

THE SOCIAL RESPONSIBILITY ASSESSMENT TOOL (SRA)

NOTE FOR PUBLIC CONSULTATION

Please note that the introduction text, with the exception of the tables, does not have any updates relative to the current version of the SRA. This section is not up for public consultation but may be valuable to read for context about the SRA if it is not something you are familiar with. Prior to publication, we will be updating this section to reflect the latest relevant information pertaining to the SRA, as well as key guidance on how to use the SRA.

EXECUTIVE SUMMARY

The Social Responsibility Assessment (SRA) Tool for the Seafood Sector is a risk assessment or benchmarking tool for conducting human rights due diligence in seafood supply chains. It is designed to be used to inform the development of a Fishery Improvement Plan (FIP) workplan. In this context the SRA can be applied to:

- assess risks of social issues,
- uncover critical information gaps,
- identify areas in need of improvement.

However, the Social Responsibility Assessment Tool is not a certification. The Assessment Tool enumerates existing resources in social responsibility certification, in the case the FIP wants to proceed towards certification. This protocol is voluntary for the time being. A FIP implementer decides whether or not she/he would like to assess social responsibility principles. Whether or not this protocol will become compulsory merits further discussion.

This protocol was co-produced, and thus is co-owned, by many stakeholders and organizations inside and outside of the Conservation Alliance for Seafood Solutions. Two main documents inform most of the content and format of this protocol: Framework on Social Responsibility for the Seafood Sector (Opal 2018); FIP Rapid Assessment Protocol (OSMI 2018). This document begins with a brief introduction to the principles, components, and performance indicators of the Monterey Framework, and then gives guidance on scoring indicators and determining the Unit of Assessment. Thereafter, it outlines the complete protocol for assessing social responsibility in a FIP. The protocol is followed by an annex containing ethical considerations and best practices for doing human rights and conservation research, and guidance for incorporating social responsibility into each FIP phase. The document ends with a list of important resources on existing standards, tools, indicators, guidance, conventions, and protocols, as well as a glossary of relevant definitions.

INTRODUCTION

Over the past several decades, significant effort has been invested in determining the key elements for environmental sustainability in fisheries and aquaculture, informing the creation of globally recognized standards, such as the Marine Stewardship Council (MSC). However, recent media revelations about human rights violations in the seafood sector in both developing and developed countries have placed social issues at the forefront of conversations around seafood production. In response, a coalition of academic institutions, industry, and nonprofit organizations (33 individuals from 21 institutions) co-created a framework encompassing a shared and comprehensive definition of social responsibility to align efforts in this space. This framework, referred to as the “Monterey Framework” for social responsibility (Kittinger et al., 2017), is supported by more than two-dozen businesses and over 25 non-profit organizations, and spans issues across human rights from labor rights, access to

resources, equality and equity, and livelihood and food security. It was built on the UN FAO's Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries, incorporating principles from these guidelines frameworks together with a substantive body of social science research from the fields of human rights, natural resource management, and development.

THE "MONTEREY FRAMEWORK": FROM PRINCIPLES TO PRACTICE



A key step in moving the "Monterey Framework" from principles to practice is the integration of a social responsibility framework into Fishery Improvement Projects (FIPs). This was identified as a strategic priority by the Conservation Alliance for Seafood Solutions¹ ("Conservation Alliance") and the Coalition for Socially Responsible Seafood² ("Coalition") in 2016. In this context, Conservation International, partnering with organizations of the Conservation Alliance and Coalition, are co-developing a social responsibility assessment tool for the seafood sector. This tool, named as "Social Responsibility Assessment Tool for the Seafood Sector," is built on the Monterey Framework, the UN FAO's Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries and other relevant, existing protocols and frameworks. Two key resources used in the creation of this protocol include the Framework on Social Responsibility for the Seafood Sector developed by the Certification and Ratings Collaboration social subcommittee (Opal 2018) and the OSMI (Oceans Seafood and Markets Initiative) FIP Rapid Assessment Protocol (OSMI 2018). This protocol was also informed by stakeholders from environmental and human rights interests at a workshop in Seattle in April 2018 and has gone through a public revision process with input from NGOs, industry, and academia. Thus, the Social Responsibility Assessment Tool is being co-developed with input from a broad range of expertise, sectors, and interests. This diagnostic tool is salient across a diversity of contexts, from community oriented small-scale fisheries to industrial fleets recruiting migrant workers, and aquaculture farms. The Social Responsibility Assessment Tool includes three principles and six components from the Monterey Framework.

Each Social Responsibility principle comprises a set of Components, Performance Indicators (PIs) (Table 1) and Scoring Guideposts (SGs). The scoring guideposts incorporate all the scoring elements or scoring issues required at each guidepost. The hierarchy of Principles, Components, Performance Indicators and Scoring Guideposts is known

¹ Conservation Alliance for Sustainable Solutions is an alliance of conservation NGOs working with businesses along seafood supply chains globally to solve sustainable seafood's biggest challenges: <https://solutionsforseafood.org>.

² Coalition for Socially Responsible Seafood is a consortium of stakeholders interested in advancing social responsibility and human rights issues in fisheries, representing conservation, human rights, and development NGOs, industry, and academia

as “Default Assessment Tree,” which is used as the basis for assessment of the fishery for compliance with the Social Responsibility Assessment Tool.

TABLE 1 Principles, components, and performance indicators for the Social Responsibility Assessment Tool.

PRINCIPLE	COMPONENT	PI OLD	OLD PERFORMANCE INDICATOR	PI NEW	NEW PERFORMANCE INDICATOR
1 Protect human rights, dignity, and access to resources	1.1 Human and labor rights	1.1.1	Abuse and harassment	1.1.1	Abuse and harassment
		1.1.2a	Human trafficking and forced labor	1.1.2	Forced labor
				NEW 1.1.3	Human trafficking and fair recruitment
		1.1.2b	Debt bondage in small-scale fisheries	1.1.4	Debt bondage in small-scale fisheries or smallholder farms
		1.1.3	Child labor	1.1.5	Child labor
		1.1.4	Freedom of association and collective bargaining	1.1.6	Freedom of association and collective bargaining
		1.1.5	Earnings and benefits	1.1.7	Earnings and benefits
		1.1.6	Adequate rest	1.1.8	Adequate rest
		1.1.7a	Access to basic services for worker housing/ live-aboard vessels	1.1.9a	Access to basic services for worker housing/live-aboard vessels
		1.1.7b	Access to basic services for small-scale fishing communities	1.1.9b	Access to basic services for small-scale fishing or smallholder farming communities
		1.1.8	Occupational safety	1.1.10	Occupational safety
		1.1.9	Medical response	1.1.11	Medical Response
				NEW 1.1.12	Observer rights
	1.2 Access Rights	1.2.1	Customary resource use rights	1.2.1	Customary rights
		1.2.2	Corporate responsibility and transparency	1.2.2	Corporate responsibility and transparency
2 Ensure equality and equitable opportunity to benefit	2.1 Equality	2.1.1	Grievance reporting and access to remedy	2.1.1	Grievance reporting and access to remedy
		2.1.2	Stakeholder participation and collaborative management	2.1.2a	Inclusive governance of fisheries and aquaculture resources
				2.1.2b	Inclusive governance within the workforce
	2.2 Equity	2.2.1	Equitable opportunity to benefit	2.2.1	Equitable opportunity to benefit
		2.2.2	Discrimination	2.2.2	Discrimination
				NEW 2.2.3	Gender-transformative value chain approach

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

Note for public consultation: Some indicators that were removed included PISGs that were relocated to other sections to improve flow. In this document, you can see their new location by referencing the OLD # in each section below.

TABLE 2: Applicability decision tree

OLD PI	OLD SCORING GUIDANCE	OLD PERFORMANCE INDICATOR	NEW PI	NEW APPLICABILITY QUESTION	NEW APPLICABILITY
1.1.1	Score for all fisheries/farms	Abuse and harassment	1.1.1	Score for all fisheries/farms/facilities	Abuse and harassment
1.1.2a 1.1.2b	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	1.1.2	Does the fishery/farm/facility include workers whose conditions at work are determined by a captain/vessel owner/employer?	If YES, score Indicator 1.1.2: Forced labor If NO, this indicator is not applicable ³

³ Note this indicator is not applicable for single-handed vessels or aquaculture farms with no hired employees. Family members may be supporting the operation informally.

OLD PI	OLD SCORING GUIDANCE	OLD PERFORMANCE INDICATOR	NEW PI	NEW APPLICABILITY QUESTION	NEW APPLICABILITY
			1.1.3	Does the fishery/farm/facility include any domestic or foreign migrant workers?	If YES, score Indicator 1.1.3: Human trafficking and recruitment If NO, this indicator is not applicable.
		If NO, score 1.1.2b Debt bondage in small-scale fisheries	1.1.4	Is the Unit of Assessment made up of individual operators selling their own seafood?	If YES, score Indicator 1.1.4: Debt bondage in small-scale fisheries or smallholder farms. If NO, this indicator is not applicable.
1.1.3	Score for all fisheries/farms	Child labor	1.1.5	Score for all fisheries/farms/facilities	Child labor
1.1.4	Score for all fisheries/farms	Freedom of association and collective bargaining	1.1.6	Score for all fisheries/farms/facilities	Freedom of association and collective bargaining
1.1.5	Are workers or farmers wage workers?	If YES, score 1.1.5 Earnings and benefits	1.1.7	Is the Unit of Assessment made up of individual operators operating single-handed vessels or a family farm with no hired labor who sell their own seafood?	If YES, this indicator is not applicable. If NO, score Indicator 1.1.7: Earnings and benefits.
1.1.6	Are workers or farmers self-employed?	If NO, score 1.1.6 Adequate rest	1.1.8	Are fishers or farmers self-employed?	If YES, this indicator is not applicable ⁴ If NO, score Indicator 1.1.6: Adequate rest ⁵
1.1.7a 1.1.7b	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 If NO, score 1.1.7b Access to	1.1.9a 1.1.9b	Does the fishery/farm provide worker housing or require live-aboard vessel time?	If YES, score Indicator 1.1.9a: Access to basic services for worker housing/ live-aboard vessels If NO, score Indicator 1.1.9b: Access to

⁴ Note this indicator is not applicable for single-handed vessels or aquaculture farms with no hired employees. Family members may be supporting the operation informally.

⁵ Note that this indicator is always applicable for processing facilities.

OLD PI	OLD SCORING GUIDANCE	OLD PERFORMANCE INDICATOR	NEW PI	NEW APPLICABILITY QUESTION	NEW APPLICABILITY
		basic services for small-scale fishing communities			basic services for small-scale fishing or smallholder farming communities ⁶
1.1.8	Score for all fisheries/farms	Occupational safety	1.1.10	Score for all fisheries/farms/facilities	Occupational safety
1.1.9	Score for all fisheries/farms	Medical response	1.1.11	Score for all fisheries/farms/facilities	Medical response
			NEW 1.1.12	Does the fishery have observers onboard vessels?	If YES, score Indicator 1.1.12: Observer rights If NO, this indicator is not applicable. This indicator is also not applicable to aquaculture farms or processing facilities.
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		Does the fishery/farm operate within or adjacent to a customary use area?	If YES, score 1.2.1: Customary rights If NO, 1.2.1: Customary rights is not applicable
1.2.2	Does the fishery/farm constitute a single taxable enterprise or business?	If YES, score 1.2.2 Corporate responsibility and transparency		Does the fishery/farm constitute one or more taxable enterprise(s) or business(es)? ⁷	If YES, score Indicator 1.2.2: Corporate responsibility and transparency If NO, Indicator 1.2.2: Corporate responsibility and transparency is not applicable
2.1.1	Score for all fisheries/farms	Grievance reporting and access to remedy	2.1.1	Score for all fisheries/farms/facilities	Grievance reporting and access to remedy
2.1.2	Score for all fisheries/farms	Stakeholder participation and collaborative management	2.1.2a 2.1.2b	Are fishers/farmers/workers operating as part of a larger business or organization who holds access, use, management or other rights to the	If YES, score Indicator 2.1.2a: Inclusive governance of fisheries and aquaculture resources and

⁶ This does not include communities outside the scope of the assessment and should only be assessed if there is a community embedded as part of the UoA.

⁷ This includes a legally established cooperative or association of fishers or smallholder farms.

OLD PI	OLD SCORING GUIDANCE	OLD PERFORMANCE INDICATOR	NEW PI	NEW APPLICABILITY QUESTION	NEW APPLICABILITY
				resource?	2.1.2b: Inclusive governance within the workforce. If NO, score Indicator 2.1.2a ⁸ <i>Note: 2.1.2a is always applicable.</i>
2.2.1	Does the fishery/farm employ women or other marginalized groups (i.e., migrants, ethnic, or religious minorities)?	If YES, score 2.2.1 Equitable opportunity to benefit	2.2.1	Score for all fisheries/farms/facilities	Equitable opportunity to benefit
2.2.2	Score for all fisheries/farms	Discrimination	2.2.2	Score for all fisheries/farms/facilities	Discrimination
			NEW 2.2.3	Score for all fisheries/farms/facilities	Gender-transformative value chain approach
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	3.1.1a	Score for all fisheries/farms/facilities	Impact on food and nutrition security
3.1.1b 3.1.2 3.1.3 3.2.1	Does the fishery/farm pertain to a marine/coastal resource-dependent community(ies)?	If YES, score 3.1.1b Food and nutrition security for small-scale fishing communities	3.1.1b	Is there a community embedded within the Unit of Assessment?	If YES, score Indicator 3.1.1b: Food and nutrition security for small-scale fishing or smallholder farming communities If NO, Indicator 3.1.1b: Food and nutrition security for small-scale fishing or smallholder farming communities is not applicable
		If YES, score 3.1.2 Healthcare	3.1.2		If YES, score Indicator 3.1.2: Healthcare If NO, Indicator 3.1.2: Healthcare is not

⁸ It is possible that both 2.1.2a and 2.1.2b will be applicable in the case where there are individual operators in a fishery that have crew onboard the vessel.

OLD PI	OLD SCORING GUIDANCE	OLD PERFORMANCE INDICATOR	NEW PI	NEW APPLICABILITY QUESTION	NEW APPLICABILITY
					applicable
		If YES, score 3.1.3 Education	3.1.3		If YES, score Indicator 3.1.3: Education
					If NO, Indicator 3.1.3: Education is not applicable
		If YES, score 3.2.1 Benefits to and within community	3.2.1		If YES, score Indicator 3.2.1: Benefits to and within community
					If NO, Indicator 3.2.1: Benefits to and within community is not applicable
3.2.2	Is the fishery/farm operating for subsistence purposes only?	If NO, score 3.2.2 Economic value retention		REMOVED	
3.2.3		If NO, score 3.2.3 Long-term profitability and future workforce		REMOVED	
3.2.4	Do fishers/farmers or their organization (i.e., cooperative, association, etc.) sell their own product?	If YES, score 3.2.4 Economic flexibility and autonomy	3.2.2	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
					If NO, Indicator 3.2.4: Economic flexibility and autonomy is not applicable
3.2.5	Is the fishery/farm contributing to local livelihood security?	If YES, score 3.2.5 Livelihood security	3.2.3	Is the fishery/farm contributing to local livelihood security?	If YES, score Indicator 3.2.3: Livelihood security
					If NO, Indicator 3.2.3: Livelihood security is not applicable
3.2.6	Is the fishery/farm operating for subsistence purposes only?	If YES, score 3.2.6 Fuel resource efficiency		REMOVED	

CONDITIONALITY OF SCORING PERFORMANCE INDICATORS

Recognizing that industrial and small-scale fisheries and farms face different social issues, some PIs and related SGs will not be relevant to certain fisheries and contexts. Similarly, this protocol is intended to be flexible and adaptable for a diversity of situations. As such, we provide a heuristic of potentially relevant indicators for assessing social

risks in industrial versus small-scale production systems. Please note, that we are not suggesting to ignore any performance indicators solely based on the characteristics of the fishery or farm, but rather provide guidance, and ultimately leave conditionality of scoring indicators up to the discretion of the expert assessor based on their in-depth knowledge of the system.

GENERAL SCORING GUIDANCE

Each of the performance indicators (PIs) of the Social Responsibility Assessment Tool must be scored following the guidance provided in this handbook, and the procedures described in the OSMI Rapid Assessment Protocol.

The assessment should be undertaken by an evaluation team with research experience in the social sciences, including human-rights and wellbeing protocols. The assessment of social responsibility principles, components, and indicators, will in some cases, require outsourcing or partnerships between environmental, development, and human rights groups. The evaluation team should also strive to use a worker-driven approach to assessing labor conditions—fishers/farmers/workers and their representative organizations should be involved in the evaluation themselves and subsequently thereafter in the design of the FIP workplan (ILRF 2018).

After the evaluation team has compiled and analyzed the relevant information available (including primary and secondary sources), they shall score the Unit of Assessment (UoA) against the Performance Indicator Scoring Guideposts (PISGs). Each PI is scored on a graded scale consistent with the MSC scoring method, with levels 60, 80 and 100 defining key sustainability thresholds. These thresholds correspond to levels of quality and certainty of fishing management practices and their probability of generating sustainability and social responsibility.

This methodology uses the following scoring categories, consistent with those used on [FisheryProgress.org](https://fisheryprogress.org):

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

Note for Public Consultation: We believe that the SRA results should only be viewed at the indicator level, and will therefore remove this scoring framework in the new version of the SRA.

Within the scoring categories for each indicator, there may be multiple bullet points or ‘guideposts.’ By default, these bullet points are to be treated as ‘AND’ clauses, where all bullets within a category must be met to achieve that score. Otherwise the lower scoring (high risk) category should be applied. When bullets are to be treated as ‘OR’ clauses, the OR will be explicitly mentioned in the scoring category text. For all indicators a written rationale for the score must be provided. We do not suggest giving any specific indicators disproportionate weight, as all human rights are fundamentally regarded as indivisible, and one human right must never be compromised to advance another human right. Rather, all high-risk categories should seek immediate attention, and when/ if criminal activity is detected, the appropriate remediation channels should be activated immediately (see ANNEX).

DETERMINING UNIT OF ASSESSMENT (UOA)

In a FIP (based on MSC Principles 1,2,3) the following pieces of information are used to describe the fishery and determine the Unit of Assessment (UoA). The UoA is defined by the target stock(s) combined with the fishing method/gear and practice (including vessel type/s) pursuing that stock, and any fleets, or groups of vessels, or individual fishing operators or other eligible fishers that are included in this assessment. In some fisheries, the UoA may be further defined based on the specific fishing seasons and/or areas that are included.

- Target species scientific name and common name
- Fishery location
- Gear type(s)
- Catch quantity (weight)
- Vessel type and size
- Number of registered vessels
- Management authority (the regulatory authority with fishing management responsibilities; there may be multiple authorities where joint jurisdictional responsibilities occur)

When evaluating a FIP using social principles, the UoA may be different than used in a “traditional” (environmental) FIP, as it will need to be based on social levels or scales of organization relevant to the fishery or supply chain. Depending on what is being evaluated, the UoA will vary accordingly.

First, the UoA will vary depending on what aspect of the supply chain is being considered. This could include 1) the production sector, 2) pre-processing sector, 3) processing sector, 4) distribution sector, or any combination. Recognizing that the UoA may need to be bounded for feasibility and practical reasons (i.e., just looking at the production sector), it is still important to consider the FIP UoA in the context of the larger supply chain, where other human rights abuses may occur. As such, it should be noted that this tool can only elucidate social risks for the specific UoA within its respective supply chain, unless the entire supply chain is assessed for the whole sector or commodity. Buyers or consumers should not equate low risk scores produced by this assessment as a supply chain free of human rights abuses. Second, as the UoA is the scale at which the data are retrieved, the UoA may also vary by performance indicator. For example, within this protocol, social data may need to be collected at the scale of household, vessel, fishery, farm, community, or processing facility. In the case of some indicators (i.e., food security, health care, education) indicators may even exist at regional or country levels.

PERFORMANCE INDICATORS

RELEVANT DEFINITIONS

Small-scale fishery / smallholder farm: A broad category characterized by low-capital, low-technology, labor-intensive harvesting methods. In wild capture, trips are typically close to shore, with up to 5-6 crew members. In farms, family ownership with no permanent workforce is characteristic. “The small-scale fisheries sector tends to be firmly rooted in local communities, traditions, and values. Many small-scale fishers are self-employed and usually provide fish for direct consumption within their households or communities. Women are significant participants in the sector, particularly in post-harvest and processing activities. It is estimated that about 90% of all people directly dependent on capture fisheries work in the small-scale sector. As such, small-scale fisheries serve as

an economic and social engine, providing food and nutrition security, employment and other multiplier effects to local economies while underpinning the livelihoods of riparian communities” (Def. from UN FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries). Exact definitions of small-scale fisheries vary based on country.

Worker: Any permanent, part-time, and temporary/ seasonal personnel employed on a farm or vessel, including directly contracted workers, subcontracted workers, and those earning based on a share of production or catch (also known as crew – crew may be used in place of workers in the SRA when referring to workers on fishing vessels).

Employed: Working for another party for payment of any kind, including indirect employment, for instance helping an employed worker to contribute to productivity earnings, and working for in-kind (non-cash) payment. A child working (paid or unpaid) alongside her relative is indirectly employed if that relative is employed. If the relative is not employed, for instance is working on their own farm or boat, a child working alongside that relative not considered employed.

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 harassment⁹

OLD #	NEW #	Risk Level	PISG	Definitions & Guidance
SRA1.1.1 SO	SRA1.1.1 SO	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA1.1.1 SO	SRA1.1.1 SO	High	OR - There is no 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 SO	SRA1.1.1 SO	High	OR - There is evidence of corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based violence, sexual harassment, or any other form of harassment, reproductive coercion, including excessive or abusive disciplinary	

⁹ These criteria on abuse and harassment are derived from SSRT, FTUSA, ASC, Clearview, RFVS, and IOBR 2013.

OLD #	NEW #	Risk Level	PISG	Definitions & Guidance
			action,	
SRA1.1.1 S0	SRA1.1.1 S0	High	OR - There is evidence of fishers/farmers/workers being threatened by employers, buyers, labor brokers, or organized crime;	
SRA1.1.1 S0	SRA1.1.1 S0	High	OR - There is evidence of forced drug use, or labor and/or product is compensated for with drugs.	
SRA1.1.1 S.1	SRA1.1.1 S.1	Medium	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 fishers/farmers/workers,	
SRA1.1.1 S.6 (previously LOW risk)	SRA1.1.1 S.6	Medium	AND - 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,	<p>This policy covers all fishers/farmers/workers that pertain to a business or who are part of a cooperative or association.</p> <p>For a self-employed fisher/farmer who is not organized into a cooperative or association and has hired crew/employees, it is still expected a policy exists. At a minimum, this should be evident within written contracts where they exist. However, if data collected suggest crew/employees are aware of their rights as they relate to abuse and harassment (via key informant interviews), demonstrating effective communication through informal or verbal work agreements, this PISG can be listed as met.</p>
SRA1.1.1 S.3	SRA1.1.1 S.3	Medium	AND - There is no evidence of corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based violence, sexual harassment, or any other form of harassment, reproductive coercion, including excessive or abusive disciplinary action,	<p>Sexual harassment: Behavior, including gestures, language, and physical contact, that is sexually intimidating, abusive, or exploitative.</p> <p>Gender-based violence: Violence directed against a person because of their gender. Both men and women experience gender-</p>

OLD #	NEW #	Risk Level	PISG	Definitions & Guidance
				<p>based violence, but the majority of victims are women and girls as it is rooted in power inequality between women and men.</p> <p>Reproductive coercion: behavior that interferes with the autonomous decision-making of a woman, with regards to reproductive health.¹⁰</p>
SRA1.1.1 S.4	SRA1.1.1 S.4	Medium	AND – There is no evidence of fishers/farmers/workers being threatened by employers, buyers, labor brokers, or organized crime;	This includes threats on family or community members.
SRA1.1.1 S.5	SRA1.1.1 S.5	Medium	AND - There is no evidence of forced drug use, and labor and/or product is not compensated for with drugs.	
SRA1.1.1 S.7	SRA1.1.1 S.7	Low	There is a system in place to ensure managers and fishers/farmers/workers that pertain to a business or that are part of a cooperative or association are aware of and trained on the harassment policy. As part of this system, there is a mechanism to monitor performance against the policy,	This PISG is also applicable for cooperatives or associations. Cooperative or association members should know their rights.
SRA1.1.1 S.8	SRA1.1.1 S.8	Low	<p>AND - Workers have access to effective grievance procedures to report harassment and do not face retaliation for using them,</p> <p>OR – Data collected resulted in a low-risk rating for SRA 2.1.1.</p>	

Indicator 1.1.2: Forced labor¹¹

Question: Does the fishery/farm/facility include fishers/farmers/workers whose conditions at work are determined by a captain/vessel owner/employer?

If YES, score Indicator 1.1.2: Forced labor

If NO, this indicator is not applicable¹²

¹⁰ Definition sourced from [Reproductive Coercion: A Systematic Review](#) (KT Grace, 2016).

¹¹ These criteria on human trafficking and forced labor are derived from FishSource, ILO C29, ILO C105, ILO 2012, ILO General Principles and Operational Guidelines for Fair Recruitment, International Organization for Migration's IRIS Tool, Verite's Fair Hiring Toolkit, FTUSA, ASC, BSCI, Naturland, RFVS, Clearview, IHRB, and the ILO Towards freedom at sea report.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.1.2a S.0	SRA1.1.2 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA1.1.2a S.0	SRA1.1.2 S.0	High	OR - The farm/fishery/facility does not have a policy prohibiting the use of forced, bonded, indentured, prison labor, slavery or trafficked labor,	
SRA1.1.2a S.0	SRA1.1.2 S.0	High	OR – There are indications of deception of fishers/farmers/workers on employment conditions, OR – there are indications of abusive working or living conditions, OR – there are indications that fishers/farmers/workers are subject to excessive, involuntary overtime, OR – there are indications that fishers/farmers/workers are performing work for substandard or no wages and/or their wages or other promised benefits have been withheld, OR – there are indications of abuse of vulnerability of fishers/farmers/workers, OR – there are indications of restriction of movement of fishers/farmers/workers, OR – there are indications that fishers/farmers/workers have been intentionally isolated, OR – there are indications that fishers/farmers/workers have been subject to physical and/or sexual violence, OR – there are indications that fishers/farmers/workers or their	

¹² Note this indicator is not applicable for single-handed vessels or aquaculture farms with no hired employees. Family members may be supporting the operation informally.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
			<p>relatives having been subject to intimidation or threats,</p> <p>OR – there are indications that fishers'/farmers'/workers' identify documents have been retained without access,</p> <p>OR – there are indications that fishers/workers/farmers are subject to debt bondage or manipulation of debt,</p>	
SRA1.1.2a S.0	SRA1.1.2 S.0	High	OR – Fishers/farmers/workers are not free to terminate their employment at any time,	
SRA1.1.2a S.0	SRA1.1.2 S.0	High	OR – The fishery/farm/ facility employs prisoners.	
SRA1.1.2a S.1	SRA1.1.2 S.1	Medium	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 fishers/farmers/workers,	
SRA1.1.2a S.2	SRA1.1.2 S.2	Medium	AND - The farm/fishery/facility has a policy prohibiting the use of forced, bonded, indentured, prison labor, slavery or trafficked labor,	<p>This policy covers all fishers/farmers/workers that pertain to a business or who are part of a cooperative or association.</p> <p>For a self-employed fisher/farmer who is not organized into a cooperative or association and has hired crew/employees, it is still expected a policy exists. At a minimum, this should be evident within written contracts where they exist. However, if data collected suggest crew/employees are aware of their rights as they relate to forced labor (via key informant interviews with crew), demonstrating effective communication through informal or verbal work agreements, this PISG can be listed as met.</p> <p>Forced labor: All work or service that is extracted from any person under the menace of any penalty for which a person has not offered themselves voluntarily or for which</p>

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				<p>such work or service is demanded as a repayment of debt. "Penalty" can imply monetary sanctions, physical punishment, intimidation, or punishment of family members, or the loss of rights and privileges or restriction of movement (e.g., withholding of identity documents) (ILO C29).</p> <p>From: ILO Indicators of Forced Labor The indicators are derived from the ILO's Special Action Programme to Combat Forced Labour (SAP-FL). They are based upon the definition of forced labour specified in the ILO Forced Labour Convention, 1930 (No. 29) as: "all work or service which is exacted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily." www.ilo.org/wcmsp5/groups/public/---ed_norm/---declaration/documents/publication/wcms_203832.pdf</p>
SRA1.1.2a S.3	SRA1.1.2 S.3	Medium	AND – There are no indications of deception of fishers/farmers/workers on employment conditions,	<p>The deliberate failure to deliver what has been promised to the worker either verbally or in writing. This can include false promises regarding working conditions and wages, the type of work, housing and living conditions, etc. This may include, but is not limited to:</p> <ul style="list-style-type: none"> - Workers performing a job different in nature from what they agreed to. - Work for other employers that was not agreed to. - Working for longer periods of time than agreed.
			OR – There are no indications of abusive working or living conditions,	<p>This includes situations where fishers/farmers/workers are forced to endure working and living conditions they did not and would not have freely agreed to. This may include, but is not limited to:</p> <ul style="list-style-type: none"> - Work performed under

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				<p>conditions that are degrading or hazardous.</p> <ul style="list-style-type: none"> - Performing work without adequate safety equipment. - Overcrowded living conditions. - Limited or insufficient access to food and water, in extreme cases leading to potential malnutrition (e.g., beriberi) or dehydration. - Lack of privacy.
			OR – There are no indications that fishers/farmers/workers are subject to excessive, involuntary overtime,	<p>When workers are forced to work in excess of the working hours limits prescribed by national law or collective agreement. The determination of whether or not excessive overtime constitutes forced labor is complex. A useful rule of thumb is that if employees have to work more overtime than is allowed under national law, under some form of threat (e.g., dismissal), or in order to earn at least the minimum wage, this is forced labor.</p> <p>This may include, but is not limited to:</p> <ul style="list-style-type: none"> - Logging false hours that exceed legal limits. - Denial of breaks and days off.
			OR – There are no indications that fishers/farmers/workers are performing work for substandard or no wages and/or their wages or other promised benefits have been withheld,	<p>This includes situations in which remuneration is below or entirely withheld from workers for reasons they have not agreed to as well as when an employer systematically and deliberately withholds workers' compensation (whether wages, benefits, or other in-kind services) as a means to compel the worker to remain and deny him or her the opportunity to change employer.</p> <p>This includes but is not limited to:</p> <ul style="list-style-type: none"> - Underpayment or postponement of paying wages or non-payment of bonuses. - Partial or complete deprivation of wages via illegal deductions (e.g., for food, cigarettes, or access to communication mechanisms).

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				<ul style="list-style-type: none"> - Payment delayed to the end of a trip so that fishers do not leave. - Promise of bonus that is never paid to workers, for example bonuses used to incentivize payment-share fishers to work excessive hours.
			OR – There are no indications of abuse of vulnerability of fishers/farmers/workers,	<p>When an employer takes advantage of a worker's vulnerable position. For example, when a worker lacks alternative livelihood options (vulnerability), and an employer imposes excessive working hours or withholds wages (abuse of vulnerability). Risk of abuse of vulnerability increases the more dependent the worker is on the employer (i.e., for food, shelter, etc.).</p> <p>This includes but is not limited to:</p> <ul style="list-style-type: none"> - Coercion / threat of dismissal - Threat of deportation - Denial of rights or privileges to perform work they would otherwise refuse. <p>When a worker has multiple dependencies on the employer, for example for income and housing, workers are especially susceptible to forced labor conditions. For example, recruiting homeless people into abusive working conditions promising food and shelter in addition to income.</p>
			OR – There are no indications of restriction of movement of fishers/farmers/workers,	<p>Workers are not free to enter and exit the workplace or vessel while at port (subject to certain conditions which are considered reasonable) or movement is restricted in the workplace or on the vessel (subject to certain conditions which are considered reasonable).</p> <p>This may include, but is not limited to:</p> <ul style="list-style-type: none"> - Fishers are not allowed to leave the vessel while at port. - Workers are not allowed to freely come and go from

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				employer-provided housing.
			OR – There are no indications that fishers/farmers/workers have been intentionally isolated,	<p>When workers do not have contact with the outside world. On a fishing vessel, this may mean that all forms of communication are confiscated to prevent workers from contacting family or asking for help. This may include, but is not limited to:</p> <ul style="list-style-type: none"> - Fishers are kept at sea for longer trips than they agree to. - Cell phones or other communication devices are confiscated or withheld from fishers/workers/farmers. This includes restrictions on access to WiFi at sea. - Fishers/workers/farmers are isolated from other workers as punishment.
			OR – There are no indications that fishers/farmers/workers have been subject to physical and/or sexual violence,	<p>Any action intended to cause physical harm that is used as a form of punishment or to force workers to undertake tasks that were not a part of the initial employment agreement. This may include, but is not limited to:</p> <ul style="list-style-type: none"> - Forcing workers to take drugs as to have greater control over them. - Forced time spent overboard in water. - Physical abduction or kidnapping.
			OR – There are no indications that fishers/farmers/workers or their relatives having been subject to intimidation or threats,	<p>An employer's efforts to manipulate workers when they complain about their working conditions or wish to leave their jobs. This may include, but is not limited to:</p> <ul style="list-style-type: none"> - Threats of physical violence to workers or to their families. - Threats in the form of loss of wages, access to food, further deterioration of conditions. - Withdrawal of "privileges" such as the right to leave the workplace, or denunciation to immigration authorities. - Constant verbal or psychological abuse is also a

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				form of intimidation.
			OR – There are no indications that fishers'/farmers'/workers' identify documents have been retained without access,	Confiscation by the employer of worker's identity documents such that workers are not able to gain access to them on demand and they are not able to leave their job without risking their loss. Note that identity document may be stored on behalf of workers, but this should not be held in a manner whereby workers perceive limitations on their freedom.
			OR – There is no indication that fishers/workers/farmers are subject to debt bondage or manipulation of debt,	Workers are working in an attempt to pay off an incurred or inherited debt such that it has the effect of binding a worker to an employer for an unspecified period of time and reflects an imbalance in power between worker and employer. This may include, but is not limited to advances on wages with unclear repayment terms. See 1.1.3 on debt bondage linked to recruitment.
NEW	SRA1.1.2 S.4	Medium	AND – Fishers/farmers/workers are free to terminate their employment at any time,	
NEW	SRA1.1.2 S.5	Medium	AND – The fishery/farm/facility does not employ prisoners.	
SRA1.1.2a S.4	SRA1.1.2 S.6	Low	There is a system in place to ensure managers and fishers/farmers/workers are aware of and trained on the forced labor policy with access to effective grievance procedures for reporting violations of the policy. As part of this system, there is a mechanism to monitor performance against the policy,	This policy covers all fishers/farmers/workers that pertain to a business or that are part of a cooperative or association.
SRA1.1.2a S.6	SRA1.1.2 S.7	Low	AND - All fishers/farmers/workers have written contracts in a language they understand, with extra provisions made for illiterate workers, so their rights and terms of recruitment and employment are clearly understood,	See 1.1.3 related to recruited workers. Formal, written contracts are not common in small-scale fisheries or smallholder farms, even if there is a formal cooperative or association in place. Often, terms between a captain/farm owner and hired crew or workers will be discussed at the

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				<p>onset of a voyage. In small-scale fisheries or smallholder farms, if no formal, written contracts are in place, this PISG may be met if the following are true based on crew interviews:</p> <ul style="list-style-type: none"> - Crew/workers understand the plan for each individual trip (e.g., roughly how many days, where they will be fishing, what they are fishing for, a rough outline of day-to-day activities). - Crew/workers have been briefed on the vessel operation and know how to conduct their job safely (also related to indicator 1.1.10). - Crew/workers have been provided with detailed information about how pay is divided on the vessel and how much they can expect to earn (e.g., as a percentage of catch). - Crew/workers understand how and when they will be paid. - Individuals have voluntarily joined the crew. - Individuals feel free to voluntarily leave the crew if need be and understand the ramifications of leaving. Ramifications for terminating employment early should not affect pay for work already completed. - Verbal agreements have been in a language crew understand, and terms were understood before joining the crew. - Crew/workers validate their experience working on the vessel aligns with how it was explained to them before joining the crew.
SRA1.1.2a S.8	SRA1.1.2 S.8	Low	AND - Fishers/farmers/workers are paid at least monthly.	In small-scale fisheries or smallholder farms, it may not be common to have a consistent pay schedule, however this is a best practice to mitigate risks of debt bondage and should be a goal of the

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				Unit of Assessment.

NEW Indicator 1.1.3: Human trafficking and fair recruitment

Question: Does the fishery/farm/facility include any domestic or foreign migrant crew/workers?¹³

If YES, score Indicator 1.1.3 Human trafficking and recruitment

If NO, this indicator is not applicable.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
NEW	SRA1.1.3 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
NEW	SRA1.1.3 S.0	High	OR - The fishery/farm does not have a policy to assess potential risks of working with labor recruiters that outlines safeguards for workers at every stage of their employment,	
NEW	SRA1.1.3 S.0	High	OR - There is evidence of human trafficking or evidence of undocumented crew transfer for job-specific purposes between vessels at sea (including during transshipment events),	
NEW	SRA1.1.3 S.0	High	OR - There is no comprehensive list of all labor recruiters and not all labor recruiters listed are legally registered,	
NEW	SRA1.1.3 S.0	High	OR - Domestic and foreign migrant fishers/farmers/workers do not have written contracts in a language they understand,	
SRA1.1.1 S2	SRA1.1.3 S.0	High	OR - Migrant status is used as a threat or tool of coercion,	
NEW	SRA1.1.3 S.0	High	OR - Employers/recruitment agencies withhold access to fisher's/farmers'/workers' identity documents,	
NEW	SRA1.1.3 S.0	High	OR - Fishers/farmers/workers are paying debt to the labor recruiter or employer on	

¹³ These criteria on human trafficking and fair recruitment were based on benchmarking against FTUSA, RFVS, ASC, FISH, LRQA's ERSA, and on international standards including the UN Trafficking Protocol, the Institute of Human Rights and Business Dhaka Principles and Employer Pays Principle, ILO General principles and operational guidelines for fair recruitment, and the IOM Labour Migration Process Mapping Guide.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
			recruitment related fees,	
NEW	SRA1.1.3 S.0	High	OR - Labor recruiters do not provide an itemized list of all recruitment fees that specify what the fees are for and who is paying for them (including any fees workers are responsible for),	
NEW	SRA1.1.3 S.0	High	OR – Migrant workers’ rights to freedom of association are not respected in the recruitment process,	
NEW	SRA1.1.3 S.0	High	OR – Recruited workers are not able to terminate their employment according to reasonable terms that have been agreed upon in the workers’ contract,	
NEW	SRA1.1.3 S.0	High	OR – There is evidence of retaliation or “blacklisting” of workers who report abuses in the recruitment process.	
NEW	SRA1.1.3 S.1	Medium	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 fishers/farmers/workers,	
NEW	SRA1.1.3 S.2	Medium	AND - The fishery/farm has a policy to assess potential risks of working with labor recruiters that outlines safeguards for workers at every stage of their employment,	This policy covers all fishers/farmers/workers that pertain to a business or that are part of a cooperative or association.
NEW	SRA1.1.3 S.3	Medium	AND - There is no evidence of human trafficking or no evidence of undocumented crew transfer for job-specific purposes between vessels at sea (including during transshipment events),	<p>This is N/A for aquaculture farms and processing facilities. Note that transfer for emergencies, including healthcare, is acceptable, but should still be documented.</p> <p>Human trafficking: The recruitment, transportation, harboring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation (UN Trafficking</p>

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				Protocol 2000).
NEW	SRA1.1.3 S.4	Medium	AND - There is a comprehensive list of all labor recruiters, and all labor recruiters listed are legally registered,	
NEW	SRA1.1.3 S.5	Medium	AND - All domestic and foreign migrant fishers/farmers/workers have written contracts in a language they understand, with extra provisions made for illiterate workers, so their rights and terms of recruitment and employment are clearly understood,	This contract should clearly state terms of repatriation and provide adequate transparency for the worker on every step of the recruitment process.
SRA1.1.1 S2	SRA1.1.3 S.6	Medium	AND - Migrant status is not used as a threat or tool of coercion,	
NEW	SRA1.1.3 S.7	Medium	AND – Employers/recruitment agencies do not withhold access to fishers’/farmers’/workers’ identity documents,	A captain or employer may keep identity documents for safe keeping as agreed upon by fishers/farmers/workers, however fishers/farmers/workers must be able to access them at any time.
NEW	SRA1.1.3 S.8	Medium	AND – Fishers/farmers/workers are not paying debt associated with labor procurement fees.	Note this is different than other recruitment fees for visas, travel, etc. This is a fee specifically for the procurement of labor that is being extracted from worker pay.
NEW	SRA1.1.3 S.9	Medium	AND - Fishers/farmers/workers have a direct line of communication to their labor recruiter,	This means fishers/farmers/workers do not need to go through their employer or government agency to get in contact should they have immediate questions or concerns.
NEW	SRA1.1.3 S.10	Medium	AND - Labor recruiters provide an itemized list of all recruitment fees that specify what the fees are for and who is paying for them (including any fees workers are responsible for),	
NEW	SRA1.1.3 S.11	Medium	AND – Migrant workers’ rights to freedom of association are respected in the recruitment process,	One method to protect rights to freedom of association throughout the recruitment process is the presence of worker representatives and/or a trade union who have a direct line of communication to the labor recruiter and/or are able to

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				engage with recruited workers before and immediately after they have been hired. If there is no union, the labor recruiter should be communicating the workers' rights to freedom of association before they are onsite. This is then further facilitated through SRA1.1.3 S.15.
NEW	SRA1.1.3 S.12	Medium	AND – Recruited workers are able to terminate their employment according to reasonable terms that have been agreed upon in the workers' contract,	
NEW	SRA1.1.3 S.13	Medium	AND – There is no evidence of retaliation or "blacklisting" of workers who report abuses in the recruitment process.	Blacklisting: Denying people employment for a particular reason, such as political affiliation, involvement in trade union activity, gender, or a history of whistle-blowing.
SRA1.1.2a S.4	SRA1.1.3 S.14	Low	The fishery/farm has a robust operational system in place to monitor, remediate, and report on the performance and compliance of labor recruiters to ensure effective policy implementation. Awareness training for managers and workers is embedded into this system,	
NEW	SRA1.1.3 S.15	Low	AND – Fishers/farmers/workers have a direct line of communication to their labor recruiter and access to grievance mechanisms and appropriate remedy at all stages of the recruitment process (pre-departure, in-transit, and on job placement) that are available to them in a language they understand, OR - Data collected resulted in a low-risk rating for SRA 2.1.1.	
NEW	SRA1.1.3 S.16	Low	AND – SRA1.1.3 S.3 is met, and desk research suggests effective or improving enforcement of regulation of human trafficking,	At a minimum, desk review should refer to the most recent US Department of State Trafficking in Persons report, including the section on prosecution, protection, and prevention for the country/flag state of operation. Other references may be included in this research including national

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				country reports, academic studies, etc.
SRA1.1.2a S.5	SRA1.1.3 S.17	Low	AND - Fishers/farmers/workers do not pay any recruitment fees,	<p>Recruitment fees: Any fees or costs incurred in the recruitment process in order for workers to secure employment or placement, regardless of the manner, timing or location of their imposition or collection.</p> <p>This means full implementation of the Employer Pays Principle: “No worker should pay for a job – the costs of recruitment should be borne not by the worker but by the employer”.</p>
SRA1.1.2a S.6	SRA1.1.3 S.18	Low	AND – Fishers/farmers/workers have received pre-departure training before leaving their home country, including terms and conditions of the contract, expectations about working conditions (e.g., how long each fishing trip will be or what a typical day looks like), and grievance mechanisms they will have access to while they are away from home.	

Indicator 1.1.4: Debt bondage in small-scale fisheries or smallholder farms¹⁴

Question: *Is the Unit of Assessment made up of individual operators selling their own seafood?*

If YES, score Indicator 1.1.4 Debt bondage in small-scale fisheries or smallholder farms.

If NO, this indicator is not applicable.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.1.2b S.0	SRA1.1.4 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	

¹⁴ These criteria on debt bondage in small-scale fisheries are derived from ILO Supplementary Convention on the Abolition of Slavery, 1956.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.1.2b S.0	SRA1.1.4 S.0	High	OR - The fisher/farmer is paying off debt to the cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.), and most of their income (or share of catch) is used to pay back their debts and a smaller percentage is kept,	
SRA1.1.2b S.0	SRA1.1.4 S.0	High	OR - The fisher/farmer is paying off debt to the cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.), but their debt has not remained stable nor decreased over time proportional to their income (or share of catch),	
SRA1.1.2b S.0	SRA1.1.4 S.0	High	OR - The fisher/farmer is not allowed to witness the product being weighed or graded to calculate their income (or share of catch),	
SRA1.1.2b S.0	SRA1.1.4 S.0	High	OR - If applicable, interest rates charged to fishers/farmers are not transparent and agreed upon in advance,	
SRA1.1.2b S.1	SRA1.1.4 S.1	Medium	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 fishers/farmers/workers,	
SRA1.1.2b S.2	SRA1.1.4 S.2	Medium	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 S.3	SRA1.1.4 S.3	Medium	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 S.4	SRA1.1.4 S.4	Medium	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 S.5	SRA1.1.4 S.5	Medium	AND - If applicable, interest rates charged to fishers/farmers are transparent and agreed upon in advance.	
SRA1.1.2b S.6	SRA1.1.4 S.6	Low	The fisher/farmer is paying off debt to the cooperative, association, buyer, or permit	If the fisher/farmer is not paying off debt to the

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
			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).	cooperative, association, buyer, or permit holder, this can be marked as N/A in the SRA.

Indicator 1.1.5: Child labor¹⁵

Child: Any person under the age of 18 (UN). Definition of child may vary from country to country.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.1.3 S.0	SRA1.1.5 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
NEW	SRA1.1.5 S.0	High	OR - The farm/fishery/facility does not have a policy prohibiting the use of child labor which specifies a commitment to respect minimum age requirements and clear age verification processes, and the policy does not state protections for young workers (under the age of 18),	
SRA1.1.3 S.0	SRA1.1.5 S.0	High	OR - There is evidence of hazardous child labor,	
SRA1.1.3 S.0	SRA1.1.5 S.0	High	OR - Children below the legal age of employment are employed as waged workers,	
NEW	SRA1.1.5 S.0	High	OR – Hired workers below the age of 18 are engaged in work that is likely to jeopardize their health, safety, or morals,	
SRA1.1.3 S.0	SRA1.1.5 S.0	High	OR - In small-scale fisheries or on smallholder farms where it is customary for children to support direct family members and/or there are government supported programs to encourage learning and development of children in the community, children under legal age	

¹⁵ These criteria on child labor are derived from ILO C182, ILO C138, ILO C188, FTUSA, ASC, BSCI, Naturland, RFVS, Clearview, FOTS, IFFO RS, ASC and GRASP.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
			for work are participating in tasks which pose harm their health, safety, or morals, education, they perform work at night, or are handling irritable substances (chemicals),	
SRA1.1.3 S.1	SRA1.1.5 S.1	Medium	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 fishers/farmers/workers,	
NEW	SRA1.1.5 S.2	Medium	AND - The farm/fishery/facility has a policy prohibiting the use of child labor which specifies a commitment to respect minimum age requirements and clear age verification processes, and the policy clearly states protections for young workers (under the age of 18),	<p>This policy covers all fishers/farmers/workers that pertain to a business or that are part of a cooperative or association.</p> <p>Child labor: Work that is inappropriate for a child's age, affects their education, or, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children (e.g., heavy lifting disproportionate to a person's body size, operating heavy machinery, using dangerous equipment, night work).</p> <p>Young worker: Any person who has attained the minimum age for employment, as defined above, but is younger than 18 (or the age of legal adulthood as defined by national law, if higher).</p>
SRA1.1.3 S.2	SRA1.1.5 S.3	Medium	AND - There is no evidence of hazardous child labor,	<p>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</p>

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				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 (ILO C182).
SRA1.1.3 S.3	SRA1.1.5 S.4	Medium	AND - Children below the legal age of employment are not employed as waged workers,	Minimum age for employment: <ul style="list-style-type: none"> • Onshore: 15 years of age, 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. • Off-shore: The minimum age for work on board a fishing vessel is 16 years of age, 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 (ILO C188).
NEW	SRA1.1.5 S.5		AND – Hired workers below the age of 18 are not engaged in work that is likely to jeopardize their health, safety, or morals,	This includes, but is not limited to, night work, operating heavy machinery, work without proper PPE or training, handling irritable substances (chemicals), etc.
SRA1.1.3 S.4	SRA1.1.5 S.6	Medium	AND - In small-scale fisheries or on smallholder farms where it is customary for children to support direct family members and/or there are government supported programs to encourage learning and development of children in the	

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
			community, children under legal age for work may participate in tasks which do not harm their health, safety, or morals, education, they do not work at night, and never handle irritable substances (chemicals),	
SRA1.1.3 S.5	SRA1.1.5 S.7	Medium	AND – There is no indication of child labor as per 1.1.3 S2, S3, and S4, BUT the fishery/farm/facility does not have a clear remediation process if child labor is uncovered that ensures the best interests of the child and that the child does not end up in a worse form of employment.	Note, this can be clearly stated in the policy in 1.1.3 S2. The fishery/farm/facility must be able to clearly demonstrate what they would do if they identified a child on a vessel or hired to a farm or facility.
SRA1.1.3 S.6	SRA1.1.5 S.8	Low	There is no indication of child labor as per 1.1.3 S2, S3, and S4, AND the fishery/farm/facility does have a clear remediation process if child labor is uncovered that ensures the best interests of the child and that the child does not end up in a worse form of employment.	
NEW	SRA1.1.5 S.9	Low	AND – the fishery/farm/facility has a system in place to ensure that managers and fishers/farmers/workers are aware of the policy. As part of this system, there is a mechanism in place to monitor performance against the child labor policy to measure effectiveness.	

Indicator 1.1.6: Freedom of association and collective bargaining¹⁶

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.1.4 S.0	SRA 1.1.6 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA1.1.4 S.0	SRA 1.1.6 S.0	High	OR - Fishers/farmers/workers are not free to form or join worker organizations, including trade unions,	

¹⁶ These criteria on freedom of association and collective bargaining are derived from ILO C87, ILO C98, ILO C154, FTUSA, ASC, BSCI, Naturland, RFVS, and Clearview.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
			to advocate for and protect their rights, and do not have the right to decide their own structure, policies, programs, priorities, etc. without employer interference,	
SRA1.1.4 S.0	SRA 1.1.6 S.0	High	OR - There are no national laws protecting collective workers' rights (including cooperatives or trade unions),	
			OR - The country restricts trade union rights and the employer/fishery/farm has not provided a way for fishers/farmers/workers to organize and express grievances,	
SRA1.1.4 S.0	SRA 1.1.6 S.0	High	OR - Human rights defenders are actively suppressed or there are recent records of litigation by employers against human rights defenders,	
SRA1.1.4 S.0	SRA 1.1.6 S.0	High	OR - There is evidence of discrimination against fishers/farmers/workers who are members or leaders of organizations, unions or cooperatives, and fishers/farmers/workers are dismissed for exercising their right to strike.	
SRA1.1.4 S.1	SRA1.1.6 S.1	Medium	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 fishers/farmers/workers,	
SRA1.1.4 S.6	SRA1.1.6 S.2	Medium	The employer or association has a policy or by-laws that respect the rights of fishers/farmers/workers to Freedom of Association and Collective Bargaining,	<p>Freedom of association: The right to establish and join organizations of one's own choosing without previous authorization, and to draw up constitutions and rules, to elect representatives in full freedom, to organize administration and activities, and to formulate programs, without interference (ILO C87 & C98).</p> <p>Collective bargaining: All negotiations which take place between an employer, a group of employers or one or more employers' organizations, on the</p>

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				<p>one hand, and one or more workers' organizations, on the other, for, determining working conditions and terms of employment; and/or regulating relations between employers and workers; and/or regulating relations between employers or their organizations and a workers' organization or workers' organizations (ILO C154).</p> <p>This policy covers all fishers/farmers/workers that pertain to a business or are part of a cooperative or association.</p>
SRA1.1.4 S.2	SRA1.1.6 S.3	Medium	AND - Fishers/farmers/workers are free to form or join 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,	This includes mechanisms specifically accessible to migrant workers.
SRA1.1.4 S.3	SRA1.1.6 S.4	Medium	AND - There are national laws protecting collective workers' rights (including cooperatives or trade unions) which are upheld and respected, and the employer adheres to those laws,	<p>The assessor should note whether or not the country has ratified ILO C98 and C87 as part of this evaluation.</p> <p>See 1.1.3 S11 for more guidance when are migrant workers present.</p>
			OR - The country restricts trade union rights but the employer/fishery/farm has provided a way for fishers/farmers/workers to organize and express grievances,	
SRA1.1.4 S.4	SRA1.1.6 S.5	Medium	AND - Human rights defenders are not actively suppressed and there is no recent record of litigation by employers against human rights defenders,	This PISG as written does not specify if this is suppression via the Unit of Assessment or generally, but the intent is to cover both. The assessor should collect secondary data (desk research) that indicates whether or not this is an issue in the country or sector, independent of the site, in addition to the site specifically. Furthermore, the assessor should collect data that indicates whether or not they have reason to believe

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				the Unit of Assessment itself is engaged in any suppression of human rights defenders. This may include supporting groups that are engaging in these kinds of activities.
SRA1.1.4 S.5	SRA1.1.6 S.6	Medium	AND - There is no evidence of discrimination against fishers/farmers/workers who are members or leaders of organizations, unions or cooperatives, and fishers/farmers/workers are not dismissed for exercising their right to strike.	If fishers/farmers/workers are not part of a union, cooperative, or association at the time of assessment, this can be marked as N/A in the SRA.
SRA1.1.4 S.6	SRA1.1.6 S.7	Low	There is a system in place to ensure that managers and fishers/farmers/workers are trained on policies pertaining to freedom of association and collective bargaining and they are aware of their rights. This system includes a mechanism to measure effective implementation of the policy,	
NEW	SRA1.1.6 S.8	Low	<p>AND - There is an active worker organization or trade union directly available to the fishery/farm/facility,</p> <p>OR - The fishery/farm/facility is able to demonstrate there are no barriers to fishers/farmers/workers accessing their rights to freedom of association and collective bargaining if there is no active worker organization or trade union,</p>	If there is no worker organization or trade union present, the assessor should better understand the root cause. The assessor can verify this is a decision made by the fishers/farmers/workers despite having been given all information and training on their rights. Furthermore, it is recommended when speaking to fishers/farmers/workers directly to inquire as to whether or not this is something they are interested in and understand any barriers they are facing to establishing or joining a worker organization or trade union. If the assessor can determine that fishers/farmers/workers have full access to their rights and have decided not to exercise those rights, this indicator can be marked as met.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.1.4 S.7	SRA1.1.6 S.9	Low	AND - Fishers/farmers/workers are trained by workers' organizations on their rights to organize and bargain collectively,	Note, if there is no existing framework within the fisheries or aquaculture sectors, organized workers from other sectors in the country can be brought in for peer-to-peer learning.
SRA1.1.4 S.8	SRA1.1.6 S.10	Low	AND - Women participate in unions or cooperatives commensurate with their representation in the workforce.	<p>While this PISG refers to "workforce", this can be interpreted for small-scale fisheries or smallholder farms in relation to women's roles in fisher/farmer organizations. Many women play a critical role in small-scale fisheries and farms. The assessor should take note of the role women are playing in the fishery or farm and critically look at the leadership structure of fisher/farmer organizations where present. If women are not represented in the fisher/farmer association/cooperative commensurate with their representation in the fishery/farm, this indicator cannot be met. This is also the case for fisheries where women are undertaking fishing activities as well.</p> <p>In a fishery/farm that does not have a cooperative or fisher/farmer organization at the time of the assessment, this indicator may be N/A.</p>

Indicator 1.1.7: Earnings and benefits¹⁷

Question: *Is the Unit of Assessment solely comprised of single-handed vessels or aquaculture farms with no hired employees?*

If YES, this indicator is not applicable.

If NO, score Indicator 1.1.7 Earnings and benefits.

Single-handed vessel: Refers to a vessel that typically operates with only one person on board.

¹⁷ These criteria on earnings and benefits are derived from ILO C188, ILO C100, FTUSA, ASC, BSCI, Naturland, RFVS, Clearview, FOTS, IFFO RS, and GRASP.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.1.5 S.0	SRA1.1.7 S.0	High		There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,
SRA1.1.5 S.0	SRA1.1.7 S.0	High		OR - Minimum legal requirements for income and benefits are not properly defined in domestic labor law,
NEW	SRA1.1.7 S.0	High		OR – If workers are paid by piece rate, rates are set that do not ensure workers are able to earn at least the legal minimum wage,
SRA1.1.5 S.0	SRA1.1.7 S.0	High		OR - Domestic law does recognize equal remuneration for work of equal value for men and women, or wages paid to fishers/farmers/workers do reflect equal remuneration,
NEW	SRA1.1.7 S.0	High		OR - Payment-share systems are used on aquaculture farms or in processing facilities,
SRA1.1.5 S.0	SRA1.1.7 S.0	High		OR - Wage levels and benefits do not meet the minimum legal requirements according to domestic labor laws of workplace, farm, or country of flagged vessel,
SRA1.1.5 S.0	SRA1.1.7 S.0	High		OR - If there are legal exceptions related to minimum wage in the fisheries or aquaculture sectors, the vessel owner/captain/fishing company/farm has not defined fishers'/farmers'/workers' wages, piece rate, or payment-share terms and benefits, and has paid according to these terms. These terms were not agreed upon at the time of employment (or made prior to departing on a fishing trip in the case of vessels), AND the vessel owner/captain/fishing company/farm cannot demonstrate a concerted effort to align take home pay with legal minimums defined for other sectors,
SRA1.1.5 S.0	SRA1.1.7 S.0	High		OR - Overtime wages are not paid in accordance with minimum legal requirements, based on domestic labor laws of workplace, farm, or country of flagged vessel,
SRA1.1.5 S.0	SRA1.1.7 S.0	High		OR - Wages paid to fishers/farmers/workers are not what was promised at the time of employment, or are withheld as a form of discipline, or contain illegal deductions, or are not paid on time or directly to the fisher/farmer/worker, or fishers/farmers/workers go longer than one

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
			month without being paid,	
SRA1.1.5 S.0	SRA1.1.7 S.0	High	OR – Employers do not follow legal requirements related to hiring and employment practices,	
SRA1.1.5 S.0	SRA1.1.7 S.0	High	OR - Fishers/farmers/workers are not aware of how their earnings or deductions are calculated and their rights to benefits, or are not allowed to witness procedures used to determine earnings (weighing, grading), or sign contracts they do not understand given lack of provisions for different languages or illiteracy,	
SRA1.1.5 S.0	SRA1.1.7 S.0	High	OR - Fishers/farmers/workers do not receive wage slips with deductions itemized or written receipts,	
			OR – On individually operating vessels, fishers/farmers/workers do not have the choice to sign off on their pay and are not aware they can ask about the details of their pay at any time.	
SRA1.1.5 S.1	SRA1.1.7 S.1	Medium	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 fishers/farmers/workers,	
SRA1.1.5 S.2	SRA1.1.7 S.2	Medium	AND - Minimum legal requirements for income and benefits are properly defined in domestic labor law,	It is important to validate that local labor laws are applicable to the agriculture and fisheries sectors as these are often an exception.
NEW	SRA1.1.7 S.3	Medium	AND – If workers are paid by piece rate, rates are set to ensure workers are able to earn at least the legal minimum wage,	Piece rate: Workers are paid per unit produced. ¹⁸ This is not applicable if no workers are paid by piece rate.
SRA1.1.5 S.3	SRA1.1.7 S.4	Medium	AND - Domestic law may not recognize equal remuneration for work of equal value for men and women, however, wages paid to fishers/farmers/workers do reflect equal remuneration,	Equal remuneration: Equal remuneration for men and women workers for work of equal value refers to rates of remuneration established without discrimination based on gender, where remuneration refers to the ordinary, basic or minimum wage or salary and any

¹⁸ Definition of piece rate adapted from the [ILO Minimum Wage Policy Guide \(2015\) section 1.7.](#)

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				additional emoluments whatsoever payable directly or indirectly, whether in cash or in kind, by the employer to the worker and arising out of the worker's employment (ILO C100).
NEW	SRA1.1.7 S.5		AND – Payment-share systems are only used for those who are employed on the vessels, directly engaged in catching of fish, and are not used on aquaculture farms or in processing facilities,	Payment-share systems: (a.k.a., catch share, share catch) A method commonly used to pay crew on fishing vessels whereby the captain splits the total revenue, after costs, with crew onboard based on a percentage of the total catch. This means crew may not know their earnings until after the fishing trip.
SRA1.1.5 S.4	SRA1.1.7 S.6	Medium	<p>AND - Wage levels and benefits meet the minimum legal requirements according to domestic labor laws of workplace, farm, or country of flagged vessel,</p> <p>OR - If there are legal exceptions related to minimum wage in the fisheries or aquaculture sectors, the vessel owner/captain/fishing company/farm has defined fishers'/farmers'/workers' wages, piece rate, or payment-share terms and benefits, and has paid according to these terms. These terms are agreed upon at the time of employment (or made prior to departing on a fishing trip in the case of vessels), AND the vessel owner/captain/fishing company/farm can demonstrate a concerted effort to align take home pay with legal minimums defined for other sectors,</p>	Methods such as piece rate should enable workers to earn legal minimums according to a regular work week (defined as 48 hours).
SRA1.1.5 S.5	SRA1.1.7 S.7	Medium	AND - Overtime wages are paid in accordance with minimum legal requirements, based on domestic labor laws of workplace, farm, or country of flagged vessel,	
SRA1.1.5 S.6	SRA1.1.7 S.8	Medium	AND - Wages paid to fishers/farmers/workers 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 fisher/farmer/worker, and fishers/farmers/workers do not go longer than one month without being paid,	

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.1.5 S.7	SRA1.1.7 S.9	Medium	AND - Employers follow legal requirements related to hiring and employment practices,	This includes situations whereby employers do not hire permanent positions to avoid providing benefits to eligible workers. All full-time positions should be staffed with full-time employees.
SRA1.1.5 S.8	SRA1.1.7 S.10	Medium	AND - Fishers/farmers/workers 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,	
SRA1.1.5 S.9	SRA1.1.7 S.11	Medium	AND - Fishers/farmers/workers receive wage slips with deductions itemized or written receipts, OR – On individually operating vessels, fishers/farmers/workers have the choice to sign off on their pay or are aware they can ask about the details of their pay at any time.	Individually operating vessels: This refers to vessels that are not part of a larger business operation and decisions made on these types of vessels will only apply to crew onboard.
SRA1.1.5 S.10	SRA1.1.7 S.12	Low	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,	Living wage: Remuneration received for a standard work week by a worker in a particular place sufficient to afford a decent standard of living for the worker and their family. Elements of a decent standard of living include food, water, housing, education, health care, transport, clothing, and other essential needs, including provision for unexpected events.
SRA1.1.5 S.11	SRA1.1.7 S.13	Low	AND - Both domestic law and practices and policies of the fishery/farm uphold the principles of equal remuneration for men and women,	
NEW	SRA1.1.7 S.14	Low	AND – The fishery/farm/facility has policy that clearly defines pathways to increase pay according to job role, experience, or third-party accreditation/certifications, among others, and workers are aware of steps they can take to increase their wages, Any differences in pay between employees can be justified by this policy,	

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
NEW	SRA1.1.7 S.15	Low	AND - The company hires workers on a permanent basis, OR – Establishes policies to hire the same seasonal or contract workers year over year.	
SRA1.1.5 S.12	SRA1.1.7 S.16	Low	AND - The employer and fishers/farmers/workers discuss how they can improve wages and productivity in mutually beneficial ways,	This PISG should be evaluated, however how this looks in SSF may differ greatly. Generally, a centralized employer for this kind of engagement does not exist in SSF, although these discussions may occur on vessels or within cooperatives or associations. In interviews with crew, the assessor can ask whether the captain is receptive to feedback about pay and/or if fishers have a mechanism to discuss payment terms. Within cooperatives or associations, the assessor can check if there are mechanisms for crew to bring forward issues and suggestions about payment share and/or for captains to discuss ways to improve payment share terms for their crew.
SRA1.1.5 S.13	SRA1.1.7 S.17	Low	AND - There are written contracts between employer and employees in a language employees understand with provisions for illiterate workers.	Refer to 1.1.2 S.7 for guidance on contracts in small-scale fisheries.

Indicator 1.1.8: Adequate rest¹⁹

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

If YES, this indicator is not applicable²⁰

If NO, score Indicator 1.1.6: Adequate rest²¹

Self-employed: A fisher is considered self-employed if they themselves are making all decisions pertaining to vessel or farm operations. In cases where a vessel owner is not also the captain, or property is being leased to a

¹⁹ These criteria on adequate rest are derived from FTUSA, ASC, BSCI, Naturland, RFVS, Clearview, GRASP, ILO C188, and ILRF 2018.

²⁰ Note this indicator is not applicable for single-handed vessels or aquaculture farms with no hired employees.

²¹ Note this indicator is always applicable for processing facilities.

farmer, they are not considered self-employed. This will commonly be applied where fishers or farmers own and operate their own vessel or farm.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.1.6 S.0	SRA1.1.8 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA1.1.6 S.0	SRA1.1.8 S.0	High	OR - There is no mechanism in place for fishers/farmers/workers to record hours worked,	
SRA1.1.6 S.0	SRA1.1.8 S.0	High	OR - Working hours do not meet the domestic legal minimum requirements, and overtime hours are not paid at a premium as required by law,	
SRA1.1.6 S.0	SRA1.1.8 S.0	High	OR - Fishers/workers on vessels do not have at least 10 hours of rest in a 24-hour period and at least 77 hours of rest in a 7-day period,	
SRA1.1.6 S.0	SRA1.1.8 S.0	High	OR - Overtime is not voluntary.	
SRA1.1.6 S.1	SRA1.1.8 S1	Medium	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 fishers/farmers/workers,	
SRA1.1.6 S.2	SRA1.1.8 S.2	Medium	AND - There is a mechanism in place for fishers/farmers/workers to record hours worked,	
SRA1.1.6 S.3	SRA1.1.8 S.3	Medium	AND - Working hours meet the domestic legal minimum requirements, and overtime hours are paid at a premium as required by law,	It is important to validate that local labor laws are applicable to the agriculture and fisheries sectors as these are often an exception.
SRA1.1.6 S.4	SRA1.1.8 S.4	Medium	AND – Fishers/workers on vessels have at least 10 hours of rest in a 24-hour period and at least 77 hours of rest in a 7-day period,	This is in alignment with ILO C188. This is not applicable on farms or other onshore facilities.
SRA1.1.6 S.5	SRA1.1.8 S.5	Medium	AND - Overtime is voluntary.	
SRA1.1.6 S.6	SRA1.1.8 S.6	Low	There is an independent, third-party oversight mechanism for verification of working hours,	This can be in the form of a social audit or other validation process but must involve someone outside of

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				the UoA validating working hours for validity.
SRA1.1.6 S.7 and S.8	SRA1.1.8 S.7	Low	AND - Onshore workers do not work more than 48 hours/week even if the law permits more, and onshore workers do not work more than 6 days/week,	This includes aquaculture farms, processing facilities, and work performed at landing sites.
SRA1.1.6 NEW OR			OR – If workers are regularly working in excess of 48 hours a week and 6 days per week, management has analyzed the root causes resulting in excessive working hours and is implementing actions with the objective of bringing down working hours to meet international best practices,	<p>This includes aquaculture farms, processing facilities, and work performed at landing sites.</p> <p>The analysis of root causes should at a minimum review:</p> <ul style="list-style-type: none"> - Wages: are workers compelled to work longer hours to earn more because wages are insufficient? Does overtime present the opportunity for premium pay (e.g., 1.5x wages for hours over 48/week)? - Safety provisions: Is exhaustion exacerbating occupational risk? - Work agreements: Have workers agreed to work hours greater than 48 hours? Are they able to refuse work over 48 hours?
SRA1.1.6 S.9	SRA1.1.8 S.8	Low	AND - The workplace systems in place to anticipate peak production needs and seasonal variation to ensure that excessive overtime is not required,	
SRA1.1.6 S.10	SRA1.1.8 S.9	Low	AND - The workplace has paid pre- and post-natal maternity/paternity leave with adequate compensation for all permanent employees.	<p>A permanent employee is an individual that is hired on an ongoing, year-round basis, or have a contract lasting 12 months or more.</p> <p>Note 1.1.7 S15 above regarding hiring the same workers year over year.</p>

Indicator 1.1.9: Access to basic services²²

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

If YES, score Indicator 1.1.9a: Access to basic services for worker housing/live-aboard vessels

If NO, score Indicator 1.1.9b: Access to basic services for small-scale fishing and smallholder farming communities. This should only be assessed if there is a community embedded as part of the UoA.

RELEVANT DEFINITIONS

Basic standards: Accommodation on board fishing vessels that fly its flag shall be of sufficient size and quality and appropriately equipped for the service of the vessel and the length of time fishers live on board. In particular, such measures shall address, as appropriate, the following issues: (a) approval of plans for the construction or modification of fishing vessels in respect of accommodation; (b) maintenance of accommodation and galley spaces with due regard to hygiene and overall safe, healthy and comfortable conditions; (c) ventilation, heating, cooling and lighting; (d) mitigation of excessive noise and vibration; (e) location, size, construction materials, furnishing and equipping of sleeping rooms, mess rooms and other accommodation spaces; (f) sanitary facilities, including toilets and washing facilities with adequate privacy, and supply of sufficient hot and cold water; and (g) procedures for responding to complaints concerning accommodation that does not meet the requirements of this Convention (ILO 2007).

Indicator 1.1.9a: Access to basic services for worker housing/live-aboard vessels

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.1.7a S.0	SRA1.1.9a S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA1.1.7a S.0	SRA1.1.9a S.0	High	OR - Housing and sleeping quarters do not have adequate fire prevention and air ventilation, do not meet legal requirements, or do not meet reasonable levels of safety, decency, hygiene, and comfort,	
SRA1.1.7a S.0	SRA1.1.9a S.0	High	OR - Sanitary facilities (appropriate to vessel or farm size) with adequate privacy are not provided,	
SRA1.1.7a S.0	SRA1.1.9a S.0	High	OR - Potable water is not accessible to workers,	

²² These criteria on access to basic services are derived from FTUSA, BSCI, Naturland, RFVS, Clearview, GRASP, ILO C188, and ILO 2009.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.1.7a S.0	SRA1.1.9a S.0	High	OR - Fishers/farmers/workers living in employer-provided housing or on board do not have access to adequate and sanitary food at fair prices.	
SRA1.1.7a S.1	SRA1.1.9a S.1	Medium	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 fishers/farmers/workers,	
SRA1.1.7a S.2	SRA1.1.9a S.2	Medium	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 S.4	SRA1.1.9a S.3	Medium	AND - Sanitary facilities (appropriate to vessel or farm size) with adequate privacy are provided,	
SRA1.1.7a S.5	SRA1.1.9a S.4	Medium	AND - Potable water is accessible to workers,	
SRA1.1.7a S.6	SRA1.1.9a S.5	Medium	AND - Fishers/farmers/workers living in employer-provided housing or on board have access to adequate and sanitary food at fair prices.	
SRA1.1.7a S.7	SRA1.1.9a S.6	Low	There are separate sanitary facilities for men and women, or sanitary facilities can be locked from the inside,	
SRA1.1.7a S.8	SRA1.1.9a S.7	Low	AND - There are separate sleeping quarters for men and women, OR – On vessels, if there is one sleeping space, men and women have separate bunks, or share same bunk during different shifts,	
SRA1.1.7a S.9	SRA1.1.9a S.8	Low	AND - Sleeping quarters or sanitation facilities cannot be locked from the outside (restriction of movement is prevented),	
SRA1.1.7a S.10	SRA1.1.9a S.9	Low	AND – Fishers/farmers/workers or their representatives and management/vessel owners meet regularly to discuss vessel or housing improvements,	
SRA1.1.7a S.11	SRA1.1.9a S.10	Low	AND - The workplace/fishery/farm provides childcare.	

Indicator 1.1.9b: Access to basic services for small-scale fishing and smallholder farming communities

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
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OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.1.7b S.0	SRA1.1.9b S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA1.1.7b S.0	SRA1.1.9b S.0	High	OR - There is no access to potable water,	
SRA1.1.7b S.0	SRA1.1.9b S.0	High	OR - There is no access to electricity,	
SRA1.1.7b S.0	SRA1.1.9b S.0	High	OR - There is no access to sewage disposal (i.e., outhouse),	
SRA1.1.7b S.0	SRA1.1.9b S.0	High	OR - There is no access to waste disposal (i.e., trash is burned at home).	
SRA1.1.7b S.1	SRA1.1.9b S.1	Medium	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 fishers/farmers/workers,	
SRA1.1.7b S.2	SRA1.1.9b S.2	Medium	AND - There is access to potable water in the community,	
SRA1.1.7b S.3	SRA1.1.9b S.3	Medium	AND - There is access to electricity intermittently,	
SRA1.1.7b S.4	SRA1.1.9b S.4	Medium	AND - There is access to sewage disposal (i.e., sewage containers),	
SRA1.1.7b S.5	SRA1.1.9b S.5	Medium	AND - There is access to waste disposal (i.e., community dump).	
SRA1.1.7b S.6	SRA1.1.9b S.6	Low	There is access to potable water in each household,	
SRA1.1.7b S.7	SRA1.1.9b S.7	Low	AND - There is continuous access to electricity,	
SRA1.1.7b S.8	SRA1.1.9b S.8	Low	AND - There is access to sewage treatment (i.e., community treatment systems)	
SRA1.1.7b S.9	SRA1.1.9b S.9	Low	AND - There is access to a waste management system (i.e., garbage collection and sorting of recycled materials).	

Indicator 1.1.10: Occupational safety²³

DISCLAIMER: The SRA is primarily focused on the experience of the worker and their ability to do their job safely. While it does require the Unit of Assessment to demonstrate compliance with legal requirements and certifications, it is not within scope of the assessment to do an in-depth review of conditions specifically relating to building/structure safety or vessel seaworthiness. For vessels, this is based on ILO C188, and for aquaculture farms and processing facilities, there are also provisions from ILO C155 - Occupational Safety and Health Convention, 1981 (No. 155).

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.1.8 S.0	SRA1.1.10 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA1.1.8 S.0	SRA1.1.10 S.0	High	OR - On vessels conducting fishing trips longer than 3 days, vessels do not carry a crew list, and no copy is provided to authorized persons ashore at the time of vessel departure,	
SRA1.1.8 S.0	SRA1.1.10 S.0	High	OR - Fishers/farmers/workers do not have access to communication equipment, or for vessels over 24 meters there is no radio on board,	
SRA1.1.8 S.0	SRA1.1.10 S.0	High	OR - Adequate personal protective equipment (PPE) (i.e., lifejackets) is not provided on board or in the workplace at no cost (unless self-employed),	
SRA1.1.8 S.0	SRA1.1.10 S.0	High	OR - Workplace does not have a properly implemented health and safety policy,	
SRA1.1.8 S.0	SRA1.1.10 S.0	High	OR - Fishers/farmers/workers and managers have not been trained in health and safety procedures nor on proper use of PPE and safe operation of any equipment they use (unless self-employed),	
SRA1.1.8 S.0	SRA1.1.10 S.0	High	OR - Workplace does not comply with all applicable local/national safety and health regulations,	
NEW	SRA1.1.10 S.0	High	OR – Fishers/farmers/workers do not have access to potable water while at	

²³ These criteria on occupational safety are derived from FTUSA, ASC, BSCI, Naturland, RFVS, Clearview, GRASP, FOTS, IFFO RS, ILO C188, ILO C155 and the FAO Guidance on Social Responsibility in the Fisheries and Aquaculture Value Chains Small-Scale Fishing Section (2024, draft).

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
			work,	
NEW	SRA1.1.10 S.0	High	OR – there are consequences to fishers/farmers/workers for removing themselves from imminent danger.	
SRA1.1.8 S.1	SRA1.1.10 S.1	Medium	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 fishers/farmers/workers,	
SRA1.1.8 S.2	SRA1.1.10 S.2	Medium	AND - On vessels conducting fishing trips longer than 3 days, vessels carry a crew list and provide a copy to authorized persons ashore at the time of vessel departure	
SRA1.1.8 S.3	SRA1.1.10 S.3	Medium	AND - Fishers/farmers/workers have access to communication equipment, and for vessels over 24 meters there is a radio on board,	<p>This is applicable to smallholder and industrial farms as written.</p> <p>Vessels smaller than 24 meters should have some form of functional communication equipment and those greater than 24 meters must have a formal radio that works. 1.1.10 S7 below then extends this to vessels under 24 meters as a means to reduce risk.</p>
SRA1.1.8 S.4	SRA1.1.10 S.4	Medium	AND - Adequate personal protective equipment (PPE) (i.e., lifejackets) is provided on board or in the workplace at no cost (unless self-employed),	<p>Personal protective equipment: Equipment worn to minimize exposure to workplace injuries and illnesses that may result from contact with chemical, radiological, physical, electrical, mechanical, or other workplace hazards (Source: US Department of Labor). It includes any item a worker needs to wear for their own protection. PPE may include but is not limited to clothing, footwear, eye protection, ear protection, gloves, masks, and personal flotation devices (Source: FTUSA).</p> <p>This includes PPE specific to</p>

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				the safe handling of chemicals as prescribed in Material Safety Data Sheet (MSDS).
SRA1.1.8 S.10	SRA1.1.10 S.5	Medium	AND - Workplace has a properly implemented health and safety policy,	This policy covers all fishers/farmers/workers that pertain to a business or that are part of a cooperative or association.
SRA1.1.8 S.5	SRA1.1.10 S.6	Medium	AND - Fishers/farmers/workers 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),	
SRA1.1.8 S.6	SRA1.1.10 S.7	Medium	AND - Workplace complies with all applicable local/national safety and health regulations,	Applicability may vary for different scales of operation, i.e., small-scale fisheries or smallholder farms.
NEW	SRA1.1.10 S.8	Medium	AND - Fishers/farmers/workers have access to potable water while at work,	
NEW	SRA1.1.10 S.9	Medium	AND - there are no consequences to fishers/farmers/workers for removing themselves from imminent danger.	
SRA1.1.8 S.7	SRA1.1.10 S.10	Low	On small vessels (<24 meters), there is a working radio on board,	This is N/A for smallholder aquaculture farms. They fall under 1.1.8 S3 above.
SRA1.1.8 S.8	SRA1.1.10 S.11	Low	AND - Fishers/farmers/workers and managers are trained in health and safety procedures and on proper use of PPE and safe operation of any equipment they use,	In small-scale fisheries or smallholder aquaculture communities, efforts to train fishers/farmers on health and safety protocols are a shared responsibility within the broader value chain. The aim is to build capacity and awareness. This is especially important when there is no centralized organization of fishers/farmers.
SRA1.1.8 S.9	SRA1.1.10 S.12	Low	AND - Workplace risks and risk areas are identified in relevant languages with provisions for illiteracy, and workplace accidents are recorded,	This also includes determination of risks associated with work processes and exposure to substances or agents that may be harmful.
SRA1.1.8 S.11	SRA1.1.10 S.13	Low	AND – The workplace or fishery/farm cooperative or association has a structure or mechanism in place (i.e., occupational health and safety committee), with formal channels of established communication, to discuss	Not applicable for self-employed fishers/farmers who are not organized into a fishing/farm cooperative or association.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
			and implement protection of workplace health and safety and/or promote occupational health and safety best practices; feedback acquired through these channels is incorporated into the health and safety policy,	
SRA1.1.8 S.12	SRA1.1.10 S.14	Low	AND - There are special protections for young, pregnant, or other vulnerable fishers/farmers/workers.	

Indicator 1.1.11: Medical response²⁴

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.1.9 S.0	SRA1.1.11 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA1.1.9 S.0	SRA1.1.11 S.0	High	OR - Medical supplies are inadequate or unavailable (i.e., there is no first aid kit),	
SRA1.1.9 S.0	SRA1.1.11 S.0	High	OR – At farms, processing facilities, or on large vessels, there is no one trained in first aid,	
SRA1.1.9 S.0	SRA1.1.11 S.0	High	OR - On large vessels, making long trips, fishers do not have a valid medical certificate attesting to their fitness to work,	
SRA1.1.9 S.0	SRA1.1.11 S.0	High	OR - Workers are not provided with medical care for workplace injuries and are not repatriated, if necessary, at employer's expense.	
SRA1.1.9 S.1	SRA1.1.11 S.1	Medium	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 fishers/farmers/workers,	
SRA1.1.9 S.2	SRA1.1.11 S.2	Medium	AND - Adequate medical supplies are available (i.e., there is a first aid kit),	
SRA1.1.9 S.3	SRA1.1.11 S.3	Medium	AND – At farms, processing facilities, or on large vessels, there is a trained first aid responder,	Large vessels: Vessels equal to, or greater than 24 meters (ILO 2007).
SRA1.1.9	SRA1.1.11	Medium	AND - On large vessels, making long trips,	Long trips: Trips at sea for

²⁴ These criteria on medical response are derived from FTUSA, RFVS, GRASP, and ILO C188.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
S.4	S.4		fishers have a valid medical certificate attesting to their fitness to work,	more than three days (ILO 2007). Not applicable for smallholder farms or processing facilities.
SRA1.1.9 S.5	SRA1.1.11 S.5	Medium	AND - Workers are provided with medical care for workplace injuries and are repatriated, if necessary, at employer's expense.	
SRA1.1.9 S.6	SRA1.1.11 S.6	Low	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,	
NEW	SRA1.1.11 S.7	Low	AND - Farms, processing facilities, and large vessels keep record of all accidents sustained but fishers/farmers/workers while at work,	
SRA1.1.9 S.7	SRA1.1.11 S.8	Low	AND - Fishers/farmers/workers have received training in emergency response and general first aid.	Whereas SRA1.1.11 S.3 is referring to a specific individual trained in first aid, this is referring to training for all relevant individuals.

Indicator 1.1.12: Observer rights²⁵

Question: Does the fishery have observers onboard vessels?

If YES, score Indicator 1.1.12: Observer rights²⁶

If NO, this indicator is not applicable. This indicator is also not applicable to aquaculture farms or processing facilities.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
NEW	SRA1.1.12 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected observers,	
NEW	SRA1.1.12	High	OR - Fishery observers are not able to	

²⁵ These criteria on observer rights are derived from the IOBR (2013).

²⁶ As per the International Observer Bill of Rights (2013), an observer can be defined as "a person who is authorised by a regulatory authority to collect information in the field (either at sea or on shore) to support sustainable aquatic resource management."

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
	S.0		conduct duties free from assault, harassment, interference, or bribery,	
SRA1.1.7a S.0	SRA1.1.12 S.0	High	OR - Fishery observers are not provided adequate accommodation appropriate to the size of the monitored entity and equivalent to that of the officers onboard the monitored entity,	
NEW	SRA1.1.12 S.0	High	OR - Observers are not aware of communication protocols and the emergency action plan,	
SRA1.1.8 S.0	SRA1.1.12 S.0		OR – Observers do not have access to onboard communication equipment.	
NEW	SRA1.1.12 S.1	Medium	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 observers,	
NEW	SRA1.1.12 S.2	Medium	AND - Fishery observers are able to conduct duties free from assault, harassment, interference, or bribery,	
SRA 1.1.7a S3	SRA1.1.12 S.3	Medium	AND - Fishery observers are provided adequate accommodation appropriate to the size of the monitored entity and equivalent to that of the officers onboard the monitored entity,	
NEW	SRA1.1.12 S.4	Medium	AND - Observers are aware of communication protocols and the emergency action plan,	
SRA 1.1.8 S3	SRA1.1.12 S.5	Medium	AND – Observers have access to onboard communication equipment.	
NEW	SRA1.1.12 S.6	Low	Observers have access to grievance mechanisms to report issues at no cost to the observer. They are able to report any issues while at sea,	

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 rights²⁷

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

²⁷ These criteria on customary resource use rights are derived from FTUSA, ASC, MSC, BAP, Thai GAP, UN Declaration on the Rights of Indigenous Peoples 2007, and FAO Guidance on Social Responsibility in the Fisheries and Aquaculture Value Chains Small-Scale Fishing Section (2024, draft).

If YES, score Indicator 1.2.1: Customary rights

If NO, this indicator is not applicable

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.2.1 S.0	SRA1.2.1 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA1.2.1 S.0	SRA1.2.1 S.0	High	OR - Customary rights have not been identified and recorded using a participatory process,	
SRA1.2.1 S.0	SRA1.2.1 S.0	High	OR - The fishery/farm does not observe the legal and customary rights of local people,	
SRA1.2.1 S.0	SRA1.2.1 S.0	High	OR – Fishers/farmers are denied or revoked access rights due to discrimination (e.g., gender, ethnicity, religion, political affiliation) by authorities and/or other communities or entities,	
SRA1.2.1 S.0	SRA1.2.1 S.0	High	OR - The fishery/farm is designated in an area legitimately claimed by communities without their documented Free, Prior, and Informed Consent,	
SRA1.2.1 S.0	SRA1.2.1 S.0	High	OR - The fishery/farm does not understand its impact on customary access to resources and is negatively impacting adjacent communities, land, and/or water, or restricting access to vital community resources without community approval,	
NEW	SRA1.2.1 S.0	High	OR – Open disputes are not understood with respect to specific asks of customary users.	
SRA1.2.1 S.1	SRA1.2.1 S.1	Medium	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 fishers/farmers/workers,	
SRA1.2.1 S.2	SRA1.2.1 S.2	Medium	AND - Customary rights have been identified and recorded using a participatory process. This includes existing legally recognized rights and any unresolved claims by rights	Customary rights: Refers to patterns of long-standing community land and resource usage in accordance with Indigenous Peoples' and local communities'

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
			holders,	customary laws, values, customs, and traditions, rather than formal legal title ²⁸ . In small-scale fisheries and smallholder farms, value chain actors beyond the vessel/farm level should also be involved in this process, and the burden should not solely rest on small-scale fishers or farmers.
SRA1.2.1 S.3	SRA1.2.1 S.3	Medium	AND - The fishery/farm observes the legal and customary rights of local people,	
SRA1.2.1 S.4	SRA1.2.1 S.4	Medium	AND – Fishers/farmers are not denied or revoked of access rights due to discrimination (e.g., gender, ethnicity, religion, political affiliation) by authorities and/or other communities or entities,	
SRA1.2.1 S.5	SRA1.2.1 S.5	Medium	AND - The fishery/farm is not designated in an area legitimately claimed by communities without their documented Free, Prior, and Informed Consent,	
SRA1.2.1 S.6	SRA1.2.1 S.6	Medium	AND - The fishery/farm 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.	
SRA1.2.1 S.7	SRA1.2.1 S.7	Low	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,	Free, Prior, and Informed Consent: (Declaration on the Rights of Indigenous Peoples 2007) Free: There is no coercion, duress, fraud, bribery, intimidation or manipulation. Prior: Consent is to be sought sufficiently in advance of any significant planning, authorization or commencement of activities, and each decision-making stage, and respect is shown to time requirements of Indigenous consultation/consensus processes.

²⁸ Definition based on UN-REDD: [Customary rights | UNREDD Programme \(un-redd.org\)](https://www.un-redd.org/)

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				<p>Informed: 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. Consultation and participation are crucial components of a consent process.</p>
SRA1.2.1 S.8	SRA1.2.1 S.8	Low	AND - Customary resource users are aware of their rights, are protected under law, and can seek recourse within the legal system,	
SRA1.2.1 S.9	SRA1.2.1 S.9	Low	AND - The fishery/farm is actively mitigating any impacts or conflicts on access to resources for customary users,	
SRA1.2.1 S.10	SRA1.2.1 S.10	Low	AND - Communities or people with claims to a public resource are strongly involved in management of the resource, and traditional practices and knowledge are incorporated into resource management,	In aquaculture, even if the farm has been established for years, if the establishment of that farm did not follow FPIC and there are groups that have laid claims to that land, efforts should be made to resolve these issues.
SRA1.2.1 S.11	SRA1.2.1 S.11	Low	AND - Special attention is paid to ensure women and disadvantaged groups are included in consultation.	

Indicator 1.2.2: Corporate responsibility and transparency²⁹

Question: Does the fishery/farm constitute one or more taxable enterprise(s) or business(es)?³⁰

If YES, score Indicator 1.2.2: Corporate responsibility and transparency

If NO, Indicator 1.2.2: Corporate responsibility and transparency is not applicable

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA1.2.2 S.0	SRA1.2.2 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA1.2.2 S.0	SRA1.2.2 S.0	High	OR – Fishing/farm operation does not pay taxes,	
SRA1.2.2 S.0	SRA1.2.2 S.0	High	OR – 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 S.0	SRA1.2.2 S.0	High	OR - The fishing/farm operation has no human rights policy in place (appropriate to their size and circumstances to meet their responsibility to respect human rights), or cannot demonstrate evidentiary compliance with their policy.	
SRA1.2.2 S.1	SRA1.2.2 S.1	Medium	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 fishers/farmers/workers,	
SRA1.2.2 S.2	SRA1.2.2 S.2	Medium	AND - The fishing/farm operation can demonstrate compliance with all tax laws,	
SRA1.2.2 S.3	SRA1.2.2 S.3	Medium	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	SRA1.2.2	Medium	AND - The fishing/farm operation has	For small-scale fishing/smallholder

²⁹ These criteria on corporate responsibility and transparency are derived from BSCI, IFFO RS, ASC, and UNGP 2011.

³⁰ This includes a legally established cooperative or association of fishers or smallholder farms.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
S.4	S.4		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.	farm operations, there may be a commitment via a cooperative or association (through by-laws, for example), or national commitments. Either of these can be used as evidence of alignment with this PISG as long as there is evidence this policy is being followed.
SRA1.2.2 S.5	SRA1.2.2 S.5	Low	The fishing/farm operation publicly discloses their social, economic, and environmental performance,	
SRA1.2.2 S.6	SRA1.2.2 S.6	Low	AND - The fishing/farm operation is engaged in multi-stakeholder, worker-centered initiatives aiming to improve social performance across the industry,	
SRA1.2.2 S.7	SRA1.2.2 S.7	Low	AND - Financial accounts are regularly reviewed by independent third-party auditors,	
SRA1.2.2 S.8	SRA1.2.2 S.8	Low	AND - The fishing/farm operation has published social responsibility and environmental policies,	For small-scale fishing/smallholder farming operations, this PISG can be met if community members have access to information about social and environmental responsibility within the fishery.
SRA1.2.2 S.9	SRA1.2.2 S.9	Low	AND - The human rights policy is communicated, and training is provided in a language or medium understandable to all fishers/farmers/workers and other relevant persons who assume the responsibility or duties for the operation of the fishing vessel/farm or its workers, including onboard observers.	

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 remedy³¹

RELEVANT DEFINITIONS

Grievance: A circumstance or condition that constitutes an injustice to the sufferer and gives just ground for complaint.

Grievance mechanisms: A formal, legal or non-legal (or ‘judicial/non-judicial’) complaint process that can be used by individuals, workers, communities and/or civil society organizations that are being negatively affected by certain business activities and operations (SOMO).

In order to ensure their effectiveness, grievance mechanisms must be legitimate, accessible, predictable, equitable, transparent, rights-compatible, a source of continuous learning, and based on engagement and dialogue. A grievance mechanism can only serve its purpose if the people it is intended to serve, know about it, trust it, and are able to use it (*for detailed information see UN Guiding Principles on Businesses and Human Rights, Articles 25-31).

- Legitimate: enabling trust from the stakeholder groups for whose use they are intended, and being accountable for the fair conduct of grievance processes.
- Accessible: being known to all stakeholder groups for whose use they are intended, and providing adequate assistance for those who may face particular barriers to access.
- Predictable: providing a clear and known procedure with an indicative time frame for each stage, and clarity on the types of process and outcome available and means of monitoring implementation.
- Equitable: seeking to ensure that aggrieved parties have reasonable access to sources of information, advice, and expertise necessary to engage in a grievance process on fair, informed, and respectful terms.
- Transparent: keeping parties to a grievance informed about its progress, and providing sufficient information about the mechanism’s performance to build confidence in its effectiveness and meet any public interest at stake.
- Rights-compatible: ensuring that outcomes and remedies accord with internationally recognized human rights.
- As source of continuous learning: drawing on relevant measures to identify lessons for improving the mechanism and preventing future grievances and harms.
- Based on engagement and dialogue: consulting the stakeholder groups for whose use they are intended on their design and performance, and focusing on dialogue as the means to address and resolve grievances.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
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³¹ These criteria on grievance reporting and access to remedy are derived from the UN Guiding Principles on Businesses and Human Rights, Articles 25-31, ILRF 2018, IFFO RS, ASC, GRASP, and Clearview. For worker hotline and grievance reporting services see: Issara Institute and Clear Voice.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA2.1.1 S.0	SRA2.1.1 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA2.1.1 S.0	SRA2.1.1 S.0	High	OR – Fishers/farmers/workers that pertain to a business do not have knowledge of and access to effective, fair, and confidential grievance mechanisms, or if fishers/farmers/workers are part of a cooperative, association, or customary group, they do not 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 S.0	SRA2.1.1 S.0	High	OR - There is evidence of retaliation or prejudice against fishers/farmers/workers who submit grievances, including gender-based prejudice or retaliation.	
SRA2.1.1 S.1	SRA2.1.1 S.1	Medium	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 fishers/farmers/workers,	
SRA2.1.1 S.2	SRA2.1.1 S.2	Medium	AND - Fishers/farmers/workers that pertain to a business have knowledge of and access to effective, fair, and confidential grievance mechanisms, or if fishers/farmers/workers 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,	<p>Assessors should be collecting data and assessing risk based on the appropriateness of the grievance mechanism to achieve what is outlined in this PISG. A large farm should have a robust, documented system that may be fairly sophisticated. A small-scale fishery or smallholder farm with only a few crew/employees may have a more informal system. For a cooperative, a documented system is highly recommended and ideally built into cooperative by-laws.</p> <p>For small-scale fisheries or smallholder farms and cooperative contexts, the assessor should also look for</p>

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				more informal systems of reporting grievances and make an assessment of how well these systems are able to capture and address grievances of those in the Unit of Assessment. The assessor should also assess this in correlation to SRA1.2.2 S9 to ensure workers fully understand their rights. An informal system can act as evidence here if fishers/farmers/workers understand their rights (SRA1.2.2 S9 is met), know they can come forward to the farm owner or cooperative leadership if they have an issue, and feel confident their issue will be resolved (data collected via interviews with fishers/farmers/workers).
SRA2.1.1 S.3	SRA2.1.1 S.3	Medium	AND - There is no evidence retaliation or prejudice against fishers/farmers/workers who submit grievances, including gender-based prejudice or retaliation.	
SRA2.1.1 S.4	SRA2.1.1 S.4	Low	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 (while maintaining anonymity and confidentiality of the person experiencing the injustice and submitting the grievance),	<p>This means the grievance mechanism is routinely evaluated according to the 8 characteristics of an effective grievance mechanism: legitimate, accessible, predictable, equitable, transparent, rights-compatible, a source of continuous learning, and based on engagement and dialogue.</p> <p>Public disclosure does not entail sharing intimate details of every case submitted. Instead, parties should be providing information that assures users of the effectiveness of the mechanism to build confidence and trust in the system.</p>
SRA2.1.1 S.5	SRA2.1.1 S.5	Low	AND - The grievance procedure includes special consideration for vulnerable populations (e.g., migrant workers, women, ethnic minorities),	Vulnerable groups should be actively consulted on available grievance mechanisms as an input to measure effectiveness (as per 2.1.1 S4).

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
NEW	SRA2.1.1 S.6		AND – Fishers/farmers/workers have access to safe and confidential communication systems,	In particular, on vessels taking long trips (more than 3 days) and farms that are in very remote locations and/or have dormitories provided, this includes universally accessible WiFi as a best practice.
SRA2.1.1 S.6	SRA2.1.1 S.7	Low	AND – Fishers/farmers/workers have access to third party independent organizations or a local/customary governance body that can address grievances and ensure effective representation.	

Indicator 2.1.2: Inclusive governance of fisheries, aquaculture farms, and the workforce³²

Indicator 2.1.2a: Inclusive governance of fisheries and aquaculture farms

Indicator 2.1.2b: Inclusive governance within the workforce

Question: Are fishers/farmers/workers operating as part of a larger business or organization who holds access, use, management, or other rights to the resource?

If YES, score Indicator 2.1.2a and 2.1.2b

If NO, score Indicator 2.1.2a

RELEVANT DEFINITIONS

Worker-driven approach to supply chain governance: democratic participation of fishworkers and their representatives in supply chain governance in both workplace and transnational levels (when relevant). Engagement and representation at the transnational level is critical for globally traded and highly consolidated commodities such as seafood.³³

Inclusive governance: The process by which an organization, institution, or government meaningfully involves all demographic groups who may be affected by the decisions it makes or in other governance activities (decision making, monitoring, enforcement, conflict resolution).

³² These criteria on stakeholder participation and collaborative management are derived from SFW, ASC, MSC, Thai GAP, IFFO RS, BAP, FishSource, FTUSA, and GALS.

³³ Definition adapted from Reinecke, J., & Donaghey, J. (2021). Towards worker-driven supply chain governance: developing decent work through democratic worker participation. *Journal of Supply Chain Management*, 57(2), 14-28. Chicago.

Indicator 2.1.2a: Inclusive governance of fisheries and aquaculture resources

This indicator is meant to understand the level to which the UoA is engaged on decisions made about management of the resource, whether regarding regulations pertaining to fisheries management, or legislation that may affect aquaculture farm operation. In the context of small-scale fisheries or farms, this includes the extent to which individual operators are engaged, however this can refer to cooperative or association if present in the UoA.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA2.1.2 S.0	SRA2.1.2a S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA2.1.2 S.0	SRA2.1.2a S.0	High	OR - There is no mechanism for stakeholder participation for all affected and relevant stakeholders (including rights-holders) in governance decisions regarding the right to access, harvest, manage, or exclude activities related to natural resources within the managed area (e.g., co-management agreement),	
SRA2.1.2 S.0	SRA2.1.2a S.0	High	OR – Not all affected and relevant stakeholders (including rights-holders) are represented or there are stakeholder groups that are excluded based on status, class, gender, ethnicity, etc.,	
SRA2.1.2 S.0	SRA2.1.2a S.0	High	OR - Stakeholder input is not considered nor integrated into fishery/aquaculture production decision-making.	
SRA2.1.2 S.1	SRA2.1.2a S.1	Medium	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 fishers/farmers/workers,	
SRA2.1.2 S.2	SRA2.1.2a S.2	Medium	AND - There is a mechanism for stakeholder participation for all affected and relevant stakeholders (including rights-holders) in governance decisions regarding the right to access, harvest, manage, or exclude activities related to natural resources within the managed area (e.g., co-management agreement),	<p>A relevant stakeholder is anyone who has a stake in the decision made (government, businesses, NGOs).</p> <p>An affected stakeholder is someone who will experience consequences by the decision made (fisher/farmer/worker, community member, women, minorities).</p>

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
				<p>A rights-holder is a specific type of relevant stakeholder who has claims over or rights to the resource, lands or waters in question.</p> <p>Co-management: A partnership arrangement in which government, the community of fishermen, external agents (non-governmental organizations, research institutions), and sometimes other fisheries and coastal resource stakeholders (vessel owners, fish traders, credit agencies or money lenders, tourism industry, etc.) share the responsibility and authority for decision-making over the management of a fishery (FTUSA).</p> <p>Stakeholder participation: The process by which an organization involves all people who may be affected by the decisions it makes.</p>
SRA2.1.2 S.3	SRA2.1.2a S.3	Medium	AND - All affected and relevant stakeholders (including rights-holders) are represented, and no stakeholder groups are excluded based on status, class, gender, ethnicity, etc.,	
SRA2.1.2 S.4	SRA2.1.2a S.4	Medium	AND - All affected and relevant stakeholder input (including rights-holders) is considered and integrated into fishery/aquaculture production decision-making.	
SRA2.1.2 S.5	SRA2.1.2a S.5	Low	Decisions are publicly communicated, promoted, and transparent,	Public here refers primarily to relevant stakeholders but could include the public more broadly as decisions relate to management of the resource.
SRA2.1.2 S.6	SRA2.1.2a S.6	Low	AND - Decision-making processes have consideration provided for disadvantaged and vulnerable groups (i.e., migrant workers, women, ethnic minorities), so	

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
			that decisions are made by affected stakeholders on equal terms,	
SRA2.1.2 S.7	SRA2.1.2a S.7	Low	AND - All affected and relevant stakeholders (including rights-holders) are free to engage in all aspects of fishery/aquaculture production governance including decision-making, monitoring, enforcement, and conflict resolution,	
SRA2.1.2 S.8	SRA2.1.2a S.8	Low	AND - Participation and collaborative management between local stakeholders and government is fostered and reinforced by civil society organizations working to protect the interests of relevant stakeholders.	

Indicator 2.1.2b: Inclusive governance within the workforce

This indicator pertains to participation of stakeholders, specifically fishers, crew, farmers, and workers, within the UoA. This includes, but it not limited to employees (temporary or permanent) pertaining to a farm or processing facility, crew members on an individually operating vessel, or hired labor workers hired to a fishing company. This also pertains to the function of a fishing or aquaculture cooperative or association concerning how members are engaged in decision-making.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA2.1.2 S.0	SRA2.1.2b S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA2.1.2 S.0	SRA2.1.2b S.0	High	OR - There is no mechanism for stakeholder participation 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 S.0	SRA2.1.2b S.0	High	OR - There is a mechanism for stakeholder participation, but it is not representative of all affected and relevant stakeholders, or some stakeholder groups are excluded from the participation mechanism (i.e., women, ethnic minorities, lower economic	

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
			class).	
SRA2.1.2 S.1	SRA2.1.2b S.1	Medium	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 fishers/crew/farmers/workers,	
SRA2.1.2 S.2	SRA2.1.2b S.2	Medium	AND - There is a mechanism to engage fishers/crew/farmers/workers on decisions regarding fishing/farm operations,	
SRA2.1.2 S.3	SRA2.1.2b S.3	Medium	AND – Fishers/crew/farmers/workers are not excluded based on status, class, gender, ethnicity, etc.,	This includes discrimination of any kind in joining a fishing/farm cooperative or association.
SRA2.1.2 S.4	SRA2.1.2b S.4	Medium	AND – Fisher/crew/farmer/worker input is considered and integrated into fishing/farm decision-making.	
SRA2.1.2 S.5	SRA2.1.2b S.5	Low	Decisions are publicly communicated, promoted, and transparent,	Decisions of a private company need not be made public to external parties unless decisions made affect the public broadly. Decisions about topics such as altering shifts, new production processes, new products, etc., are examples of decisions that can be kept internal, but should be shared with all employees.
SRA2.1.2 S.6	SRA2.1.2b S.6	Low	AND - Decision-making processes have consideration provided for disadvantaged and vulnerable groups (i.e., migrant workers, women, ethnic minorities), so that decisions are made by fishers/crew/farmers/workers on equal terms,	
SRA2.1.2 S.7	SRA2.1.2b S.7	Low	AND – Fishers/crew/farmers/workers are free to engage in all aspects of governance pertaining to fishing/farm operations, including decision-making, monitoring, enforcement, and conflict resolution.	

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

Indicator 2.2.1: Equitable opportunity to benefit³⁴

Note that 2.2.1 is referring to access to economic benefits of the fishery or aquaculture sector, 2.2.2 is identifying risks of discrimination within the Unit of Assessment.

RELEVANT DEFINITIONS

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

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

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA2.2.1 S.0	SRA2.2.1 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA2.2.1 S.0	SRA2.2.1 S.0	High	OR - There is not equal access to or opportunity to benefit from the fishery/farm based on gender, ethnicity, religion, sexual orientation, class, migrant status, political affiliation, etc.	
SRA2.2.1 S.1	SRA2.2.1 S.1	Medium	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 fishers/farmers/workers,	
SRA2.2.1 S.2	SRA2.2.1 S.2	Medium	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.	Benefits: Benefits in fisheries or aquaculture supply chains may include access to fishing rights, profits, medical care, social security, markets, loans, credits, subsidies, and social protection measures, among other things.
SRA2.2.1 S.3	SRA2.2.1 S.3	Low	There is evidence of equal access to or opportunity to benefit from the	Marginalized group: A group relegated to an unimportant or

³⁴ These criteria on equitable opportunity to benefit are derived from FTUSA, Human Rights at Sea 2015, and ILO 2010 GEMS.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
			fishery/farm, and marginalized groups are in leadership positions or positions of power.	powerless position within a society (i.e., migrant workers, women and girls, ethnic or religious minorities, etc.).

Indicator 2.2.2: Discrimination³⁵

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA2.2.2 S.0		High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA2.2.2 S.0		High	OR - There are different rates of pay for people in the same positions, based on e.g., ethnicity, sex, religious affiliation, etc.,	
SRA2.2.2 S.0		High	OR - There is 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 S.0		High	OR - There is discrimination in access to benefits e.g., health care, savings accounts, insurance, etc.,	
SRA2.2.2 S.0		High	OR - There is pregnancy testing for fishers/farmers/workers who can get pregnant.	
SRA2.2.2 S.1		Medium	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 fishers/farmers/workers,	
SRA2.2.2 S.2		Medium	AND - Fishers/farmers/workers receive equal pay for work of equal value,	

³⁵ These criteria on discrimination are derived from FTUSA, ASC, BSCI, Clearview, Naturland, RFVS, ILO C100, and ILO C111.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA2.2.2 S.3		Medium	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.	Discrimination: Any distinction, exclusion, or preference made on the basis of race, color, gender, religion, political opinion, immigration status, national extraction, disability, family responsibilities, sexual orientation, HIV/AIDS status, trade union membership, trade union activities, or social origin, which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation
SRA2.2.2 S.4		Medium	AND - There is no discrimination in access to benefits e.g., health care, savings accounts, insurance, etc.,	
SRA2.2.2 S.5		Medium	AND - There is no compulsory pregnancy testing for fishers/farmers/workers who can get pregnant.	
SRA2.2.2 S.6		Low	There is a comprehensive and proactive anti-discrimination policy for the fishery/farm. The policy is implemented through procedures and practices, posted in all languages and visible to all workers,	
SRA2.2.2 S.7		Low	AND - Managers and fishers/farmers/workers are aware of and trained on the antidiscrimination policy.	

NEW Indicator 2.2.3: Gender-transformative value chain approach³⁶

OLD #	NEW #	Risk level	PISG	Definitions and Guidance
NEW	SRA2.2.3 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
NEW	SRA2.2.3 S.0	High	OR - Neither the productive and reproductive roles of women have been identified in the fishery/farm and women have not been directly engaged in the	

³⁶ These criteria on gender transformative value chain approach were derived from the ILO Gender Sensitive Approached to Value Chain Development (2022), the FAO Illuminating Hidden Harvests (2023), and the IGWG Gender Integration Continuum Categories (2017).

OLD #	NEW #	Risk level	PISG	Definitions and Guidance
			mapping process,	
NEW	SRA2.2.3 S.0	High	OR - The fishery/farm does not collect data relevant to identify asymmetries in work deficits and access based on gender,	
NEW	SRA2.2.3 S.1	Medium	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 fishers/farmers/workers,	
NEW	SRA2.2.3 S.2	Medium	AND - Both the productive and reproductive roles of women are identified in the fishery/farm and women have been directly engaged in the mapping process,	<p>This includes identification of paid and unpaid roles, as well as productive (activities related to the production of goods for consumption or trade and income generation) and reproductive (activities associated with the maintenance and reproduction of labor and continuity of the family and community) roles.</p> <p>The main research mode for this indicator will be secondary data, however, secondary data should be validated via primary data collection while onsite.</p>
NEW	SRA2.2.3 S.3	Medium	AND - The fishery/farm collects data relevant to identify asymmetries in decent work and access to benefits based on gender,	<p>This includes:</p> <ul style="list-style-type: none"> • Sex-disaggregated data • Analysis of gender roles <p>Gender: Refers to socially constructed norms and roles along a continuum</p> <p>Sex: refers to a person's biological characteristics as assigned at birth.</p>
Moved from SRA2.2.1 S4	SRA2.2.3 S.4	Low	AND - Gender transformative policies and research programs are in place,	<p>The policies should be informed by the data collected in 2.2.3 S3.</p> <p>Gender transformative: An approach or practice where gender equality—the shared control of resources and decision-making—and women's empowerment are central to the intervention.</p> <p>Gender transformative programming: Policies and</p>

OLD #	NEW #	Risk level	PISG	Definitions and Guidance
				<p>programs that seek to transform gender relations to promote equality. This approach attempts to promote gender equality by:</p> <ol style="list-style-type: none"> 1) fostering critical examination of inequalities and gender roles, norms and dynamics, 2) recognizing and strengthening positive norms that support equality and an enabling environment, 3) promoting the relative position of women, girls and marginalized groups, and transforming the underlying social structures, policies and broadly held social norms that perpetuate gender inequalities.
NEW	2.2.3 S.5	Low	AND – the fishery/farm measures progress in implementing gender transformative policies.	

PRINCIPLE 3: Improve food, nutrition, and livelihood security

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

Indicator 3.1.1: Food and nutrition security³⁷

RELEVANT DEFINITIONS

Food and nutrition security: When all people at all times have physical, social, and economic access to food, which is consumed in sufficient quantity and quality to meet their dietary needs and food preferences, and is supported by an environment of adequate sanitation, health services and care, allowing for a healthy and active life (FAO 2013), in consideration of differences in nutritional requirements for women and children.

Suggested indicators used to complete this assessment:

Country-level food and nutrition insecurity indicator: 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).

³⁷ Criteria on food and nutrition security are derived from FTUSA, RSB 2012, and UN FAO (relevant links included).

Community-level food and nutrition insecurity indicator: Food Insecurity Experience Scale (FIES) – 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 (UN FAO: www.fao.org/in-action/voices-of-the-hungry/fies/en).

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?

Gender-specific food and nutrition insecurity indicator: Minimum Dietary Diversity Indicator for Women of Reproductive Age (MDDI-W) – a food group diversity indicator that has been shown to reflect micronutrient adequacy, summarized across 11 micronutrients, for women of reproductive age who are often nutritionally vulnerable because of the physiological demands of pregnancy and lactation (UN FAO: www.fao.org/3/a-i5486e.pdf).

Indicator 3.1.1a: Impact on food and nutrition security³⁸

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA3.1.1a S.0	SRA3.1.1a S.0	High		There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,
SRA3.1.1a S.0	SRA3.1.1a S.0	High		OR - The fishery/farm is operating near a resource-dependent community or competing for or interacting with a shared resource (upon which the local community is dependent, either directly or indirectly), and no active measures are being taken to address these impacts,

³⁸ 3.1.1a is applicable in industrial fisheries and aquaculture operations as well as small-scale fisheries and smallholder farms.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA3.1.1a S.0	SRA3.1.1a S.0	High	OR - The majority of the seafood produced 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), and no active measures are being taken to address these impacts.	
SRA3.1.1a S.1	SRA3.1.1a S.1	Medium	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 fishers/farmers/workers,	If there are no publicly available data on food security in the region, the assessor should collect these data by including the FIES questions in interviews with adjacent communities.
SRA3.1.1a S.2	SRA3.1.1a S.2	Medium	AND - The fishery/farm is operating near a resource-dependent community or competing for or interacting with a shared resource (upon which the local community is dependent, either directly or indirectly), but active measures are being taken to address these impacts,	<p>The fishery/farm is considering “interacting” with the same resource if the operation creates a limit on access to a shared resource, even if they are not directly utilizing that shared good.</p> <ul style="list-style-type: none"> • For fishing operations, this may mean fishing on the same stock(s) or otherwise affecting the resource (e.g., bycatch, destructive fishing methods). • For marine aquaculture (coastal or offshore), this may mean impacts on a wild species (e.g., escapees introducing disease, mating, or competing with wild species). • For inshore aquaculture operations, this may mean activities that indirectly effect shared goods outside the farm itself (e.g., negative impacts on the watershed).
			OR - The majority of the seafood produced 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.	Food insecure country: A country with a Serious, Alarming, or Extremely Alarming rating on the International Food Policy Research Institute’s Global Health Index.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA3.1.1a S.3	SRA3.1.1a S.3	Low	<p>The fishery/farm is not operating near a resource-dependent community or competing for or interacting with a shared resource (upon which the local community is dependent, either directly or indirectly,</p> <p>OR - The majority of the seafood produced 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).</p>	

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

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA3.1.1b S.0	SRA3.1.1b S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA3.1.1b S.0	SRA3.1.1b S.0	High	OR - In food/nutrition insecure countries (i.e., based on % undernourished), a participatory local food and nutrition security assessment has been done and food/nutrition insecurity has been identified, but risk mitigation has not yet occurred,	
SRA3.1.1b S.0	SRA3.1.1b S.0	High	OR - The community is food/nutrition insecure (i.e., based on FIES) and the fishery/farm/buyer has not undertaken any actions to assess or reduce risk of their practices affecting local food and nutrition security,	
SRA3.1.1b S.0	SRA3.1.1b S.0	High	OR - International or export trade agreements which affect the fishery/farm have resulted in food/nutrition insecurity for the fishers/farmers/workers, their families, or community members.	
SRA3.1.1b S.1	SRA3.1.1b S.1	Medium	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	If there are no publicly available data on food security in the region, the assessor should collect these data by including the FIES

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
			affected fishers/farmers/workers,	questions in interviews with the fishers/farmers and members of their community.
SRA3.1.1b S.2	SRA3.1.1b S.2	Medium	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 S.3	SRA3.1.1b S.3	Medium	AND - International or export trade agreements which affect the fishery/farm have not resulted in food/nutrition insecurity for the fishers/farmers/workers, their families, or community members,	Assessors should be reviewing potential impact on the fishers/farmers/workers within the Unit of Assessment.
			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 shared resources for subsistence purposes) but active measures are being taken to address these impacts.	
SRA3.1.1b S.4	SRA3.1.1b S.4	Low	There is no food/nutrition insecurity among fishers/farmers/workers and their families, nor among community members adjacent to a fishery/farm (i.e., based on FIES or MDDI-W),	
			OR - Where food/nutrition insecurity has been found among resource-dependent communities (i.e., based on FIES or MDDI-W), local data show improving food/nutrition security factors (i.e., increasing access to shared resources for subsistence purposes),	
SRA3.1.1b S.5	SRA3.1.1b S.5	Low	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 fishers/farmers/workers, their families, or community members.	Assessors should be reviewing potential impact on the fishers/farmers/workers within the Unit of Assessment.

Indicator 3.1.2: Healthcare³⁹

³⁹ These criteria on healthcare are derived from FTUSA, SFP 2016, and WHO.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA3.1.2 S.0	SRA3.1.2 S.0	High		There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,
SRA3.1.2 S.0	SRA3.1.2 S.0	High		OR - The country or region has poor health indicators (e.g., life expectancy at birth; under-five mortality—see WHO) and no local assessment of healthcare needs has been done,
SRA3.1.2 S.0	SRA3.1.2 S.0	High		OR - A local assessment of healthcare needs reveals poor health indicators, but the farm/fishery has not taken any action to improve healthcare.
SRA3.1.2 S.1	SRA3.1.2 S.1	Medium		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 fishers/farmers/workers,
SRA3.1.2 S.2	SRA3.1.2 S.2	Medium		AND - The community's (adjacent to fishery/farm) healthcare needs have been assessed,
SRA3.1.2 S.3	SRA3.1.2 S.3	Medium		AND Resources are being invested to address needs uncovered.
SRA3.1.2 S.4	SRA3.1.2 S.4	Low		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 S.5	SRA3.1.2 S.5	Low		AND - Women have adequate access to reproductive healthcare including family planning, pre- and post-natal, and maternal care,
SRA3.1.2 S.6	SRA3.1.2 S.6	Low		AND - Local data show improving healthcare or healthcare needs are being met.

Indicator 3.1.3: Education⁴⁰

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
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⁴⁰ These criteria on education are derived from FTUSA, SFP 2016, and UNESCO Education Indicators.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA3.1.3 S.0	SRA3.1.3 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA3.1.3 S.0	SRA3.1.3 S.0	High	OR - The country or region has poor literacy and/or schooling rates and no local assessment of educational needs has been done,	
SRA3.1.3 S.0	SRA3.1.3 S.0	High	OR - A local assessment of education needs reveals poor education indicators, but the farm/fishery has not taken any action to improve education,	
SRA3.1.3 S.0	SRA3.1.3 S.0	High	OR - Girls and boys have different rates of educational attainment.	
SRA3.1.3 S.1	SRA3.1.3 S.1	Medium	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 fishers/farmers/workers,	
SRA3.1.3 S.2	SRA3.1.3 S.2	Medium	AND - The community's (adjacent to fishery/farm) education needs have been assessed,	
SRA3.1.3 S.3	SRA3.1.3 S.3	Medium	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 S.4	SRA3.1.3 S.4	Medium	AND - Girls and boys do not have different rates of educational attainment.	
SRA3.1.3 S.5	SRA3.1.3 S.5	Low	The community's educational needs have been assessed and there are resources being invested to address any needs uncovered,	
SRA3.1.3 S.6	SRA3.1.3 S.6	Low	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.	

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 community⁴¹

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA3.2.1 S.0	SRA3.2.1 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA3.2.1 S.0	SRA3.2.1 S.0	High	OR - People from within the community do not hold resource access rights or permits,	
SRA3.2.1 S.0	SRA3.2.1 S.0	High	OR - Most of the harvesting workforce is comprised of temporary migrant workers and no consideration has been given to hiring local workers.	
SRA3.2.1 S.1	SRA3.2.1 S.1	Medium	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 fishers/farmers/workers,	
SRA3.2.1 S.2	SRA3.2.1 S.2	Medium	AND - People from within the community hold at least some resource access and use rights (e.g., fishing license, quota, concession or land tenure)	Community: In this context, community is not necessarily only a spatially bound, homogeneous and organized social unit, as many fishing-dependent communities are migrant, nomadic, or temporary. Likewise, we recognize the complexity occurring <i>within</i> communities across gender, ethnicity, class, political, and religious status, resulting in differential access to benefits from fishing/aquaculture.
SRA3.2.1 S.3	SRA3.2.1 S.3	Medium	AND - Consideration is paid to hiring a local workforce (in the case of industrial fisheries/farms, some labor positions are occupied by local workforce).	
SRA3.2.1 S.4	SRA3.2.1 S.4	Low	The majority of the harvesting workforce is comprised of local residents,	
SRA3.2.1 S.5	SRA3.2.1 S.5	Low	AND - People from within the community hold the majority of resource access rights or permits,	

⁴¹ These criteria on benefits to and within community are derived from FTUSA, Thai GAP, and IPNLF.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA3.2.1 S.6	SRA3.2.1 S.6	Low	AND - Majority of livelihoods and economic benefits from fishery/farm are distributed and retained locally,	
SRA3.2.1 S.7	SRA3.2.1 S.7	Low	AND - High employment rates of women in local jobs created by fishery/farm.	
SRA3.2.1 S8	SRA3.2.1 S8	Low	AND – If aquaculture is an economic driver for the community, there are capacity building opportunities for community members to participate in aquaculture activities, including women.	

Indicator 3.2.2: Economic flexibility and autonomy⁴²

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

If no, Indicator 3.2.4: Economic flexibility and autonomy is not applicable

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA3.2.4 S.0	SRA3.2.2 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA3.2.4 S.0	SRA3.2.2 S.0	High	OR - If applicable, interest rates charged to fishers/farmers are not transparent and are not agreed upon in advance,	
SRA3.2.4 S.0	SRA3.2.2 S.0	High	OR - There is only one local seafood buyer, and fishers/farmers are not free to sell to whomever they wish without retribution,	
SRA3.2.4 S.0	SRA3.2.2 S.0	High	OR - There is evidence of price collusion among local buyers,	
SRA3.2.4 S.0	SRA3.2.2 S.0	High	OR - Fishers/farmers do not know the quality expected of the product, how the price is calculated, and when they will be paid via verbal contract with buyers.	
NEW	SRA3.2.2 S.0	High	OR – Fishers/farmers must work excessive hours that may compromise their safety,	
SRA3.2.4 S.1	SRA3.2.2 S.1	Medium	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	

⁴² These criteria on economic flexibility and autonomy are derived from FTUSA.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
			fishers/farmers/workers,	
SRA3.2.4 S.2	SRA3.2.2 S.2	Medium	AND - If applicable, interest rates charged to fishers/farmers are transparent and agreed upon in advance,	
SRA3.2.4 S.3	SRA3.2.2 S.3	Medium	AND - There is more than one local seafood buyer, and fishers/farmers are free to sell to whomever they wish without retribution,	
SRA3.2.4 S.4	SRA3.2.2 S.4	Medium	AND - There is no evidence price collusion among local buyers,	
SRA3.2.4 S.5	SRA3.2.2 S.5	Medium	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.	
NEW	SRA3.2.3 S.6	Medium	AND – Fishers/farmers do not have to work excessive hours that may compromise their safety,	
SRA3.2.4 S.6	SRA3.2.3 S.7	Low	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 S.7	SRA3.2.2 S.8	Low	AND - Fishers/farmers are organized into groups to better negotiate with buyers and may be price setters,	
SRA3.2.4 S.8	SRA3.2.2 S.9	Low	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 S.9	SRA3.2.2 S.10	Low	AND - When applicable, buyers support fishers/farmers through sharing costs of certification and training,	
SRA3.2.4 S.10	SRA3.2.2 S.11	Low	AND - Fishers/farmers have access to competitive credit markets or are recipients of investment opportunities.	

Indicator 3.2.3: Livelihood security

Question: *Is the fishery/farm contributing to local livelihood security?*⁴³

If YES, score Indicator 3.2.3: Livelihood security

⁴³ This refers to income directly from the fishery/farm being a major source of income for families in the community. This should only be assessed if there is a community embedded as part of the UoA.

If NO, Indicator 3.2.3: Livelihood security is not applicable

RELEVANT DEFINITIONS

Livelihood: A livelihood comprises the capabilities, assets (including both material and social resources) and activities required for a means of living. It is considered sustainable when it can cope with and recover from stresses and shocks, and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resources base on which it relies.

Livelihoods security: Livelihood security refers to the absence of objective threats to livelihood preservation and/or subjective fears that livelihood preservation may be undermined. It requires maintaining the conditions under which each livelihood group can live from their activities.

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA3.2.5 S.0	SRA3.2.3 S.0	High	There are no reliable or transparent data available, or the assessment team is not able to collect primary data through observation, surveys, or interviews in a manner safe for assessment team or affected fishers/farmers/workers,	
SRA3.2.5 S.0	SRA3.2.3 S.0	High	OR - Fishers/farmers/workers do not work under a license(s), are not recognized as part of the legal work force, or do not hold legally recognized land tenure/access rights,	
SRA3.2.5 S.0	SRA3.2.3 S.0	High	OR - Fishers/farmers/workers do not have harvesting access (formally or informally) to more than one species/species group,	This may not be applicable to aquaculture operations where additional species represent more of a cost than a benefit.
SRA3.2.5 S.0	SRA3.2.3 S.0	High	OR - Fishers/farmers/workers do not have access to fishing/aquaculture gear needed to fulfill livelihood responsibilities (ice, engines, boats, gear, fuel, bait etc.),	
SRA3.2.5 S.0	SRA3.2.3 S.0	High	OR - Fishers/farmers/workers, or anyone in their household, do not have alternative livelihoods outside of the fishery/farm.	
	SRA3.2.3 S.0	High	OR - The average age of fishers/farmers/workers is above to the average age in the country, and new fishers/farmers/workers are not joining the workforce.	
SRA3.2.5 S.1	SRA3.2.3 S.1	Medium	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 fishers/farmers/workers,	

OLD #	NEW #	Risk Level	PISG	Definitions and Guidance
SRA3.2.5 S.2	SRA3.2.3 S.2	Medium	AND - Fishers/farmers/workers work under a license(s), are recognized as part of the legal work force, or hold legally recognized land tenure / access rights,	
SRA3.2.5 S.3	SRA3.2.3 S.3	Medium	AND - Fishers/farmers/workers have harvesting access (formally or informally) to more than one species/species group,	This may not be applicable to aquaculture operations where additional species represent more of a cost than a benefit.
SRA3.2.5 S.4	SRA3.2.3 S.4	Medium	AND - Fishers/farmers/workers have access to fishing/aquaculture gear needed to fulfill livelihood responsibilities (ice, engines, boats, gear, fuel, bait etc.),	
SRA3.2.5 S.5	SRA3.2.3 S.6	Medium	AND - Fishers/farmers/workers, or someone in their household, have alternative livelihoods outside of the fishery/farm.	
SRA3.2.3 S.3	SRA3.2.3 S.7	Medium	AND - The average age of fishers/farmers/workers is close to the average age in the country, and new fishers/farmers/workers are joining the workforce.	
SRA3.2.5 S.6	SRA3.2.3 S.8	Low	Male and female fishers/farmers/workers have formal (legal) access to a portfolio of species/species groups and gear types,	This may not be applicable to aquaculture operations where additional species represent more of a cost than a benefit.
SRA3.2.2 S.4	SRA3.2.3 S.9	Low	AND - Formalized training is provided to fishers/farmers in how to add value to their product.	
SRA3.2.5 S.7	SRA3.2.3 S.10	Low	AND - Male and female fishers/farmers/workers have ownership over their fishing/aquaculture gear or have legally recognized land tenure needed to fulfill livelihood responsibilities (ice, engines, boats, gear, fuel, bait etc.),	
SRA3.2.3 S.5	SRA3.2.3 S.11	Low	AND - New fishers/farmers/workers including women are being recruited into the workforce,	
SRA3.2.3 S.6	SRA3.2.3 S.12	Low	AND - Women are increasingly taking leadership roles in the supply chain and fishing/aquaculture communities.	
SRA3.2.5 S.8	SRA3.2.3 S.13	Low	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).	

GLOSSARY

Basic standards: Accommodation on board fishing vessels that fly its flag shall be of sufficient size and quality and appropriately equipped for the service of the vessel and the length of time fishers live on board. In particular, such measures shall address, as appropriate, the following issues: (a) approval of plans for the construction or modification of fishing vessels in respect of accommodation; (b) maintenance of accommodation and galley spaces with due regard to hygiene and overall safe, healthy and comfortable conditions; (c) ventilation, heating, cooling and lighting; (d) mitigation of excessive noise and vibration; (e) location, size, construction materials, furnishing and equipping of sleeping rooms, mess rooms and other accommodation spaces; (f) sanitary facilities, including toilets and washing facilities, and supply of sufficient hot and cold water; and (g) procedures for responding to complaints concerning accommodation that does not meet the requirements of this Convention (ILO C188).

Benefits: Benefits in fisheries or aquaculture supply chains may include access to rights, profits, medical care, social security, markets, loans, credits, subsidies, and social protection measures, among other things.

Blacklisting: Denying people employment for a particular reason, such as political affiliation, involvement in trade union activity, or a history of whistle-blowing.

Child: Any person under the age of 18 (UN). Definition of child may vary from country to country.

Child labor: Work that is inappropriate for a child's age, affects their education, or, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children (e.g., heavy lifting disproportionate to a person's body size, operating heavy machinery, using dangerous equipment, night work).

Collective bargaining: All negotiations which take place between an employer, a group of employers or one or more employers' organizations, on the one hand, and one or more workers' organizations, on the other, for determining working conditions and terms of employment; and/or regulating relations between employers and workers; and/or regulating relations between employers or their organizations and a workers' organization or workers' organizations (ILO C154).

Co-management: A partnership arrangement in which government, the community of fishermen, external agents (non-governmental organizations, research institutions), and sometimes other fisheries and coastal resource stakeholders (vessel owners, fish traders, credit agencies or money lenders, tourism industry, etc.) share the responsibility and authority for decision-making over the management of a fishery (FTUSA).

Community: In this context, community is not necessarily only a spatially bound, homogenous and organized social unit, as many fishing dependent communities are migrant, nomadic, or temporary. Likewise, we recognize the complexity occurring within communities across gender, ethnicity, class, political, and religious status, resulting in differential access to benefits from fishing/aquaculture.

Contract substitution: When workers are obliged to accept different and worse contract conditions on arrival in the destination country to what they had been promised before departure (ILO).

Debt bondage: Status or condition arising from a pledge by a debtor of their personal services or of those of a person under their control as security for a debt if the value of those services as reasonably assessed is not applied toward the liquidation of the debt or the length and nature of those services are not respectively limited and defined (ILO Supplementary Convention on the Abolition of Slavery, 1956).

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

Employed: Working for another party for payment of any kind, including indirect employment, for instance helping an employed worker to contribute to productivity earnings, and working for in-kind (non-cash) payment. A child working (paid or unpaid) alongside her relative is indirectly employed if that relative is employed. If the relative is not employed, for instance is working on their own farm or boat, a child working alongside that relative not considered employed.

Equal remuneration: Equal remuneration for men and women workers for work of equal value refers to rates of remuneration established without discrimination based on gender, where remuneration refers to the ordinary, basic or minimum wage or salary and any additional emoluments whatsoever payable directly or indirectly, whether in cash or in kind, by the employer to the worker and arising out of the worker's employment (ILO C100).

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

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

Fish: A collective term that includes any species or sub-species of aquatic (marine, freshwater and estuarine) animal or plant. Does not include mammals, seabirds, or reptiles (FTUSA).

Food insecure country: A country with a Serious, Alarming, or Extremely Alarming rating on the International Food Policy Research Institute's Global Health Index.

Food and nutrition security: when all people at all times have physical, social and economic access to food, which is consumed in sufficient quantity and quality to meet their dietary needs and food preferences, and is supported by an environment of adequate sanitation, health services and care, allowing for a healthy and active life (FAO 2013), in consideration of differences in nutritional requirements for women and children.

Suggested indicators used to complete this assessment:

Country-level food and nutrition insecurity indicator: 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).

Community-level food and nutrition insecurity indicator: Food Insecurity Experience Scale (FIES) – 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 (UN FAO: www.fao.org/inaction/voices-of-the-hungry/fies/en). 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?

Gender-specific food and nutrition insecurity indicator: Minimum Dietary Diversity Indicator for Women of Reproductive Age (MDDI-W) – a food group diversity indicator that has been shown to reflect micronutrient adequacy, summarized across 11 micronutrients, for women of reproductive age who are often nutritionally

vulnerable because of the physiological demands of pregnancy and lactation (UN FAO: www.fao.org/3/a-i5486e.pdf)

Forced (Compulsory) labor: All work or service that is extracted from any person under the menace of any penalty for which a person has not offered themselves voluntarily or for which such work or service is demanded as a repayment of debt. “Penalty” can imply monetary sanctions, physical punishment, intimidation or punishment of family members, or the loss of rights and privileges or restriction of movement (e.g., withholding of identity documents) (ILO C29).

Freedom of association: The right to establish and join organizations of one’s own choosing without previous authorization, and to draw up constitutions and rules, to elect representatives in full freedom, to organise administration and activities, and to formulate programmes, without interference (ILO C87 & C98).

Free, Prior, and Informed Consent: (Declaration on the Rights of Indigenous Peoples 2007)

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

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

Informed: Information is provided, in appropriate language and format, that covers a range of aspects, 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.** Consultation and participation are crucial components of a consent process.

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

Gender transformative: An approach or practice where gender equality—equal rights, opportunities and possibilities in life for both men and women— and women’s empowerment are central to the intervention, e.g., the shared control of resources and decision-making.

Grievance: A circumstance or condition that constitutes an injustice to the sufferer and gives just ground for complaint.

Grievance mechanism: A formal, legal or non-legal (or ‘judicial/non-judicial’) complaint process that can be used by individuals, workers, communities and/or civil society organizations that are being negatively affected by certain business activities and operations (SOMO). In order to ensure their effectiveness, grievance mechanisms must be legitimate, accessible, predictable, equitable, transparent, rights-compatible, a source of continuous learning, and based on engagement and dialogue. A grievance mechanism can only serve its purpose if the people it is intended to serve, know about it, trust it, and are able to use it (*For detailed information see UN Guiding Principles on Businesses and Human Rights, Articles 25-31).

- Legitimate: enabling trust from the stakeholder groups for whose use they are intended, and being accountable for the fair conduct of grievance processes

- Accessible: being known to all stakeholder groups for whose use they are intended, and providing adequate assistance for those who may face particular barriers to access
- Predictable: providing a clear and known procedure with an indicative time frame
- for each stage, and clarity on the types of process and outcome available and means of monitoring implementation
- Equitable: seeking to ensure that aggrieved parties have reasonable access to sources of information, advice, and expertise necessary to engage in a grievance process on fair, informed, and respectful terms
- Transparent: keeping parties to a grievance informed about its progress, and providing sufficient information about the mechanism's performance to build confidence in its effectiveness and meet any public interest at stake
- Rights-compatible: ensuring that outcomes and remedies accord with internationally recognized human rights
- As source of continuous learning: drawing on relevant measures to identify lessons for improving the mechanism and preventing future grievances and harms
- Based on engagement and dialogue: consulting the stakeholder groups for whose use they are intended on their design and performance, and focusing on dialogue as the means to address and resolve grievances

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 (ILO C182).

Human trafficking: The recruitment, transportation, harboring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation (UN Trafficking Protocol 2000).

Large vessels: Vessels equal to, or greater than 24 meters (ILO C188).

Livelihood: A livelihood comprises the capabilities, assets (including both material and social resources) and activities required for a means of living. It is considered sustainable when it can cope with and recover from stresses and shocks, and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resources base on which it relies.

Livelihood security: Livelihood security refers to the absence of objective threats to livelihood preservation and/or subjective fears that livelihood preservation may be undermined. It requires maintaining the conditions under which each livelihood group can live from their activities.

Living wage: Remuneration received for a standard work week by a worker in a particular place sufficient to afford a decent standard of living for the worker and their family. Elements of a decent standard of living include food, water, housing, education, health care, transport, clothing, and other essential needs, including provision for unexpected events. The Global Living Wage Coalition has developed a widely-accepted methodology for calculating living wage: www.globallivingwage.org/about/anker-methodology.

Long trips: Trips at sea for more than three days (ILO C188).

Marginalized group: A group relegated to an unimportant or powerless position within a society (i.e., migrant workers, women and girls, ethnic or religious minorities, etc.).

Minimum age for employment:

- **On-shore:** 15 years of age, 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.
- **Off-shore:** The minimum age for work on board a fishing vessel is 16 years of age, 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 (ILO C188).

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

Personal Protective Equipment (PPE): Equipment worn to minimize exposure to workplace injuries and illnesses that may result from contact with chemical, radiological, physical, electrical, mechanical, or other workplace hazards (Source: US Department of Labor). It includes any item a worker needs to wear for their own protection. PPE may include but is not limited to clothing, footwear, eye protection, ear protection, gloves, masks, and personal flotation devices (FTUSA).

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 (SFP 2016).

Recruitment fees: Any fees or costs incurred in the recruitment process in order for workers to secure employment or placement, regardless of the manner, timing or location of their imposition or collection.

Small-scale fishery / smallholder farm: A broad category characterized by low-capital, low-technology, labor-intensive harvesting methods. In wild capture, trips are typically close to shore, with up to 5-6 crew members. In farms, family ownership with no permanent workforce is characteristic. "The small-scale fisheries sector tends to be firmly rooted in local communities, traditions, and values. Many small-scale fishers are self-employed and usually provide fish for direct consumption within their households or communities. Women are significant participants in the sector, particularly in post-harvest and processing activities. It is estimated that about 90% of all people directly dependent on capture fisheries work in the small-scale sector. As such, small-scale fisheries serve as an economic and social engine, providing food and nutrition security, employment and other multiplier effects to local economies while underpinning the livelihoods of riparian communities" (Def. from UN FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries). Exact definitions of small-scale fisheries vary based on country.

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

Stakeholder participation: The process by which an organization involves all people who may be affected by the decisions it makes.

Worker: Any permanent, part-time, and temporary/ seasonal personnel employed on a farm or vessel, including directly contracted workers, subcontracted workers, and those earning based on a share of production or catch.

Young worker: Any person who has attained the minimum age for employment, as defined above, but is younger than 18 (or the age of legal adulthood as defined by national law, if higher).

NEW DEFINITIONS

Affected stakeholder: An affected stakeholder is someone who will experience consequences by the decision made (fisher/farmer/worker, community member, women, minorities).

Customary rights: Refers to patterns of long-standing community land and resource usage in accordance with Indigenous Peoples' and local communities' customary laws, values, customs, and traditions, rather than formal legal title⁴⁴.

Employer Pays Principle: No worker should pay for a job – the costs of recruitment should be borne not by the worker but by the employer (IHBR).

Gender: Refers to socially constructed norms and roles along a continuum

Gender transformative programming: Policies and programs that seek to transform gender relations to promote equality.

Individually operating vessels: This refers to vessels that are not part of a larger business operation and decisions made on these types of vessels will only apply to crew onboard.

Payment-share systems: (a.k.a., catch share, share catch) A method commonly used to pay crew on fishing vessels whereby the captain splits the total revenue, after costs, with crew onboard based on a percentage of the total catch. This means crew may not know their earnings until after the fishing trip.

Permanent employee: an individual that is hired on an ongoing, year-round basis, or have a contract lasting 12 months or more.

Piece rate: Workers are paid per unit produced.⁴⁵

Productive gender role: activities related to the production of goods for consumption or trade and income generation.

Reproductive gender role: activities associated with the maintenance and reproduction of labor and continuity of the family and community.

Reproductive coercion: behavior that interferes with the autonomous decision-making of a woman, with regards to reproductive health.⁴⁶

Relevant stakeholder: A relevant stakeholder is anyone who has a stake in the decision made (government, businesses, NGOs).

Rights-holder: A rights-holder is a specific type of relevant stakeholder who has claims over or rights to the resource, lands or waters in question.

Self-employed: A fisher is considered self-employed if they themselves are making all decisions pertaining to vessel or farm operations. In cases where a vessel owner is not also the captain, or property is being leased to a farmer, they are not considered self-employed. This will commonly be applied where fishers or farmers own and operate their own vessel or farm.

Sex: refers to a person's biological characteristics as assigned at birth.

⁴⁴ Definition based on UN-REDD: [Customary rights | UNREDD Programme \(un-redd.org\)](https://www.un-redd.org/)

⁴⁵ Definition of piece rate adapted from the [ILO Minimum Wage Policy Guide \(2015\) section 1.7](#).

⁴⁶ Definition sourced from [Reproductive Coercion: A Systematic Review](#) (KT Grace, 2016).

Single-handed vessel: Refers to a vessel that typically operates with only one person on board.

ANNEX 1: Guidance for Assessment Implementation

Note for Public Consultation: The Annexes are not currently up for comment and are simply added as guidance to complement the SRA content. We may expand with additional Annexes as needed and these will be reviewed and updated as necessary.

Conservation Ethics and Best Practices for Human Rights and Conservation Research and Implementation

Here we provide important ethical considerations and best practices for engaging in human rights and conservation research and interventions. Careful attention to social impact and adverse consequences must be paid in the case of every FIP design and implementation, whether or not the Social Responsibility Assessment Tool is used, or social indicators are scored. This pertains to every phase of the FIP, including in undertaking the assessment, designing the workplan through participatory inclusion of stakeholders, and in public reporting of risk ratings and progress. In particular, we focus on the guidance provided from the following critical resources:

1. CDA's "Do No Harm Approach"
2. Free, Prior, and Informed Consent
3. The Conservation and Human Rights Framework
4. ILRF Four Essential Elements

Do No Harm Approach

The very first step necessary in the ethical implementation of any FIP (environmental or social) is to take the "do no harm approach." This approach, first defined by the CDA Collaborative, recognizes that any intervention (i.e., conservation, development, aid, humanitarian assistance) has the potential to support either conflict or peace. Thus, using a "do no harm approach" emphasizes understanding the local context in which the proposed FIP intends to operate, understanding the interaction between the intervention (FIP assessment, workplan, activities, reporting, etc.) and the local context, and acting upon that understanding as to avoid negative impacts and unintended consequences and maximize positive impacts. Negative impacts or unintended consequences can arise at any stage of the FIP, thus critical thought needs to be allocated to recognizing any trade-offs or conflicts that can occur as a result of the FIP, and all actions must be designed around trying to

avoid these consequences. In some cases, it may not be possible to proceed with a FIP without causing unnecessary harm or hardship to local communities.

Free, Prior, and Informed Consent

A second critical protocol in this context is Free, Prior, and Informed Consent as defined by the Declaration on the Rights of Indigenous Peoples 2007. In this case, "free" refers to the absence of coercion, intimidation or manipulation. "Prior" refers to when consent is sought sufficiently in advance of any authorization or commencement of FIP activities and respect is shown to time requirements of indigenous consultation/ consensus processes. "Informed" refers to the provision of information 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; and procedures the project may entail. Communities must be allowed to withhold consent. Consultation and participation are crucial components of a consent process.

The Conservation and Human Rights Framework A third critical protocol informing ethical guidance of FIP implementation is the Conservation and Human Rights Framework - a set of agreed upon principles that seeks to protect human rights while conducting conservation research and implementing conservation interventions,

adopted in 2010 by a consortium of conservation organizations is called the Conservation Initiative on Human Rights. While we hope that the inclusion of social responsibility in FIPs will further the protection of human rights and wellbeing in global fisheries, FIP implementers should ensure that any FIP activity undertaken is in accordance with the following principles from the Conservation and Human Rights Framework:

1. Respect human rights - Respect internationally proclaimed human rights and make sure that we do not contribute to infringements of human rights while pursuing our mission
2. Promote human rights within conservation programs - Support and promote the protection and realization of human rights within the scope of our conservation programs
3. Protect the vulnerable - Make special efforts to avoid harm to those who are vulnerable to infringements of their rights and to support the protection and fulfillment of their rights within the scope of our conservation programs
4. Encourage good governance - Support the improvement of governance systems that can secure the rights of indigenous peoples and local communities in the context of our work on conservation and sustainable natural resource use, including elements such as legal, policy, and institutional frameworks, and procedures for equitable participation and accountability

ILRF Four Essential Elements

In 2018, International Labor Rights Forum published a report - Taking Stock: Labor exploitation, illegal fishing, and brand responsibility in the seafood Industry. The report outlines four “essential elements” for transitioning the seafood sector to social responsibility: 1) Genuine worker representation; 2) Comprehensive and transparent risk assessment and verification of workplace compliance; 3) Legally-binding and enforceable agreements; and 4) Change brand purchasing practices. While all four are critical for achieving socially responsibility, the first two are especially important during the implementation of this rapid assessment protocol.

In order to achieve genuine worker representation, it is imperative that a FIP under evaluation for social responsibility, includes a fisher/farmer/ worker committee (depending on position in supply chain, or UoA) as part of the stakeholder group that informs the workplan and future FIP objectives and activities. To achieve comprehensive and transparent risk assessment and verification of workplace compliance, the rapid assessment protocol should include the collection of primary data (interviews and surveys with stakeholders) and secondary data (reviews

of legal documents, white papers, published research). Using multiple sources of data will help in triangulation and increase the reliability and validity of the data. Importantly, interviews and surveys with fishers/farmers/workers are likely to give the researcher the most reliable and trustworthy account of social conditions on the water or in facilities plants. When a FIP implementer is collecting primary data, she/ he should have prior experience doing social science research or partner with an individual or organization (i.e., human rights organization) that has sufficient experience.

The report also makes several directed recommendations to the FIP community of practice on the integration of human rights and social responsibility principles:

“As industry actors, environmental organizations, and human rights organizations develop the tools and plans needed to pilot ‘socially responsible FIPs,’ it is vital that they place corporate respect for fishers’ human rights at the top of the agenda. To ensure these FIPs are indeed socially responsible and actually benefit fishers, local communities, and the environment, the Essential Elements must be incorporated...”

“As part of this harmonization process, global union federations such as the ITF and IUF must be invited to join ongoing socially responsible FIPs discussions and local labor union affiliates or other grassroots worker organizations representing fishers should be involved in all decisions affecting their constituency.”

ANNEX 2: Important Resources & References

Third Party Standards

ASC: Aquaculture Stewardship Council Salmon Standard & Shrimp Standard. www.asc-aqua.org

BAP: Global Aquaculture Alliance's Best Aquaculture Practices standards for salmon farms. www.bapcertification.org

BSCI: Business Social Compliance Initiative, Code of Conduct. www.amfori.org

Clearview: Clearview Global Labour Provider

Certification Scheme. www.clearviewassurance.com

FOTS: Friend of the Sea, Wild Sustainable Fishing Requirements. www.friendofthesea.org

FTUSA: Capture Fisheries Standard. www.fairtradecertified.org

GRASP: Global GAP Integrated Farm Assurance Aquaculture Model and Risk Assessment on Social Practice (GRASP) add-on. www.globalgap.org/uk_en

IFFO RS: Global Standard for Responsible Supply of Marine Ingredients. www.marin-trust.com

International Organization for Migration (IOM). International Recruitment Integrity System (IRIS). <https://iris.iom.int>

MSC: Fishery Standard. www.msc.org

Naturland: Standards for Organic Aquaculture. www.naturland.de

Best Seafood Practices Responsible Fishing Vessel Standard. [Best Seafood Practices \(bspcertification.org\)](http://BestSeafoodPractices(bspcertification.org))

SFW: Monterey Bay Aquarium, Seafood Watch Standard for Fisheries. www.seafoodwatch.org

Thai GAP: "Good Aquaculture Practices for Marine Shrimp Farm" as defined by the Thai National Bureau of Agricultural Commodity and Food Standards, Ministry of Agriculture and Cooperatives.

Risk Assessment Tools

FishSource: Sustainable Fisheries Partnership (SFP) tool which includes a human rights risk index.

SSRT: Seafood Social Risk Tool (developed by Monterey Bay Aquarium, Seafish, Liberty Asia and SFP). <https://www.seafoodwatch.org/our-projects/seafood-social-risk-tool>

Verifik8: Monitoring and verification app for seafood supply chains (developed by FairAgora). www.verifik8.com

Stakeholder Feedback and Consultation Tools

ClearVoice worker grievance hotline. www.thecahngroup.com/clear-voice.html

GALS: Gender Action Learning for Sustainability (participatory assessment method). <https://gamechangenetwork.org/methodology/galsatscale/#Participatory-Gender-Review>

Issara Institute Migrant Worker Hotline, Thailand. www.issarainstitute.org

Indicators and Guidance

FAO 2013 Food and Nutrition Security. https://www.unscn.org/files/Annual_Sessions/

UNSCN_Meetings_2013/Wustefeld_Final_MoM_FNS_concept.pdf

Harvard University's Gender Action Portal. <http://gap.hks.harvard.edu>

Human Rights at Sea (2015) "Gender Briefing Note: Gender and its application in the maritime environment." <http://seafarers-cluster.org/wp-content/uploads/2015/11/20151114-HRAS-GENDER-ANDHUMAN-RIGHTS-AT-SEA-LOCKED1.pdf>

Human Rights Watch (HRW). www.hrw.org/sites/default/files/report_pdf/thailand0118_report_web.pdf

IHRB, Leadership Group for Responsible Recruitment: The Employer Pays Principle. www.ihrb.org/uploads/news-uploads/Employer_Pays_Principle_-_Leadership_Group_for_Responsible_Recruitment_updated2.pdf

ILO: International Labour Office (2024). "Hard to see, harder to count: Handbook on forced labour surveys." [Hard to see, harder to count: Handbook on forced labour surveys | International Labour Organization \(ilo.org\)](https://www.ilo.org/publications/hard-to-see-harder-to-count)

ILO (2007). "Eliminating Child Labour: Guide for Employers." www.ilo.org/asia/publications/WCMS_117863/lang-en/index.htm

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Living Income Community of Practice. www.living-income.com

Opal (2018). Framework on Social Responsibility for the Seafood Sector. Prepared for the Certification and Ratings Collaboration.

OSMI (2018) FIP Rapid Assessment Protocol.

RSB: Roundtable on Sustainable Biomaterials (2012). "Food Security Guidelines." https://rsb.org/wp-content/uploads/2020/06/RSBGUI-01-006-01-RSB-Food-Security-Guidelines_final.pdf

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

United Nations Educational, Scientific and Cultural Organization (UNESCO) Education Indicators. http://uis.unesco.org/en/home#tabs-0-uis_home_top_menus-2

US Department of Labor's "Comply Chain: Business Tools for Labor Compliance in Global Supply Chains." www.dol.gov/general/apps/ilab-comply-chain

Verité. Fair Hiring Toolkit. <https://www.verite.org/help-wanted/fair-hiringtoolkit/>

Verité. Responsible Sourcing Tool (Seafood industry section). <http://responsiblesourcingtool.org>

World Health Organization (WHO). Global Health Indicators.
<https://www.who.int/data/gho/data/indicators/indicators-index>

Conventions, Protocols, and Guidance

International Labour Organization Conventions (ILO)

- Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)
- Right to Organise and Non-Discrimination of Unions, 1949 (No. 98)
- Collective Bargaining Convention (No. 154)
- Forced Labour Convention, 1930 (No. 29)
- Abolition of Forced Labour Convention, 1957 (No. 105)
- Minimum Age Convention, 1973 (No. 138)
- Worst Forms of Child Labour Convention, 1999 (No. 182)
- Equal Remuneration Convention, 1951 (No. 100)
- Discrimination (Employment and Occupation) Convention, 1958 (No. 111)

ILO General principles and operational guidelines for fair recruitment, 2016

ILO General principles and operational guidelines for fair recruitment & Definition of recruitment fees and related costs. International Labour Office – Fundamental Principles and Rights at Work

Branch, Labour Migration Branch – Geneva, 2019

ILO Work in Fishing Convention, 2007 (No. 188)

ILO Maritime Labour Convention 2006 (No. 186)

ILO Migrant Workers (Supplementary Provisions) Convention, 1975 (No. 143)

ILO Recommendation Concerning the Prohibition and Immediate Action For the Elimination of the Worst Forms of Child Labour, 1999 (No. 190)

ILO Supplementary Convention on the Abolition of Slavery, 1956

ILO Tripartite Declaration of Principles concerning Multinational Enterprises and Social Policy, 2017

International Convention on the Protection of the

Rights of All Migrant Workers and Members of Their Families, 1990

International Covenant on Civil and Political Rights, 1966

International Covenant on Economic, Social and Cultural Rights, 1966

IOBR 2013. International Observer Bill of Rights - A guide to the health, safety, welfare, and professionalism of observers.

<https://apo-observers.s3.us-west-2.amazonaws.com/wp-content/uploads/2021/01/18142557/international-observer-bill-of-rights-guide.pdf>

FAO Code of Conduct for Responsible Fisheries, 1995

UN Convention on the Elimination of All Forms of Discrimination against Women, 1979

UN Convention on the Rights of the Child, 1990

UN Declaration on the Right to Development, 1986

UN Declaration on the Rights of Indigenous Peoples, 2007

UN Declaration on the Rights of Persons Belonging to National or Ethnic, Religious, and Linguistic Minorities, 1992

UN Guiding Principles on Business and Human Rights, 2011

UN Protocol to Prevent, Suppress, and Punish

Trafficking in Persons Especially Women and Children, 2000

UN Universal Declaration of Human Rights, 1948

CGIAR: Consultative Group for International

Agriculture Research, Research Program on Aquatic Agricultural Systems

FAO Goodfish Code

FAO Voluntary guidelines for securing sustainable small-scale fisheries in the context of food security and poverty eradication, 2015

FAO Voluntary guidelines on the responsible governance of tenure of land, fisheries and forests in the context of national food security, 2012

FAO Voluntary guidelines to support the progressive realization of the right to adequate food in the context of national food security, 2004
FAO & WHO Rome Declaration on Nutrition, 2014

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www.somo.nl/human-rights-and-grievancemechanisms

United Nations Office of Drugs and Crime (UNODC, 2013). "Human Trafficking."

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[Reproductive Coercion: A Systematic Review](#) (KT Grace, 2016)

[ILO Towards freedom at sea: Handbook for the detection of forced labor in commercial fishing](#) (2023)

[IOM Labour Migration Process Mapping Guide: Understanding and Assessing Human and Labour Rights Risks to Migrant Workers During Recruitment, Employment and Return](#) (2023)

[UN Protocol to Prevent, Suppress and Punish Trafficking in Persons Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime](#) (2000)

[ILO General principles and operational guidelines for fair recruitment and Definition of recruitment fees and related costs](#) (2019)

IHBR [The Employer Pays Principle](#)

IHBR [Dhaka Principles for migration with dignity](#)

LRQA ERSA 3.0 Responsible Sourcing Assessment

FAO Guidance on Social Responsibility in the Fisheries and Aquaculture Value Chains Small-Scale Fishing Section (2024, draft)

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FAO [Illuminating Hidden Harvests](#) (2023)

Interagency Gender Working Group [Gender Integration Continuum Categories](#) (2017)

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