

SRA Equivalency Mapping – Fair Trade USA Capture Fisheries Standard (CFS)

Last updated: January 2023

This document provides guidance on the key findings identified by the mapping between the FTUSA Capture Fisheries Standard and the indicators of the Social Responsibility Assessment (SRA) tool. The Equivalency Mapping demonstrates where audit findings from an FTUSA audit can or cannot be used to evaluate a particular SRA Performance Indicator Scoring Guidepost (PISG), which indicates if more data needs to be collected in order to adequately determine risk according to the SRA methodology. Where there is no FTUSA requirement related to an SRA PISG, it does not indicate that the unit of assessment is at high risk for that SRA Performance Indicator. This also does not indicate a gap in the CFS, it simply communicates where additional data needs to be collected to assess risk for that SRA Indicator.

Before using this document, please review the orientation document, *Applying and Using the Social Responsibility Assessment (SRA) Tool Equivalency Mapping*, which provides background on the SRA, its purpose and how it should be used, as well as how to read, use and apply the standard-specific user guidance.

FTUSA Program Information

Background:	Fair Trade USA primarily started out as a certification for coffee and extended other agriculture commodities in its early years. As they expanded to new commodities, factory and seafood programs were added as new categories. The FTUSA standards foster empowerment of workers / fishers that are participating in the program by focusing on worker voice and participation. The CFS also has a section on fisheries management. Workers / fishers are offered a Premium after having been certified, which is an extra \$/unit rate that is applied to the price paid for FTUSA Certified™ products that is passed through the supply chain directly to the workers / fishers.
Scheme Owner:	Fair Trade USA
Website:	https://www.fairtradecertified.org/
Standard development and management:	Fair Trade USA is recognized as a full ISEAL member. As a member of ISEAL, they are audited on an annual basis against the ISEAL Code of Good Practice that reviews standard development / revision procedures, standard governance, and assurance practices.
Assurance:	Selected accredited third-party conformity assessment bodies are approved to conduct CFS audits. Assurance processes are also audited against ISEAL Code of Good Practice on an annual basis.
Label:	FTUSA has a consumer-facing label. The program requires chain of custody auditing of any entity in the supply chain handling product to ensure integrity of the product being labelled. Companies licensing the label adhere to strict guidelines about claims and label use.
Scope:	The FTUSA CFS is applicable to groups of fishers, either owned by a company or individual operators (either organized in a cooperative or not), and land-based operations. FTUSA primarily certifies small to medium scale fisheries with some key eligibility requirements. They will not certify vessels that take trips longer than 30 days and will not certify vessel targeting certain species (sharks, turtles, mammals). Processing and landing sites that are managed by the same entity as that which manages the vessels must be included in scope of the certificate.
Geography:	Global
Key focus areas:	Fundamental human rights, worker / fisher empowerment, community development, data-limited fisheries management, internal management systems, worker / fisher safety
Areas covered outside the SRA framework:	<ul style="list-style-type: none"> • Development of a Fishing Association and/or Fair Trade Committee • Fair Trade Premium spent according to a democratically developed premium plan based on a full assessment of community needs

- Capacity building and an emphasis on training workers / fishers in several areas, including worker rights, fisheries management, data collection, and finances
- Full section of fisheries management
- Rigorous traceability and contract requirements
- Detailed internal management system including risk assessment and internal assessments.

Summary of Alignment

	# of SRA PISGs	# of Full Matches	# of Partial Matches	# of No Matches
PRINCIPLE 1				
Component 1.1: Fundamental human rights respected, labor rights protected				
1.1.1 Abuse and harassment	7	7	0	0
1.1.2a Human trafficking and forced labor	5	4	1	0
1.1.2b Debt bondage in small-scale fisheries	5	3	0	2
1.1.3: Child Labor	5	5	0	0
1.1.4: Freedom of Association and Collective Bargaining	7	5	1	1
1.1.5: Earnings and Benefits	12	9	2	1
1.1.6: Adequate Rest	9	9	0	0
1.1.7a: Access to basic services	10	7	2	1
1.1.7b: Access to basic services (Small-scale fishing communities)	8	0	0	8
1.1.8: Occupational safety	11	8	2	1
1.1.9: Medical response	6	5	1	0
Component 1.2: Rights and access to resources are respected and fairly allocated and respectful of collective and indigenous rights				
1.2.1: Customary use rights	10	0	7	3
1.2.2: Corporate responsibility and transparency	8	3	0	5
PRINCIPLE 2				
Component 2.1: Recognition, voice, and respectful engagement for all groups, irrespective of gender, ethnicity, culture, political, or socioeconomic status				
2.1.1 Grievance reporting and access to remedy	5	4	0	1
2.1.2: Stakeholder Participation and Collaborative Management	7	3	1	3
Component 2.2: Equitable opportunities to benefit are ensured to all, through the entire supply chain				
2.2.1: Equitable opportunity to benefit	3	2		1
2.2.2: Discrimination	6	4	1	1
PRINCIPLE 3				
Component 3.1: Nutritional and sustenance needs of resource-dependent communities are maintained or improved				
3.1.1a Food and Nutrition Security	2	0	0	2
3.1.1b Food and Nutrition Security	4	0	0	4
3.1.2 Healthcare	5	1	3	1
3.1.3 Education	5	1	2	2
Component 3.2: Livelihood opportunities are secured or improved, including fair access to markets and capabilities to maintain income generation				

3.2.1: Benefits to and within community	6	0	0	6
3.2.2: Economic value retention	3	0	1	2
3.2.3: Long-term profitability and future workforce	5	0	0	5
3.2.4: Economic flexibility and autonomy	9	4	1	4
3.2.5: Livelihood security	7	0	0	7
3.2.6: Fuel resource efficiency	2	0	0	2

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

Component 1.1: Fundamental human rights respected; labor rights protected

Indicator 1.1.1: Abuse and harassment

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Coverage
SRA1.1.1 S.1	YELLOW: MEDIUM RISK (60-70)	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		
SRA1.1.1 S.2		AND - Migrant status is not used as a threat or tool of coercion	2.4.2.a	Full
SRA1.1.1 S.3		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,	2.4.2.a	Full
SRA1.1.1 S.4		AND - Workers/fishers/farmers' families or community members are not threatened by employers, buyers, labor brokers, or organized crime;	2.4.2.a	Full
SRA1.1.1 S.5		AND - There is no forced drug use, or labor and/or product is not compensated for with drugs.	2.4.2.b	Full

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

SRA1.1.1 S.6	GREEN: LOW RISK (80+)	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;	1.2.5.c 4.5.2.a 4.5.2.d 2.1.1.a	Full
SRA1.1.1 S.7		Managers and workers/fishers/farmers are aware of and trained on the harassment policy;	4.5.2.b	Full
SRA1.1.1 S.8		Workers have grievance procedures to report harassment and do not face retaliation for using them.	1.2.2.d 4.5.2.c 4.5.2.d 4.5.2.h	Full

Indicator 1.1.2a: Human trafficking and forced labor

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Coverage
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SRA1.1.2a S.1	YELLOW: MEDIUM RISK (60-70)	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 S.2		AND - The farm/fishery has a policy prohibiting the use of forced, bonded, indentured, prison labor, slavery or trafficked labor	2.1.1.a	Full
SRA1.1.2a S.3		AND - There are no indicators of unfree recruitment, life and work under duress, or impossibility of leaving employer (see appendix for full list of indicators), 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,	2.2.1.a 2.5.1.a 2.5.1.b 4.1.1.b 4.1.4.b 4.1.4.d 4.1.4.e 4.3.1.b	Full
		OR - There is at least one indicator of unfree recruitment, life and work under duress, or impossibility of leaving employer (see appendix for full list of indicators), but the farm/fishery is actively implementing, tracking progress, and reporting on a remediation plan.		

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

SRA1.1.2a S.4	GREEN: LOW RISK (80+)	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,	2.1.1.a	Partial
		Key findings: 2.1.1.a does not specify training on the policy. To align: Demonstrate that workers have been trained on the policy on forced labor and human trafficking.		
SRA1.1.2a S.5		AND - Workers/fishers/farmers do not pay any recruitment fees (document/visa/passport fees excluded),	4.3.2.a 4.3.2.b 4.3.2.c	Full
SRA1.1.2a S.6		AND - Workers/fishers/farmers are paid at least monthly.	3.1.2.b 4.2.2.b	Full

Indicator 1.1.2b: Debt bondage in small-scale fisheries

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA1.1.2b S.1	YELLOW: MEDIUM RISK (60-70)	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		
SRA1.1.2b S.2		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	N/A	No Alignment
SRA1.1.2b S.3		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),	N/A	No Alignment

SRA1.1.2b S.4		AND - The fisher/farmer is allowed to witness the product being weighed or graded to calculate their income (or share of catch).	3.1.1.d 4.1.2.b	Full
SRA1.1.2b S.5		AND - If applicable, interest rates charged to fishers/farmers are transparent and agreed upon in advance with fishers/farmers	8.2.5.a	Full

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

SRA1.1.2b S.6	GREEN: LOW RISK (80+)	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),	8.2.5.a	Full
		OR - The fisher/farmer is NOT paying off debt to the cooperative, association, buyer, or permit holder.	8.2.5.a	Full

Indicator 1.1.3: Child labor

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA1.1.3 S.1	YELLOW: MEDIUM RISK (60-70)	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		
SRA1.1.3 S.2		AND - There is no evidence of hazardous child labor,	2.3.2.a 2.3.2.b 2.3.2.c	Full
SRA1.1.3 S.3		AND - Children below the legal age of employment are not employed as waged workers,	2.3.1.a 2.3.1.b	Full
SRA1.1.3 S.4		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,	2.3.2.b	Full
SRA1.1.3 S.5		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.	2.1.1.a 2.3.1.a 2.3.1.d 2.3.2.b	Full

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

SRA1.1.3 S.6	GREEN: LOW RISK (80+)	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.	2.1.1.a 2.3.1.a 2.3.1.d 2.3.2.b	Full
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Indicator 1.1.4: Freedom of association and collective bargaining

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA1.1.4 S.1		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		
SRA1.1.4 S.2		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	2.5.1.a	Full
SRA1.1.4 S.3		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,	1.3.1.a 1.3.1.c 4.5.2.c 9.3.1.a	Full
SRA1.1.4 S.4		AND - Human rights defenders are not actively suppressed and there is no recent record of litigation by employers against human rights defenders,	N/A	No Alignment
SRA1.1.4 S.5		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.	2.5.2.a	Full

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

SRA1.1.4 S.6	GREEN: LOW RISK (80+)	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,	2.1.1.a	Full
SRA1.1.4 S.7		AND - Workers/fishers/farmers are trained by workers' organizations on their rights to organize and bargain collectively,	4.5.1.a	Full
SRA1.1.4 S.8		AND - Women participate in unions or cooperatives commensurate with their representation in the workforce.	2.5.2.b	Partial
		<p>Key findings: FTUSA protects any women who want to join from any kind of discrimination but does not evaluate whether women are well represented specifically in labor unions.</p> <p>To align: Verify representation of women in workers' organizations and/or unions and compare to SRA UoA demographics.</p> <p><i>Note: there are several requirements (1.2.4.a, 1.3.1.a & b) that require that the Fair Trade Committee, which represents workers, is representative. If there are women present, they would have to be represented on the Fair Trade Committee to meet the CFS requirements. If the Fair Trade Committee is the only form of labor representative / cooperative in the fishery, then this may be fully met. If there are other unions external to FTUSA that fishers are part of, the assessor will need to verify representativeness of the union.</i></p>		

Indicator 1.1.5: Earnings and benefits

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA1.1.5 S.1	YELLOW: MEDIUM RISK (60-70)	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		
SRA1.1.5 S.2		AND - Minimum legal requirements for income and benefits are properly defined in domestic labor law,	N/A	No Alignment
SRA1.1.5 S.3		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,	2.4.1.b	Full
SRA1.1.5 S.4		AND - Wage levels and benefits meet the minimum legal requirements according to domestic labor laws of workplace, farm, or country of flagged vessel,	3.1.1.b 4.2.1.a 4.2.3.a 4.2.3.b 4.2.3.c 4.2.3.d 4.2.4.b 4.2.4.c 4.2.4.d	Full
SRA1.1.5 S.5		AND - Overtime wages are paid in accordance with minimum legal requirements, based on domestic labor laws of workplace, farm, or country of flagged vessel,	3.1.1.b 4.2.1.a	Full
SRA1.1.5 S.6		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,	3.1.1.d 3.1.2.a 3.1.2.b 3.1.2.c 3.1.2.d 4.1.2.b 4.2.2.a 4.2.2.b 4.2.2.c 4.2.2.d	Full
SRA1.1.5 S.7		AND - Employers legally contract employees,	4.3.1.c	Full
SRA1.1.5 S.8		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,	3.1.1.a 3.1.1.c 3.1.1.d 4.1.1.a 4.1.2.a 4.1.2.b	Full
SRA1.1.5 S.9		AND - Workers/fishers/farmers receive wage slips with deductions itemized or written receipts.	4.1.1.c	Full

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

SRA1.1.5 S.10	GREEN: LOW RISK (80+)	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,	3.1.1.b 4.2.1.a 4.2.3.a 4.2.3.b 4.2.3.c 4.2.3.d 4.2.4.b 4.2.4.c 4.2.4.d	Partial
Key findings:				

		Benefits are required regardless of law, but are progress or best practice criteria, so will need to double check in the report what is relevant. The CFS does not guarantee that wages are above minimum wage, so more data will need to be collected here.		
		<p>To align: Document review and interviews to verify if wages earned by workers and/or fishers are above minimum wage and/or are approaching living wage.</p> <p><i>Note: CFS has several requirements on living wage about assessing the gap and creating a plan towards living wage (4.2.1.c to 4.2.1.e). The data collected for these is not perfectly aligned with the SRA, but may be valuable in understanding risk.</i></p>		
SRA1.1.5 S.11		AND - Both domestic law and practices and policies of the fishery/farm uphold the principles of equal remuneration for men and women,	2.4.1.b	Partial
		<p>Key findings: While the CFS requires equal remuneration by the Certification Holder, it does not require protections to be bound by local laws.</p> <p>To align: Desk research to verify if there are laws protecting equal remuneration in the region.</p>		
SRA1.1.5 S.12		AND - The employer and workers discuss how they can improve wages and productivity in mutually beneficial ways,	4.2.1.d	Full
SRA1.1.5 S.13		AND - There are written contracts between employer and employees in a language employees understand with provisions for illiterate workers.	4.1.1.a 4.1.1.d 4.1.1.e	Full

Indicator 1.1.6: Adequate rest

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA1.1.6 S.1	YELLOW: MEDIUM RISK (60-70)	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		
SRA1.1.6 S.2		AND - There is a mechanism in place for workers/fishers/farmers to record hours worked,	6.1.1.a 5.1.1.c	Full
SRA1.1.6 S.3		AND - Working hours meet the domestic legal minimum requirements, and overtime hours are paid at a premium as required by law,	4.2.1.a 5.1.1.a 6.1.1.a	Full
SRA1.1.6 S.4		AND - Workers have at least 10 hours of rest in a 24 hour period and at least 77 hours in a 7 day period,	5.1.1.a	Full
SRA1.1.6 S.5		AND - Overtime is voluntary.	6.1.2.a 5.1.1.a	Full

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

SRA1.1.6 S.6	GREEN: LOW RISK	There is an independent, third party oversight mechanism for verification of working hours,	*	Full
		<i>*The FTUSA audit serves as third-party verification.</i>		
SRA1.1.6 S.7		AND - Onshore workers do not work more than 48 hours/week even if the law permits more,	6.1.1.a	Full
SRA1.1.6 S.8		AND - Onshore workers do not work more than 6 days/week,	6.1.1.c	Full
SRA1.1.6 S.9		AND - The workplace/farm/fishery has systems in place to anticipate peak production needs and seasonal	4.1.3.a	Full

SRA1.1.6 S.10		variation to ensure that excessive overtime is not required,		
		AND - The workplace/fishery/farm has paid pre- and post-natal maternity/paternity leave with adequate compensation.	4.2.3.a 4.2.3.c	Full

Indicator 1.1.7a: Access to basic services

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA1.1.7a S.1	YELLOW: MEDIUM RISK (60-70)	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		
SRA1.1.7a S.2		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,	4.4.1.d 4.4.1.e 4.4.1.f 4.4.1.g 5.2.1.c 5.2.1.d 5.2.1.e	Full
SRA1.1.7a S.3		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	5.2.2.e	Partial
		Key findings: Under the CFS, observers are to be treated equally to crew members as per the definition on page 14 of the standard document. 5.2.2.e requires comfort and privacy, but no special requirements for observers. To align: Verify during vessel inspection, observers are provided with accommodation in line with this SRA PISG.		
SRA1.1.7a S.4		AND - Sanitary facilities (appropriate to vessel size) with adequate privacy are provided,	5.2.2.c	Full
SRA1.1.7a S.5		AND - Potable water is accessible to workers,	5.2.2.a 6.2.3.a	Full
SRA1.1.7a S.6		AND - Workers/fishers living on site or on board have access to adequate and sanitary food at fair prices.	4.4.1.a 4.4.1.b	Full

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

SRA1.1.7a S.7	GREEN: LOW RISK (80+)	There are separate sanitary facilities for men and women, or sanitary facilities can be locked from the inside,	5.2.2.c	Partial
		Key findings: FTUSA only requires that sanitary facilities are provided, not that they lock from the inside. There is also no requirement to have separate facilities for men and women. To align: During vessel inspection, verify if sanitary facilities have been provided separate facilities for men and women or that they can lock from the inside only.		
SRA1.1.7a S.8		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,	5.2.2.e	Full
SRA1.1.7a S.9		AND - Sleeping quarters or sanitation facilities cannot be locked from the outside (restriction of movement is prevented),	N/A	No Alignment

SRA1.1.7a S.10		AND - Workers'/fishers' representatives and management meet regularly to discuss vessel or housing improvements,	9.3.1.a	Full
SRA1.1.7a S.11		AND - The workplace/fishery/farm provides childcare.	4.4.2.a	Full

Indicator 1.1.7b: Access to basic services (Small-scale fishing communities)

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA1.1.7b S.2	YELLOW: MEDIUM RISK (60-70)	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		
SRA1.1.7b S.2		AND - There is access to potable water in the community,	N/A	No Alignment
SRA1.1.7b S.3		AND - There is access to electricity intermittently,	N/A	No Alignment
SRA1.1.7b S.4		AND - There is access to sewage disposal (i.e. sewage containers),	N/A	No Alignment
SRA1.1.7b S.5		AND - There is access to waste disposal (i.e. community dump).	N/A	No Alignment

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

SRA1.1.7b S.6	GREEN: LOW RISK (80+)	There is access to potable water in each household,	N/A	No Alignment
SRA1.1.7b S.7		AND - There is continuous access to electricity,	N/A	No Alignment
SRA1.1.7b S.8		AND - There is access to sewage treatment (i.e. community treatment systems)	N/A	No Alignment
SRA1.1.7b S.9		AND - There is access to waste management (i.e. garbage collection and sorting of recycled materials).	N/A	No Alignment

Indicator 1.1.8: Occupational safety

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA1.1.8 S.1	YELLOW: MEDIUM RISK (60-70)	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		
SRA1.1.8 S.2		AND - Vessels on trips over five days carry a crew list and provide a copy to authorized persons ashore at the time of vessel departure (unless self-employed),	N/A	No Alignment
SRA1.1.8 S.3		AND - Workers/fishers/farmers/observers have access to communication equipment, or there is a radio on board for vessels over 24 meters, and fisheries observers (when present) are able to access communication equipment	5.3.1.a 5.3.3.g	Partial
		Key findings: While FTUSA specifies that there needs to be an electronic communication system, it does not guarantee that fishers have access to it. To align: Collect data to demonstrate fishers have access to communication equipment.		

		<i>Note the intent and clarification for 5.3.1.a stipulates it's best practice to have a radio or satellite communication available to provide medical advice. As it is a recommendation, it is not guaranteed but can be verified during the onsite data collection in support of evidence for this SRA PISG.</i>		
SRA1.1.8 S.4		AND - Adequate personal protective equipment (PPE) (i.e. lifejackets) is provided on board or in the workplace/farm at no cost (unless self-employed),	5.2.1.a 5.2.1.b 6.3.2.a 6.3.2.b	Full
SRA1.1.8 S.5		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),	5.3.2.a 5.3.2.b 6.3.3.b 6.3.3.c	Full
SRA1.1.8 S.6		AND - Vessel/farm/workplace complies with local/national safety and health regulations.	5.2.1.c Introduction p. 9	Full

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

SRA1.1.8 S.7		On small vessels (<24 meters), there is a working radio on board,	5.3.3.g	Partial
		Key findings: Note that under the CFS, this is not applicable for small vessels operating off transfer vessels which remain in line of sight. To align: Verify electronic communications on any small vessels that meet this criterion.		
SRA1.1.8 S.8	GREEN: LOW RISK (80+)	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,	5.3.2.a 5.3.2.b 6.3.3.b 6.3.3.c	Full
SRA1.1.8 S.9		AND - Workplace risks and risk areas are identified in relevant languages with provisions for illiteracy, and workplace accidents are recorded,	5.3.2.c 5.3.2.d 5.3.3.a 5.3.3.b 6.3.3.d 6.3.4.b	Full
SRA1.1.8 S.10		AND - Workplace/fishery/farm has a written health and safety policy, properly implemented, and workers/fishers/farmers are engaged in reviewing and implementing policy,	5.3.3.d 6.3.4.a 6.3.4.c 6.3.4.e	Full
SRA1.1.8 S.11		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,	5.3.3.e 6.3.4.d 6.3.4.e	Full
SRA1.1.8 S.12		AND - There are special protections for young, pregnant, or other vulnerable workers/fishers/farmers.	6.2.2.a	Full

Indicator 1.1.9: Medical response

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA1.1.9 S.1	YELL	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		

SRA1.1.9 S.2	AND - Adequate medical supplies are available (i.e. there is a first aid kit),	5.3.1.a 6.3.1.a	Full
SRA1.1.9 S.3	AND - In factories, farms, or large vessels, there is a trained first aid responder,	5.3.3.e 6.3.4.d	Full
SRA1.1.9 S.4	AND - On large vessels, making long trips, fishers have a valid medical certificate attesting to their fitness to work,	5.3.3.c	Full
SRA1.1.9 S.5	AND - Workers are provided with medical care for workplace injuries and are repatriated if necessary at employer's expense.	4.2.4.a 4.3.1.a 5.3.1.a 6.3.1.a	Full

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

SRA1.1.9 S.6	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,	4.2.4.c	Full
SRA1.1.9 S.7	AND – Workers/fishers/farmers are trained in emergency response and first aid.	5.3.2.a 5.3.2.b 6.3.3.b 6.3.3.c	Partial
<p>Key findings: FTUSA does not require all workers to be trained of first aid, although they are subject to simulation exercises for evacuation and other health and safety procedures.</p> <p>To align: All workers would need to have received some level of first aid training. This can be verified by reviewing records of any first aid trainings offered to workers/fishers.</p>			

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 use rights

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA1.2.1 S.1	YELLOW: MEDIUM RISK (60-70)	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		
SRA1.2.1 S.2		AND - Customary use rights have been mapped out using a participatory stakeholder process,	7.7.2.b	Partial
		<p>Key findings: FTUSA requires that the Certificate Holder or Fishing Association undertake a mapping exercise but does not require any outside input from others using the resources on the mapping they have completed.</p> <p>To align: Verify whether or not other resource users have had the chance to provide input on the accuracy of this mapping.</p>		
SRA1.2.1 S.3		AND - The fishery or farm observes the legal and customary rights of local people,	7.7.1.a	Partial
		<p>Key findings: This requirement in the CFS would ensure any legal protections of customary users on the fishery were being followed by the certified fishery but is not as clear about customary rights specifically.</p> <p>To align:</p>		

SRA1.2.1 S.4		Desk research should be done to identify customary users, in particular, those not formally identified by the law, and very via primary data collection if the fishery is respecting any customary users.		
		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,	N/A	No Alignment
SRA1.2.1 S.5		AND - The farm or fishery is not designated in an area legitimately claimed by communities without their documented Free, Prior, and Informed Consent,	7.7.3.b	Partial
SRA1.2.1 S.6		Key findings: The SRA criteria explicitly state Free, Prior and Informed Consent - this is not explicitly stated in the FTUSA criteria.		
		To align: Provide evidence that the fishery designation was achieved explicitly with the Free, Prior and Informed Consent of communities.		
		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.	7.7.3.b 7.7.3.d	Partial
		Key findings: Although the CFS stipulates that there must be an action plan to address issues, it does not explicitly state that negative impacts of the fishery on communities and resources nor access issues are being resolved.		
		To align: - First step: review the action plan. If the action plan is addressing these issues, you can reference that as evidence. - Second step: If the action plan is not specifically addressing these areas, collect data to demonstrate whether or not issues are being resolved through other mechanisms.		

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

SRA1.2.1 S.7	GREEN: LOW RISK (80+)	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,	7.7.3.b	Partial
		Key findings: The FTUSA criteria does not explicitly state that indigenous communities / communities with customary use rights are engaged with.		
		To align: Provide evidence of a protocol agreement with indigenous communities / communities with customary use rights with their Free, Prior and Informed Consent.		
SRA1.2.1 S.8		AND - Customary resource users are aware of their rights, and are protected under law and can seek recourse within the legal system,	N/A	No Alignment
SRA1.2.1 S.9		AND - The fishery or farm is actively mitigating any impacts or conflicts on access to resources for customary users,	7.7.3.d 7.7.4.a 7.7.4.b	Partial
		Key findings: While the conflict resolution mechanism under the CFS can demonstrate that conflicts are being addressed, it is not guaranteed that the action plan is mitigating any impacts on access to resources for customary users.		
		To align: - First step: review the action plan. If the action plan is addressing these issues, you can reference that as evidence.		

		- Second step: If the action plan is not specifically addressing these areas, collect data to demonstrate whether or not issues are being resolved through other mechanisms.		
SRA1.2.1 S.10		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,	N/A	No Alignment
SRA1.2.1 S.11		AND - Special attention is paid to ensure women and disadvantaged groups are included in consultation.	7.7.2.b	Partial
		Key findings: FTUSA ensures that these groups have been clearly identified in the stakeholder mapping process, but it's not guaranteed that they have been granted any special opportunities for consultation. To align: Verify the extent to which women and minority groups have been consulted in any co-management efforts.		

Indicator 1.2.2: Corporate responsibility and transparency

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA1.2.2 S.1	YELLOW: MEDIUM RISK (60-70)	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		
SRA1.2.2 S.2		AND - The fishery/farm can demonstrate compliance with all tax laws	N/A	No Alignment
SRA1.2.2 S.3		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.	N/A	No Alignment
SRA1.2.2 S.4		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,	2.1.1.a	Full

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

SRA1.2.2 S.5	GREEN: LOW RISK (80+)	Farm or fishery publicly discloses their social, economic, and environmental performance,	N/A	No Alignment
SRA1.2.2 S.6		AND - Farm or fishery is engaged in multi-stakeholder, worker-centered initiatives aiming to improve social performance across the industry,	N/A	No Alignment
SRA1.2.2 S.7		AND - Financial accounts are regularly reviewed by independent third-party auditors,	N/A	No Alignment
SRA1.2.2 S.8		AND - Farm or fishery has published social responsibility and environmental policies.	1.1.4.a	Full
SRA1.2.2 S.9		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	1.1.2.b 4.5.1.a 4.5.2.b	Full

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:

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA2.1.1 S.1	YELLOW: MEDIUM RISK (60-70)	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		
SRA2.1.1 S.2		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,	1.2.5.d 1.2.5.e 4.5.2.c 4.5.2.e	Full
SRA2.1.1 S.3		AND - There is no retaliation or prejudice against workers/fishers/farmers who submit grievances, including gender-based prejudice or retaliation.	1.2.5.h 4.5.2.h	Full

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

SRA2.1.1 S.4	GREEN: LOW RISK (80+)	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,	4.5.2.i	Partial
		Key findings: The CFS does not require public disclosure of remediation processes.		
		To align: Collect data to demonstrate there is public disclosure of remediation processes.		
SRA2.1.1 S.5		AND - The grievance procedure includes special consideration for vulnerable populations (e.g. migrant workers, women, ethnic minorities),	4.5.2.c	Full
SRA2.1.1 S.6		AND - Workers/fishers/farmers have access to third party independent organizations or local/customary governance body that can address grievances and ensure effective representation.	4.5.2.c*	Full

*Referenced in the intent and clarification as a requirement.

Indicator 2.1.2: Stakeholder participation and collaborate management

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA2.1.2 S.1	YELLOW	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		

SRA2.1.2 S.2	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.),	1.2.1.a 1.2.2.b 7.7.2.a 9.3.1.a	Full
SRA2.1.2 S.3	AND - All affected and relevant stakeholders are represented and no stakeholder groups are excluded based on status, class, gender, ethnicity, etc.,	1.2.5.h 1.3.1.c 4.5.2.h 7.7.3.a 9.4.2.a	Partial
	Key findings: Although there are several criteria related to discrimination and stakeholder participation, exclusivity of these mechanisms is not explicitly addressed in the CFS. 1.2.5.h ensures that fishers in a fishing association are not discriminated against for using a grievance mechanism 1.3.1.c ensure there is democratic decision making of the Premium Participants 9.4.2.a making sure that there is no discrimination for those wanted to join in the FT certificate The 4.5.2.h making sure hired-labor fishers are not discriminated against for using grievance policies And finally 7.7.3.a that stipulates that there are meetings between resource users identified.		
	To align: Verify for each of the processes above that there was no discrimination in participation.		
SRA2.1.2 S.4	AND - Stakeholder input is considered and integrated into decision-making.	1.2.2.a 1.2.2.b 7.7.3.a 7.7.3.d 9.3.1.a	Full

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

SRA2.1.2 S.5	Decisions are publicly communicated, promoted, and transparent,	1.2.3.b 7.7.3.f	Full
SRA2.1.2 S.6	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,	N/A	No Alignment
SRA2.1.2 S.7	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,	1.2.1.a 1.2.2.b 1.2.4.b 7.7.2.c 7.7.3.a 7.7.3.d	Partial
	Key findings: In relation to the workforce and management unit, <i>this is fully covered</i> . If the SRA UoA is a cooperative, under FTUSA, this is covered for within the coop, but not for decision-making within the fishery more broadly.		
	To align: Collect data to demonstrate the SRA UoA is involved in decision-making at the fishery level.		
SRA2.1.2 S.8	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.	7.7.3.a 7.7.3.b 4.5.1.b	Partial
	Key findings:		

For the relationship between fishers and external stakeholders, this is a gap in that the FTUSA criteria require stakeholder engagement for co-management of the fishery and in relation to fishery resource issues and potential management solutions; they do not explicitly require that civil society organizations are fostering/reinforcing the protection of the interests of relevant stakeholders. For industrial fisheries, between management and fishers, this is also a gap, although fishers / workers must be trained by a third-party on their rights as outlined by the ILO Conventions

To align:

Collect data to show that civil society organizations are fostering and reinforcing protection of interest of relevant stakeholders.

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

Indicator 2.2.1: Equitable opportunity to benefit

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA2.2.1 S.1	YELLOW: MEDIUM RISK (60-70)	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	2.4.1.a	Full
SRA2.2.1 S.2		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.,		
		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.		

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

SRA2.2.1 S.3	GREEN: LOW RISK (80+)	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,	1.2.4.b 1.3.1.a 1.3.1.b 2.4.1.a	Full
SRA2.2.1 S.4		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).	N/A	No Alignment

Indicator 2.2.2: Discrimination

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA2.2.2 S.1	YELLOW	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		

SRA2.2.2 S.2		AND - Workers/fishers/farmers receive equal pay for work of equal value,	2.4.1.b	Full
SRA2.2.2 S.3		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.	2.4.1.a	Full
SRA2.2.2 S.4		AND - There is no discrimination in access to benefits e.g. health care, savings accounts, insurance, etc.,	2.4.1.a	Full
SRA2.2.2 S.5		AND - There is no compulsory pregnancy testing for female workers/fishers/farmers.	2.4.2.c	Full

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

SRA2.2.2 S.6	GREEN: LOW RISK (80+)	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,	2.1.1.a	Partial
		Key findings: FTUSA does not specify that there is training on the policy nor that it is posted in a public place. To align: Ensure there is training and communication on the policy on prevention of discrimination.		
SRA2.2.2 S.7		AND - Managers and workers/fishers/farmers are aware of and trained on the antidiscrimination policy.	N/A	No Alignment

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

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA3.1.1a S.1	YELLOW: MEDIUM RISK (60-70)	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		
SRA3.1.1a S.2		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,	N/A	No Alignment
		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.	N/A	No Alignment

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

SRA3.1.1a S.3	GREEN: LOW RISK (80+)	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),	N/A	No Alignment
		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).	N/A	No Alignment

Indicator 3.1.1b: Food and nutrition security

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA3.1.1b S.1	YELLOW: MEDIUM RISK (60-70)	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		
SRA3.1.1b S.2		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	N/A	No Alignment
SRA3.1.1b S.3		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	N/A	No Alignment
		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.	N/A	No Alignment

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

SRA3.1.1b S.4	GREEN: LOW RISK (80+)	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),	N/A	No Alignment
		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),	N/A	No Alignment
SRA3.1.1b S.5		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.	N/A	No Alignment

Indicator 3.1.2: Healthcare

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA3.1.2 S.1	YELLOW: MEDIUM RISK (60-70)	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		
SRA3.1.2 S.2		AND – The community's (adjacent to fishery/farm) healthcare needs have been assessed,	1.4.1.a 1.4.1.b 1.4.1.c 1.4.1.d	Full
SRA3.1.2 S.3		AND – The community's (adjacent to fishery/farm) healthcare needs are not of concern.	1.4.1.a 1.4.1.b 1.4.1.c 1.4.1.d	Partial
		Key findings: If the needs assessment has assessed the healthcare needs in the region and discerns it is not of concern, this may be met. To align: Review the results of the needs assessment to see findings related to healthcare to see if this is not an identified need.		

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

SRA3.1.2 S.4	GREEN: LOW RISK (80+)	The community's (adjacent to fishery/farm) healthcare needs have been assessed and there are resources being invested to address any needs uncovered,	4.2.4.b 1.4.1.a 1.4.1.b 1.4.1.c 1.4.1.d	Partial
		Key findings: Premium is to be invested as democratically decided by Premium Participants, therefore it is not guaranteed that Premium has been invested in healthcare for the broader community. To align: Verify if the Premium Plan contains a project to address healthcare for the broader community.		
SRA3.1.2 S.5		AND - Women have adequate access to reproductive healthcare including family planning, pre- and post-natal, and maternal care,	4.2.4.b	Partial
		Key findings: FTUSA specifies healthcare for all hired employees, but does not have a specific requirement related to reproductive health, although this may be included. There is also no guarantee for non-hired labor fishers / workers that this is available. To align: Verify health insurance covers reproductive health or is the SRA UoA is non-hired labor fishers, verify if there is access to reproductive health in the broader community.		
SRA3.1.2 S.6		AND - Local data shows improving healthcare.	N/A	No Alignment

Indicator 3.1.3: Education

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA3.1.3 S.1	YELLOW	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		

SRA3.1.3 S.2		AND - The community's (adjacent to fishery/farm) education needs have been assessed,	1.4.1.a 1.4.1.b 1.4.1.c 1.4.1.d	Full
SRA3.1.3 S.3		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),	N/A	No Alignment
SRA3.1.3 S.4		AND - Girls and boys do not have different rates of educational attainment.	N/A	No Alignment

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

SRA3.1.3 S.5	GREEN: LOW RISK (80+)	The community's educational needs have been assessed and there are resources being invested to address any needs uncovered,	N/A	Partial
		Key findings: Premium is to be invested as democratically decided by Premium Participants, therefore it is not guaranteed that Premium has been invested in education for the broader community.		
		To align: Verify if the Premium Plan contains a project to address education needs for the broader community.		
SRA3.1.3 S.6		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.	4.4.2.b	Partial
		Key findings: For medium and large operations, FTUSA requires that when hired-labor fishers or workers live on-site, the employer facilitates access to primary education for their children. Public education access counts to meet this requirement.		
		To align: FTUSA only guarantees this for primary education, not secondary, and is should be verified if the SRA UoA is a small operation.		

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

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA3.2.1 S.1	YELLOW:	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		
SRA3.2.1 S.2		AND - People from within the community hold at least some resource access rights or permits,	N/A	No Alignment

SRA3.2.1 S.3		AND - Consideration is paid to hiring a local workforce (in the case of industrial vessels, some labor positions are occupied by local workforce).	N/A	No Alignment
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To Score **Low Risk**, the following must be true, in addition to the PISGs above:

SRA3.2.1 S.4	GREEN: LOW RISK (80+)	The majority of the harvesting workforce is comprised of local residents,	N/A	No Alignment
SRA3.2.1 S.5		AND - People from within the community hold the majority of resource access rights or permits,	N/A	No Alignment
SRA3.2.1 S.6		AND - Majority of livelihoods and economic benefits from fishery/farm are distributed and retained locally,	WWS-CE 3.5	Full
SRA3.2.1 S.7		AND - High employment rates of women in local jobs created by fishery/farm.	N/A	No Alignment

Indicator 3.2.2: Economic value retention

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA3.2.2 S.1	YELLOW:	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		
SRA3.2.2 S.2		AND - The ratio of gross value added to turnover is between 47-57%.	N/A	No Alignment

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

SRA3.2.2 S.3	GREEN: LOW RISK (80+)	The ratio of gross value added to turnover is above 57%,	7.8.1.g	Partial
		Key findings: FTUSA requires there is a training on product quality, which can indirectly be related to adding value to product.		
		To align: Verify the training is focused on value retention in relation to product quality.		
SRA3.2.2 S.4		AND - Formalized training is provided to fishers/farmers in how to add value to their product.	ECD-DM 1.1	Full

Indicator 3.2.3: Long-term profitability and future workforce

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA3.2.3 S.1	YELLOW:	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		

SRA3.2.3 S.2		AND - Long-term average operating profit margin is between 11%-18%,	N/A	No Alignment
SRA3.2.3 S.3		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.	N/A	No Alignment

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

SRA3.2.3 S.4	GREEN: LOW RISK (80+)	Long-term average operating profit margin is above 18%,	N/A	No Alignment
SRA3.2.3 S.5		AND - New workers/fishers/farmers including women are being recruited into the workforce,	N/A	No Alignment
SRA3.2.3 S.6		AND - Women are increasingly taking leadership roles in the supply chain and fishing/farming communities.	N/A	No Alignment

Indicator 3.2.4: Economic flexibility and autonomy

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA3.2.4 S.1	YELLOW: MEDIUM RISK (60-70)	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		
SRA3.2.4 S.2		AND - If applicable, interest rates charged to fishers/farmers are transparent and agreed upon in advance with fishers/farmers,	8.2.5.a 8.2.5.b	Full
SRA3.2.4 S.3		AND - There is more than one local fish buyer, and harvesters are free to sell to whomever they wish without retribution,	8.2.2.a	Full*
		*This is found in the intent and clarification in the CFS, so extra care should be taken to review the evidence here as a conclusion as compliant or non-compliance in the report may not be indicative of this being met or not.		
SRA3.2.4 S.4 SRA3.2.4 S.5		AND - There is no price collusion among local buyers, 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.	N/A 8.2.2.a	No Alignment Full

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

SRA3.2.4 S.6	GREEN:	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,	N/A	No Alignment
SRA3.2.4 S.7		AND - Fishers/farmers are organized into groups to better negotiate with buyers and may be price setters,	1.2.1.a	Full

SRA3.2.4 S.8		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),	N/A	Full
SRA3.2.4 S.9		AND - When applicable, buyers support fishers/farmers through sharing costs of certification and training,	N/A	No Alignment
SRA3.2.4 S.10		AND - Fishers/farmers have access to competitive credit markets or are recipients of investment opportunities.	N/A	No Alignment

Indicator 3.2.5: Livelihood security

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA3.2.5 S.1	YELLOW: MEDIUM RISK (60-70)	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		
SRA3.2.5 S.2		AND - Fishers/farmers/workers work under a license(s) or are recognized as part of the legal work force,	N/A	No Alignment
SRA3.2.5 S.3		AND - Fishers/farmers/workers have harvesting access (formally or informally) to more than one species/species group,	N/A	No Alignment
SRA3.2.5 S.4		AND - Fishers/farmers/workers have access to fishing/farming gear needed to fulfil livelihood responsibilities (ice, engines, boats, gear, fuel, bait etc.),	N/A	No Alignment
SRA3.2.5 S.5		AND - Fishers/farmers/workers, or someone in their household, have alternative livelihoods outside of the fishery or farm.	N/A	No Alignment

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

SRA3.2.5 S.6	GREEN: LOW RISK (80+)	Male and female fishers/farmers/workers have formal (legal) access to a portfolio of species/species groups and gear types,	N/A	No Alignment
SRA3.2.5 S.7		AND - Male and female fishers/farmers/workers have ownership over the fishing/farming gear needed to fulfil livelihood responsibilities (ice, engines, boats, gear, fuel, bait etc.),	N/A	No Alignment
SRA3.2.5 S.8		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).	N/A	No Alignment

Indicator 3.2.6: Fuel resource efficiency

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

PISG #	Risk	PI Scoring Guidepost to align the following must be true	Standard Criteria	Match
SRA3.2.6 S.1	YELLOW:	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		

SRA3.2.6 S.2		AND - Ratio of true vessel fuel costs (including subsidy) / fish sales is between 13%-18%.	N/A	No Alignment
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To Score **Low Risk**, the following must be true, in addition to the PISGs above:.

SRA3.2.6 S.3	GREEN: LOW RISK (80+)	Ratio of true vessel fuel costs (including subsidy) / fish sales is under 13%.	N/A	No Alignment
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