic autonomy and flexibility of the fishers/farmers, it is critical to interview/survey them directly (as opposed to interviewing buyers, for example).

Suggested survey questions are as follows:

- 1) Do you have access to loans to support your business? Yes/No, please explain.
- 2) Would you rate them as accessible and/ or affordable? Yes/No, please explain.
- 3) Do multiple lenders exist in your network?
- 4) How do these interest rates compare to government rates and/or lender's borrowing rates?
- 5) Are you able to negotiate or set prices with buyers? If so, how? If not, please explain.
- 6) Are there instances in this fishery, where organized fishers (in cooperatives or unions) can better negotiate prices with buyers? Yes/No, please explain.
- 7) Do you have a written contract with your buyer(s) that you can understand clearly?
- 8) Do buyers ever support you through cost sharing of trainings, certifications, or anything else? If yes, please explain.

Indicator 3.2.5: Livelihood security

Question: *Is the fishery/farm contributing to local livelihood security?*

If YES, score Indicator 3.2.5: Livelihood security

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)

SRA3.2.5 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,
SRA3.2.5 S2	AND - Fishers/farmers/workers work under a license(s) or are recognized as part of the legal work force,
SRA3.2.5 S3	AND - Fishers/farmers/workers have harvesting access (formally or informally) to more than one species/species group,
SRA3.2.5 S4	AND - Fishers/farmers/workers have access to fishing/farming gear needed to fulfill livelihood responsibilities (ice, engines, boats, gear, fuel, bait etc.),
SRA3.2.5 S5	AND - Fishers/farmers/workers, or someone in their household, have alternative livelihoods outside of the fishery or farm.

Research Mode: Primary data collection

Primary data collection can be used to collect data on all of the above indicators. In order to accurately assess livelihood of the fishers/farmers/workers, it is critical to interview/survey them directly.

Suggested survey questions are as follows:

- 1) Do you hold your own access rights, permits, or licenses, or do you work under or sell your catch through someone else's permit or licenses?
- 2) What is your predominant species you harvest? How many other different species or species groups do you have access to on an annual basis (i.e., squid, lobster, tuna, shark, etc.)?
- 3) Do you have the access to the necessary resources for fulfilling your livelihood duties (boat, motor, ice, fishing gear, bait, fuel)? How many different fishing gear types do you have access to on an annual basis?
- 4) Do you, or someone in your household, have access to alternative sources of income or livelihood opportunities?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	SRA3.2.5 S6	Male and female fishers/farmers/workers have formal (legal) access to a portfolio of species/species groups and gear types,
	SRA3.2.5 S7	AND - Male and female fishers/farmers/workers have ownership over the fishing/farming gear needed to fulfill livelihood responsibilities (ice, engines, boats, gear, fuel, bait etc.),
	SRA3.2.5 S8	AND - Male and female fishers/farmers/workers have access to professional development training or capacity building either inside the fishery/farm, or outside (in alternative livelihoods).

Research Mode: Primary data collection

Primary data collection can be used to collect data on all of the above indicators. In order to accurately assess livelihood of the fishers/farmers/workers, it is critical to interview/survey them directly.

Suggested survey questions are as follows:

- 1) Do you have formal (permitted or licensed) access to harvest more than one species/species group and use more than one gear type? Is this the case for both men and women who participate in this fishery?
- 2) Do you own your own fishing/farming gear needed to fulfill your livelihood duties (i.e., ice, boat, motor, gear, bait)? Is this true for both men and women who participate in this fishery?
- 3) Do you have access to professional development training or capacity building opportunities either inside or outside of your fishing/farming livelihood? Is this true for both men and women who participate in the fishery/farm? If so, please explain.
- 4) Do you feel secure within your job? Yes/No, please explain.
- 5) Do you feel you could cope with and/or recover from environmental stresses and shocks to your livelihood?
- 6) Do you feel you could cope with and/or recover from social stresses and shocks to your livelihood?

Indicator 3.2.6: Fuel resource efficiency

To Score **Medium Risk**, the following must be true:

YELLOW: MEDIUM RISK (60-79)	SRA3.2.6 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,
	SRA3.2.6 S2	AND - Ratio of true vessel fuel costs (including subsidy)/fish sales is between 13%-18%.

Research Mode: Desk-based and primary data collection

This can either be calculated from trip tickets, receipts, logbooks, etc. by calculating the ratio of fuel costs to fish sales for a trip (maybe averaged over a time period), or by primary data collection. In many cases, this may be tricky to calculate because fish sales can vary substantially over days, weeks, seasons, etc. As such you may choose to look at a specific time period, or take an average.

If primary data collection is used, the target samples may be the fisher, permit holder, cooperative leader, etc.

Suggested datastreams (variables) for calculating Economic Fuel Efficiency include:

- Total catch broken down by species (weight)
- Price per weight paid to fisher for each species (value/weight)
- Fisher return = Total catch x price per weight
- Average trip operating costs (or operating costs at interval most relevant to fishery - i.e., daily, weekly, monthly)
- Fuel resource efficiency = (Average trip operating costs / Fisher return)

Suggested survey questions are as follows:

- 1) On average, how much do you pay in fuel costs per trip [or per month if there is a lot of variation] (including a fuel subsidy if there is one)?
- 2) How much of this fuel is subsidized?
- 3) Acknowledging the fact that fish sales vary substantially depending on the day, week, season, and year, on average, how much do you make in fish sales per trip [or month if there is a lot of variation]?

To Score **Low Risk**, the following must be true, in addition to the criteria above:

GREEN: LOW RISK (80+)	<table border="1"> <tr> <td data-bbox="256 651 446 991">SRA3.2.6 S3</td><td data-bbox="446 651 1421 991">Ratio of true vessel fuel costs (including subsidy)/fish sales is under 13%.</td></tr> </table>	SRA3.2.6 S3	Ratio of true vessel fuel costs (including subsidy)/fish sales is under 13%.
SRA3.2.6 S3	Ratio of true vessel fuel costs (including subsidy)/fish sales is under 13%.		

Research Mode: Desk-based and primary data collection

This can either be calculated from trip tickets, receipts, logbooks, etc. by calculating the ratio of fuel costs to fish sales for a trip (maybe averaged over a time period), or by primary data collection. In many cases, this may be tricky to calculate because fish sales can vary substantially over days, weeks, seasons, etc. As such you may choose to look at a specific time period, or take an average.

If primary data collection is used, the target samples may be the fisher, permit holder, cooperative leader, etc.

Suggested survey questions are as follows:

- 1) On average, how much do you pay in fuel costs per trip [or per month if there is a lot of variation] (including a fuel subsidy if there is one)?
- 2) How much of this fuel is subsidized?
- 3) Acknowledging the fact that fish sales vary substantially depending on the day, week, season, and year, on average, how much do you make in fish sales per trip [or month if there is a lot of variation]?