



# The Social Responsibility Assessment for the Seafood Sector

**A Manual for Trainers on Guidance for  
Assessment Implementation**

# THE SOCIAL RESPONSIBILITY ASSESSMENT TOOL FOR THE SEAFOOD SECTOR:

## A MANUAL FOR TRAINERS ON GUIDANCE FOR ASSESSMENT IMPLEMENTATION

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This publication is made possible by the generous support of the Walmart Foundation. Conservation International's Center for Oceans fosters local action and global impact through sound strategies, alliances, learning communities and proven tools. The goal is to conserve marine biodiversity and ecosystems to safeguard ecological, social and economic benefits for people and nature.

Conservation International is a non-profit organization founded in 1987 with programs and partners in over 30 countries. Building upon a strong foundation of science, partnership and field demonstration, CI empowers societies to responsibly and sustainably care for nature, our global biodiversity, for the well-being of humanity.

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# INTRODUCTION TO THE SOCIAL RESPONSIBILITY ASSESSMENT TOOL FOR THE SEAFOOD SECTOR

The seafood sector employs millions and is the primary source of protein for 3 of 7 people globally. However, recent media revelations about human rights violations in the seafood sector have placed social issues at the forefront of the dialogue about sustainability. The visibility of this issue has created new impetus for the industry, governments, and nonprofit organizations to confront the complexity of these issues and develop collaborative solutions to systematically reduce and eliminate social abuse. Human rights violations in the seafood industry are accompanied by other serious issues, including institutionalized inequality, undermining of food and livelihood security, and loss of access rights. Collectively, these factors drive social instability, poverty, and resource decline. The linked conditions of people and the marine environment have created new impetus for stakeholders to develop collaborative solutions to systematically reduce and eliminate social abuse. Despite recognition of social problems in the sector, the vast majority of seafood ratings, certifications and standards do not incorporate social issues.

In response to these challenges, Conservation International led the development of a coalition of experts and organizations to develop a shared, comprehensive definition of social responsibility to align efforts in the seafood sector. The first phase of this initiative was to develop a common agenda, in the form of a shared definition - now referred to as the “Monterey Framework” for social responsibility (Kittinger et al. 2017). The Monterey Framework is now integrated with the Conservation Alliance for Seafood Solutions’ (Alliance) Common Vision for Sustainable Seafood and the Seafood Certification and Ratings Collaboration’s Framework for Social Responsibility and is supported by more than two-dozen businesses and over 25 nonprofit organizations.

The momentum created through this collective impact approach has driven sector-wide uptake and shared actions among a wide range of nonprofit, private sector and government organizations. This commitment helps fulfill the United Nations Sustainable Development Goal 14 to conserve and sustainably use the oceans, seas and marine resources for sustainable development.

The Social Responsibility Assessment Tool for the Seafood Sector (SRA), co-developed as a collaborative resource by more than two-dozen organizations, is useful as a diagnostic, benchmarking, or risk assessment tool for conducting human rights due diligence in seafood supply chains. This resource is meant to be used as a sister tool to a Fisheries Improvement Project (FIP) needs-assessment or pre-assessment and should be applied to assess risks of social issues, uncover critical information gaps, identify areas in need of improvement, and inform the development of a FIP workplan that includes human rights as a core component. The Social Responsibility Assessment (SRA) Tool is not a certification and is voluntary for the time being. A FIP implementer decides whether they would like to assess social responsibility principles and performance indicators in the context of each fishery and aquaculture improvement project.

The Social Responsibility Assessment (SRA) Tool is built on the three principles of [The Monterey Framework for Social Responsibility](#), a shared definition of social responsibility inclusive of: 1) protecting human rights, dignity, and access to resources, 2) ensuring equality and equitable opportunity to benefit, and 3) improving food, nutrition, and livelihood security.

## PURPOSE AND USE OF THIS MANUAL

**Background:** Critical to the effective implementation of the assessment tool is expertise among the assessment team on human rights and social science methods. All those involved in the application of the SRA should receive preparatory training in conducting social science and critical protocols informing ethical guidance of FIP implementation under a Rights-based Approach. This includes a focus on gender dynamics, free prior and informed consent, and applying a human rights framework. Each framework should be clearly understood and integrated across the data collection process, which may involve secondary data, primary data, or both, and will require time in the field interacting with the fishery and the workers. Data gathered will serve to score each indicator pertaining to the SRA, where applicable, and inform the development of fishery improvement plans with local stakeholders for driving social change.

**Objective:** This manual is intended to serve as an aide for any facilitator knowledgeable in the SRA to effectively present on the practice of implementing SRA principles into data collection, assessments, and fisheries improvement plans.

**Audience:** This training manual is intended for organizations seeking to apply the SRA and in need of support to improve assessment staff's knowledge and capacity on integrating rights principles across data collection methods and in FIP design and implementation. It serves as an accompaniment to the [Social Responsibility Assessment Tool](#) and the [Social Responsibility Assessment Tool: A Guide to Data Collection](#) document, both of which can be found at [www.riseseafood.org](http://www.riseseafood.org).

Note: Each facilitator will bring their own unique knowledge and experiences when facilitating any of these modules. Each should accordingly feel comfortable adapting the content or slides as they see fit, in alignment with their own experience and working context.

**Learning Outcomes:** This manual offers guidance to trainers on five key themes below:

- Module 1: Conducting Social Science Research
- Module 2: Using a Rights-Based Approach
- Module 3: Applying Free, Prior, and Informed Consent
- Module 4: Integrating a Gender Lens
- Module 5: Applying a Fisher/ Work-Driven Approach

**How to Use:** Each module of this training manual can be used independently or followed sequentially as part of a 1-to-2-day training workshop. Each Module includes background content related to the topic at hand, a corresponding power point presentation, and training activities to use with participants. Additional references for the facilitator are also included at the end of each module, which may be used to adapt or further expand upon the training content, or to share with participants.

# MODULE 1:

# CONDUCTING SOCIAL SCIENCE RESEARCH

## Social Science and Data Collection

An integral part of CI's strategic mission to empower societies to responsibly and sustainably care for nature is to link science and action to guide conservation of nature worldwide. CI is committed to creating a research climate that promotes faithful adherence to high ethical standards in the conduct of research and scholarship without inhibiting the productivity and creativity of the people involved in research.

The definition of social science is the study of institutions and functioning of human society and the interpersonal relationships of individuals as members of society ([Merriam-Webster](#) 2021). Collecting information from individuals within those societies can improve common understanding of the existing knowledge, attitudes and practices of conservation and inform conservation research. By integrating social science, we can improve conservation management practices and governance processes through effectively engaging stakeholders; facilitate more socially equitable conservation processes and outcomes; and increase the likelihood of ecologically effective conservation planning and management across different social, economic, and political contexts.

Research ethics is a cornerstone of public trust and critical for advancement to international prominence and excellence in research. To further the highest standard of research, CI implements a "Research Ethics [Policy](#)" to ensure that research involving human subjects carried out and/or funded by the organization follows appropriate ethical standards in order to protect individuals from potential harm or risk.

## Research Methods

Social science offers a diverse array of techniques and methodologies. A critical first step in conducting human subjects research is to identify the most appropriate research tool based on scope of information needed to answer the questions. For implementing the SRA, there are four recommended data collection and methodologies, including:

- **Desktop research** to collect secondary data. For example, the assessor could conduct a review of pertinent legislation of the FIP host country, such as the relevant ILO conventions ratified, or domestic labor laws. They could also review fishing cooperative by-laws or union contracts if they are available.
- **Focus groups** to explain and socialize the research and to collect non-sensitive information. By asking survey or interview questions to a group, the assessor can save resources and time. For example, they could convene at focus group of 10-12 women to discuss a series

of questions focused on the respective roles of men and women and women's empowerment in the seafood sector.

- **Direct observation or participant observation** to observe living and working conditions on the vessel, or assess basic services within a community. These observations by a third party can allow access to information and behaviors that may be difficult to capture in surveys.
- **Key informant interviews or one-on-one surveys** to collect sensitive and confidential information. These are often more time-intensive, but are absolutely necessary when approaching the assessment from a worker-drive approach. These can include household surveys or structured interviews with standard questions to garner information on existing knowledge, attitudes and practices in a target population.

## Sampling Techniques

**Sampling** is a technique of selecting individual members or a subset of the population to make statistical inferences from them and estimate characteristics of the whole population. Different sampling methods are used depending on the type of information being gathered and familiarity with the target population.

Some technical points to consider include:

- The sampling technique you will most likely use in conducting your interviews is called non-probability sampling. This refers to when the selection process is not formal, and when your knowledge of the population is limited.
- Non-probability sampling is also a better option if your time and resources in the field are limited. There are three types: intercept, snowball, and purposive.
- A frequent question people ask is how many people need to be interviewed. This will depend on the size and structure of the target population, and the extent of the assessors' time and resources in the field, among other things.
- The best case scenario is to sample as many people as time and resources allow, and in particular ensure that the perspectives of vulnerable sub-populations such as ethnic minorities, migrant workers, or indigenous people are well-represented in the sample.

The following tools can help you calculate an appropriate sample size using simple math:

- ASC formulae:  
<https://www.asc-aqua.org/wp-content/uploads/2018/06/ASC-multi-site-sample-size-combined-calculator.xlsx>
- Fairtrade International (p.14):  
[https://www.flocert.net/wp-content/uploads/2017/09/Audit\\_SOP\\_en-1.pdf](https://www.flocert.net/wp-content/uploads/2017/09/Audit_SOP_en-1.pdf)
- Social Accountability International (p.53):  
[http://www.saasaccreditation.org/sites/default/files/u4/SAAS\\_Procedure\\_200\\_v3.1\\_February.2017.pdf](http://www.saasaccreditation.org/sites/default/files/u4/SAAS_Procedure_200_v3.1_February.2017.pdf)

## Triangulation

It should be noted that when it comes to collecting information, interviews are just one piece of a whole. Interviews should be supported and validated by other sources of information, like the secondary desktop sources mentioned within the SRA. The following graphic captures the various pillars that comprise a validated finding as part of an assessment process.



Source: [Verité, Inc.](#)

## Research Ethics Protections

Prior to beginning research, it is critical to obtain informed consent of the participants to ensure human subjects research protections are in place. Obtaining informed consent is critical prior to initiating any social science research, including interviews. Different organizations and universities may have different requirements for obtaining informed consent, but we recommend following this general guidance:

- Provide a brief explanation of the study and its objectives, disclose any anticipated costs (including the duration of the interview) and any anticipated benefits resulting from the research.
- Assure the respondent of confidentiality and anonymity and that their name or any identifying information will not be associated with their responses. This includes having the systems in place on the project side to protect and anonymize the data once gathered.
- Assure the respondent that participation in the research is completely voluntary, that they may discontinue their participation at any time, that there are no correct or incorrect responses and their perspective is important and valid.

After providing this information either verbally or in written form, consent can either be given verbally or in written form, depending on what feels comfortable within the local context.

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.

All those involved in the piloting of the SRA should receive preparatory training in conducting social science research and the application of critical protocols if they are not already comfortable with these approaches. Framing the assessment in this context helps to ensure FIP implementation fits within a human rights-based approach, including a focus on gender dynamics, free prior and informed consent and applying a worker/fisher-driven approach.

## References

CI (2012). [Research Ethics Policy](#). Arlington, VA: CI.

The National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research. (April 18, 1979.) *The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research*. Washington, DC: US Department of Health, Education and Welfare.

U.S. Department of Health and Human Services. (2004.) *Guidelines for the Conduct of Research Involving Human Subjects in the National Institutes of Health*. Washington, DC: HHS.

## Additional Resources

- Oxford Brookes University (n.d). Research Ethics.  
<https://www.brookes.ac.uk/research/research-ethics-statement/>

*This UREC ensures that the dignity, rights, safety, inclusivity and well-being of all participants are given primary consideration. For detailed information, please see the University Code of Practice for Research Ethics for Human Subjects Research Involving Human Participants.*

- University of Wisconsin-Madison. Human Research Protection Program Policies –  
<https://research.wisc.edu/compliance-policy/human-research-protection-program/>

*The Human Research Protection Program provides oversight for all research activities involving human participants at the University, including comprehensive guidance, forms and resources for human subjects research.*

# MODULE 2:

## USING A RIGHTS-BASED APPROACH

### A Rights-Based Approach and the SRA

The SRA was created with the understanding that respect for human rights are intrinsic to the success of the fishing industry and that conservation cannot succeed without respecting the rights of everyone involved. There is also the recognition that conservation activities and the fishing sector more explicitly have the ability to cause harm if the right systems are not in place. At its core, the three principles and six components of the SRA lead the assessor to view the fisheries sector through a rights-based lens and to approach each assessment with an eye towards transformative improvements for the people involved.

As clearly outlined in the guidance in Annex I of the Social Responsibility Assessment Tool for the Seafood Sector (SRA), respect for human rights are at the foundation of any Fishery Improvement Project (FIP). The Annex highlights several different and complimentary approaches to respecting human rights including the “do no harm” principle; Free, Prior and Informed Consent (FPIC); the Conservation and Human Rights Framework; and the [International Labor Rights Forum’s four Essential Elements](#). It is important to recognize that a rights-based approach is about so much more than avoiding harm, but rather doing good. The SRA is designed to ensure that not only are fisheries doing no harm, but they are improving the livelihoods of people involved while also respecting substantive rights and ensuring access to procedural rights.

The next section will look at human rights in a bit more detail and explain why it’s important for an assessor to understand these principles and how to use that knowledge while conducting an assessment.

### Human Rights Principles and the Assessment

The human rights principles as laid out in the SRA originate with the [Conservation Initiative on Human Rights](#) (CIHR), a consortium of international conservation NGOs that was established in 2009 that seek to improve the practice of conservation by promoting the integration of human rights in conservation policy and practice. CIHR members include many of the largest international conservation organizations, and much like the consortium that created the Monterey Framework and the SRA, they came together because of a common interest in promoting positive links between conservation and the rights of people to secure their livelihoods, enjoy healthy and productive environments and live with dignity.

These principles were drawn from international law and drafted through consultation with experts in the fields of human rights, indigenous peoples rights and conservation. As is the case for all conservation activities around the world, they exist within the context of customary, national, and international laws, natural law, and traditional practices. In more detail, those four human rights principles are:

**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.

**Promote human rights within conservation programs:** Support and promote the protection and realization of human rights within the scope of our conservation programs.

**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 fulfilment of their rights within the scope of our conservation programs.

**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.

Each of the three Principles and their two components of the SRA align very closely with the human rights principles above and lay out in more detail what these very broad and general human rights principles look like in practice. In fact, the questions that an assessor must ask for each of the indicators can be seen as a continuum from doing harm (high risk) to do no harm (medium risk) to doing good (low risk).

## SRA PRINCIPLES

### **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

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

### **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

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

### **PRINCIPLE 3: Improve food, nutrition, and livelihood security**

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

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

Looking at rights more generally, there are two main types of human rights recognized by the international community:

**Substantive Rights:** those rights which are inherent and relate to the substance of being a human, including but not limited to the right to life, clean water, privacy, freedom from hunger, and self-determination.

**Procedural Rights:** those rights which rely on a system or institution to take advantage of, including but not limited to the right to participate in decision-making, access justice or seek redress.

The SRA assesses both types of rights, and so it is important to understand the differences between them. This will make it easier to understand what types of questions to ask whom, and where to look for information in answering questions in the Assessment.

For example, when scoring Indicator 1.1.4: Freedom of association and collective bargaining, the assessor might ask the workers if they feel like they have the ability to freely and safely join a union or collective, while they would ask the employer for their policies on collective bargaining.

Both will give a better picture of the human right indicator in question, but one view has a foundation in a substantive right of self-determination, and the other a foundation in a procedural right to participate in decision-making. Working through these differences with the participants will be a useful way to approach the questions tied to each indicator.

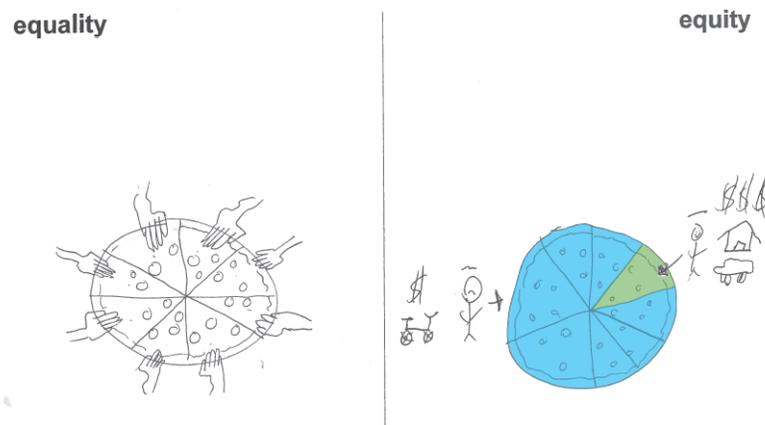
Key points to highlight for participants from this section on a rights-based approach include:

- The SRA was designed through the lens of a rights-based approach.
- The human rights principles as established by the CIHR are embedded into the operations of many of the largest conservation organizations, including Birdlife International, Conservation International, Fauna & Flora International, IUCN, The Nature Conservancy, Wildlife Conservation Society, and the World Wide Fund for Nature (WWF).
- Make the connection that the questions for each indicator are on a continuum from doing harm to doing no harm to proactively doing good.
- Understand the differences between substantive and procedural rights, and how those differences impact the types of questions that will be asked of different stakeholders for each of the indicators in the SRA.
- Clarify that rights-based approaches exist in the context of customary, national and international law and not in a vacuum.
- Review the SRA Principles first through the lens of improving and securing rights before discussing them as a tool for assessment.

## Activities

There are many exercises that you can conduct to convey the importance of a rights-based approach—depending on the country context and depth of participants’ understanding. This is only a short list of ideas and is not mandatory. The following is a brief list of activities that may be helpful to include in your training:

- To highlight possible inequities among various groups the assessors will be interviewing, conduct an equity walk exercise. An example of this exercise can be found in **Appendix I**.
- The SRA is clear about making a distinction between equity and equality. Ensure assessors understand the difference by asking people to draw pictures of the difference between equity and equality. A great example from a past CI-led workshop is this image:



- Use the indicators in the SRA to have a discussion about the differences between substantive and procedural rights and how that framework can help assessors to ask the right questions of the right people. You might have participants find 5 examples of each and then create questions they would ask employees vs employers to get to the necessary information for each indicator.

## Additional Resources

- See **Appendix I** for Equity Walk exercise as a supplemental activity.
- The CIHR website has a publications page with many relevant articles on different aspects of human rights and conservation: <http://www.thecihr.org/publications>.

# MODULE 3:

## CONFLICT SENSITIVITY

### Conflict and the SRA

In the past 60 years, at least 40 percent of all conflicts within countries have a link to natural resources. Conserving nature requires engagement with the local communities who depend on it — but conflicts can arise over competing stakeholders and priorities. If carried out with care, however, conservation efforts can actually encourage collaboration. Conservation cannot happen without peace, but the role of nature itself in helping to enable peace is often overlooked.

Conservation International defines conflict as when two or more parties (individuals or groups), have — or think they have — incompatible goals (Ajroud et al.2017). Conflict is a normal part of life resulting from our different beliefs, experiences and values. It does not necessarily lead to negative outcomes and can even be a constructive process for change. Conflict is an inherent feature of conservation because stakeholders have competing interests in and priorities for the management of natural resources. Conservation conflicts involve diverse stakeholders and occur at different levels — from within households to local, regional, societal and global scales.

The first step in addressing conflict is a conflict analysis, the systematic study of the causes, actors, drivers, and dynamics of conflict. It aims to provide a clear understanding of the reasons a conflict is occurring, why and how different actors are involved, the relationships between these actors, and potential ways to support peace. It is intended to be a participatory process that brings stakeholders together to develop a common understanding of the conflict. There are many methods of conducting a conflict analysis and the core theme is to uncover and understand the root causes of the disagreement or differing positions, interest and needs of the individuals or groups of people (stakeholders) relating to the conflict. The resources section contains several manuals and guides with additional information on conflict analysis.

As highlighted in the introduction, fisheries are often causes of conflict- between employers and employees, between fishing companies and traditional owners, and even between governments. Using the information in a conflict analysis allows assessors to adopt a conflict lens when analyzing FIPs. Conflict sensitivity is the ability of an organization, group or person to accurately assess and analyze the context in which they work---and their work's relationship to it— to minimize their negative impacts and maximize their positive impacts (Ajroud et al. 2017).

## Do No Harm

The very first step in the ethical implementation of any FIP (environmental or social) is to take the “do no harm approach”. This 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 to avoid negative impacts and unintended consequences and maximize positive impacts.

Do No Harm is the consideration and elimination of direct and indirect outcomes of a project or organization that undermine the improvement of human well-being and the positive outcomes of a project’s stated goals (Anderson 1999). Negative impacts are frequently unforeseen and unintended. For example, projects that specifically target women may contribute to a rise in tensions and even violence between men and women, or the decision to provide financial incentives for conservation in one community may lead to conflict with a neighboring community where no such incentives are offered.

Risks are perceived differently across cultures and also within the hierarchy on a fishing boat and within a group of people. Some people are empowered and others are weakened hearing about risks. Risk questions are stressful to answer and often create a charged atmosphere. This requires careful consideration of the potential impacts of our interventions on factors like relationship dynamics, social structures, culture, stakeholder needs and interests, and power structures. While it may be impossible to eliminate all harm, we can consciously look for and seek to avoid or mitigate the negative impacts of our work.

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.

## Conflict Assessment Tools

Conflict is an inherent part of conservation due to competing interests and priorities in natural resources. Being able to recognize and effectively manage conflict when it arises is essential to integrating conflict sensitivity into conservation approaches for long-term sustainability. The four main tools for conflict sensitivity are:

- **Conflict Landscape and Prioritization:** A participatory exercise with groups designed to identify relevant conflicts in the target area and assign a relative intensity or impact of the conflict and the chance of escalation, in order to determine potential interventions.
- **Conflict Analysis Tree (Root Cause Analysis):** Group activity to identify the underlying or root causes and consequences of a conflict and generate a discussion or debate on priority issues of conflict for potential action.
- **Assessment for Stakeholder Analysis:** A tool that examines the relationships among actors involved in a conflict, their interactions and communications and relative power dynamics.
- **Peace Architecture Analysis Matrix:** An exercise to identify what processes and institutions already exist and where the gaps are, that if filled, will help support peacebuilding activities.

More details about all of these tools can be found in **Appendix II**. Including these conflict analysis tools in conservation assessment processes helps build a more intentional, holistic approach to peace and conservation. When using information generated from these tools, projects are less likely to cause potential harm, interventions can be more targeted, and the processes can build capacity of local actors for long-term outcomes.

## Activities

### Activity 1 - Open Discussion

Following the videos, discuss with participants their understanding of “do no harm” concept and real-life examples from their own work.

- Basic concepts of conflict sensitivity: Videos

#### [Views from the Field on Conflict Sensitivity](#)

- EU in Uganda (2.23 minutes)

#### [Conflict Sensitivity by WFP](#)

- World Food Program and hunger and CS (4.32 minutes)

#### [Conflict Sensitivity in Three Minutes](#)

- From Diakonia Swedish NGO

### Activity 2 – Conflict Assessment Tools

CI’s Environmental Peacebuilding Training Manual include modules includes relevant guidance on integrating conflict sensitivity into program planning and conducting a conflict analysis that could be considered as part of FIP design processes. See **Appendix II** for this set of activities and instructions.

## References

Ajrout, B., Al-Zyoud, N., Cardona, L., Edmond, J., Pavitt, D. and Woomer, A. October 2017. Environmental Peacebuilding Training Manual. Arlington, VA: Conservation International. <https://sites.google.com/a/conservation.org/peace/home/training>

CDA Collaborative Learning Projects. 2021. Conflict Sensitivity and [Do No Harm Approach](#)

## Additional Resources

- [Trocaire. \(2011.\) Conflict Sensitive Toolkit.](#) Kildare, Ireland: Trocaire.

*This toolkit's conflict sensitive approach includes conflict analysis, adapting programs to be more conflict sensitive and monitoring and evaluation, including gender and trauma sections. Good illustrative case studies reinforce key learnings.*

- Hammill, A., Crawford, A., Craig, R., Malpas, R. and Matthew, R. (2009). [Conflict Sensitive Conservation Practitioners Manual.](#) Manitoba, Canada: IISD.

*This manual provides a good overview of conflict analysis including activities on core problem tree, conflict map and stakeholder profiles. The program design chapter helps guide practitioners incorporate conflict dynamics.*

- Watson, C., Wright, H., Groenewald, H and Harris, C. (2015). [Gender Analysis of Conflict Toolkit.](#) London, United Kingdom: Saferworld

*This step-by-step guide helps integrate gender into conflict analysis processes and provides foundation for developing gender-sensitive programming. There are topic guides on land and extractive industries.*

# MODULE 4:

## APPLYING FREE, PRIOR, AND INFORMED CONSENT

### FPIC and the SRA

Many of the world's remaining areas of high biodiversity and critical ecosystems are lands and waters owned, occupied, and managed by Indigenous Peoples. In many cases, their reliance on natural resources for their livelihoods may increase their vulnerability to the adverse impacts of project development, even in projects such as FIP that may seem beneficial from the outset. In some cases, Indigenous Peoples limited capacity to defend their rights against threats to their land, territories and waters and institutions, has adversely affected their social, economic and legal status and restricted their ability to participate and benefit from conservation and development projects.

Furthermore, truly rights-based engagement with indigenous peoples recognizes their leadership, contributions and accumulated knowledge in the achievement of natural resource conservation in accordance with their worldview. Indigenous peoples promote, own and manage activities and enterprises that underscore the significance of their unique knowledge and ability in sustainable development.

For all of these reasons and more, one of the foundational protocols of the SRA is the right to Free, Prior and Informed Consent (FPIC), which is a framework for ensuring that the rights of indigenous peoples are guaranteed in any decision that may affect their lands, water, territories or livelihoods. It ensures that they have the right to give or withhold their consent to these activities without fear of reprisal or coercion, in a timeframe suited to their own culture, and with the resources to make informed decisions. A truly transformative FPIC process ensures they are leaders in guiding the

### What does FPIC stand for?

**Free:** Without coercion, intimidation, manipulation, threat or bribery.

**Prior:** Indicates that consent has been sought sufficiently in advance, before any project activities have been authorized or commenced, and that the time requirements of the indigenous community's consultation/consensus processes have been respected.

**Informed:** Information is provided in a language and form that are easily understood by the community, covering the nature, scope, purpose, duration and locality of the project or activity as well as information about areas that will be affected; economic, social, cultural and environmental impacts, all involved actors, and the procedures that the project or activity may entail.

**Consent:** The right of indigenous peoples to give or withhold their consent to any decision that will impact their lands, territories, resources, and livelihoods.

direction of projects, that if they choose, their traditional knowledge guides management decisions and that they are true partners in any project they are involved in.

In the fisheries context, recognition of this right is vital, as many intertidal, coastal and open ocean resources are managed and owned by indigenous communities, and have been for thousands of years. Even in instances when governments have given fishing permits or the right to fish farms to outside corporations or entities, these traditional ties and knowledge about effective management practices remain intact. An important part of the SRA is determining if these communities' rights are being respected-in particular, the right to FPIC.

The box above gives a brief overview of what FPIC stands for, but in more detail, it is important to recognize that:

- FPIC is internationally recognized, both at the UN level and within some national laws.
- It is founded upon other rights, such as self-determination and freedom from discrimination.
- There is no one 'correct' FPIC process, it will be unique to each community and project context.
- FPIC is a communal and not individual right, addressing communally held territory rights, decision-making processes and ways of life.
- FPIC is not simply a decision-making process or a veto mechanism, but a tool to ensure that outside people and organizations engage indigenous communities in a culturally appropriate way, so that their development priorities, needs and desires can be met. <sup>1</sup>

For any assessor, it is important to recognize the difference between informed consent, mentioned in Module 1, and FPIC, which is the topic of this Module. Informed consent must be sought from and given by any individual who will be participating in on-the-ground research or interview during the SRA Assessment, while Free, Prior and Informed Consent is only applicable when considering collective rights of indigenous peoples and local communities. Collective rights are especially important to consider when assessing Indicators:

- 1.2.1: Customary resource use rights,
- 2.1.1: Grievance reporting and access to remedy,
- 2.1.2: Stakeholder participation and collaborative management,
- 3.1.1: Food and nutrition security,
- 3.1.2: Healthcare,
- 3.2.1: Benefits to and within community,
- 3.2.2: Economic value retention,
- 3.2.4: Economic flexibility and autonomy, and
- 3.2.5: Livelihood security.

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<sup>1</sup> Theresa Buppert and Adrienne McKeenan. *Guidelines for Applying Free, Prior and Informed Consent: A Manual for Conservation International*. Arlington, VA: Conservation International, 2013.

## FPIC Considerations during the Assessment

It is important to recognize that even though an individual who belongs to an indigenous or local community has a right to collective decision-making and other FPIC processes, their individual human rights are not negated. For example, this is often a challenge when working on women's equality in cases where traditional norms dictate that communal decision-making is governed by men. Despite these cultural norms, women still have the right as individuals to self-determination, and in all cases assessors need to specifically seek out the voices of marginalized or under-represented people or groups of people in the community.

As noted in the SRA Guidance document, when assessing if customary rights exist in a given fishery, desk-based work can be used as a first step to research whether or not customary or informal use rights may exist in the area, and any documented free, prior, and informed consent processes undertaken. However, lack of evidence does not mean that customary or informal rights do not exist. This is where field visits and primary data collection become critically important, in addition to working with frontline local labor unions, fisher organizations, or human rights representatives. There may simply be a lack of documentation, but it is equally possible that the government doesn't recognize indigenous peoples, that communal rights and traditional use are not recognized or guaranteed under law, or that stigma or discrimination have resulted in active suppression in literature and other documentation of these traditional rights.

When conducting a training with the assessors, key points to highlight from this section on Free, Prior and Informed Consent include:

- Indigenous peoples are leaders in conservation, with valuable contributions and accumulated knowledge in the realm of natural resource management in accordance with their worldview.
- The right to FPIC is predicated upon other rights, and is recognized in international and some national law.
- Understanding the difference between informed consent, which all individuals must give if they are going to participate in a research or assessment activity; and Free, Prior and Informed Consent, which is a collective right of indigenous peoples to give or withhold consent to a project that will affect them.
- Make it clear that FPIC is not either/only a decision-making process or a veto mechanism for the community, but a tool to ensure that outside people and organizations engage indigenous communities in a culturally appropriate way, so that their development priorities, needs and desires can be met.
- Consultation must happen in order for consent to be reached, but a decision on giving or withholding consent is the goal, not consultation alone.
- Making it clear that FPIC is a collective, and not individual right- and so will especially apply when assessors are investigating indicators that deal with collective issues, such as but not limited to: customary resource use rights, grievance mechanisms where fishery operations take place in or around communal waters or lands, and livelihood security.
- Collective rights do not supersede individual human rights, and when collective decisions may infringe upon individual rights, special attention must be given to the individuals.

- There is no one way to do an FPIC process, as it will depend upon mutually-agreed upon negotiations between communities and the outside actors. However, general guidance on FPIC processes can be found in the “Resource” section.

## Activities

There are many exercises that you can conduct to further explore what FPIC is and why it is so important in the fisheries context—depending on the country context and depth of participants’ understanding. This is only a short list of ideas, and are not mandatory. The following activities may be helpful to include in your training:

- A very useful video to share with participants during the training can be found here: <http://vimeo.com/66708050>. After watching the video, have a discussion with the participants about their understanding of FPIC and what was presented in the video. It’s especially important to ask if they have found communities in the past who know this much about their rights, as it’s not common everywhere in the world. This can lead to a discussion on the role an assessor or their NGO may play in informing communities of their rights.
- The following Training Manual produced by the Asia Indigenous Peoples Pact has several useful activities to use, especially if working with communities to clarify how they understand their rights and how collective decisions are made in their communities: [https://aippnet.org/wp-content/uploads/2020/02/10.-FPIC\\_Manual-Small.pdf](https://aippnet.org/wp-content/uploads/2020/02/10.-FPIC_Manual-Small.pdf)

## References

Buppert, T and McKeehan, A. (2013). Guidelines for Applying Free, Prior and Informed Consent: A Manual for Conservation International. Arlington, VA: Conservation International.

## Additional Resources

- CI’s Guidelines for Applying Free, Prior and Informed Consent: <https://www.conservation.org/projects/free-prior-and-informed-consent-in-context>  
As drawn from CI’s Guidelines, additional resources include:
  - a. Asia Indigenous Peoples Pact and International Work Group for Indigenous Affairs: *Training manual on Free, Prior and Informed Consent (FPIC) in REDD+ for indigenous peoples*: [http://www.iwgia.org/publications/search-pubs?publication\\_id=593](http://www.iwgia.org/publications/search-pubs?publication_id=593)
  - b. Cultural Survival and Rainforest Foundation: *Turning Rights into Reality: Issues to Consider in Implementing the Right to Free, Prior and Informed Consent*, <http://www.culturalsurvival.org/consent>
  - c. Forest Stewardship Council: *Guidelines for the implementation of the right to free, prior and informed consent (FPIC)*, <https://ic.fsc.org/download.fsc-fpic-guidelines-version-1.a-1243.pdf>

- Oxfam: *Guide to Free Prior and Informed Consent.*, <https://www.oxfam.org.au/news-and-media/resources/?ref=528&k=>

*This guide is designed specifically for indigenous communities to understand their rights, as opposed to the other resources on this list which are focused mainly at external actors wishing to engage indigenous communities.*

- CI's Stakeholder Engagement Roadmap and Resource Library: <https://conservation.sharepoint.com/teams/Extranet/stakeholder-engagement> to request permission, please contact Patricia Dunne at [pdunne@conservation.org](mailto:pdunne@conservation.org)

# MODULE 5:

## INTEGRATING A GENDER LENS

### Gender and the SRA

In recent years, [media revelations](#) and [scientific research](#) have brought increased attention to human rights violations in both developing and developed economies, pointing to the [global scale of human rights violations](#) in seafood supply chains. Globally, the seafood sector is [women-intensive but male-dominated](#). Women play a vital, yet often overlooked, role in seafood production and seafood processing, including non-vessel-based activities like gleaning, adding value to harvested products and marketing. According to some estimates, women make up [47 per cent of the global fishing workforce](#) and between [80-90 per cent of the post-harvest sector roles](#).

Because of this, consideration of distinct gendered experiences within the fisheries sector is imperative. Principles 1, 2 and 3 of the Monterey Framework recognize the respectful engagement of all groups, irrespective of gender, ethnicity, culture, political, or socioeconomic status. Specifically, it calls on government and industry alike to protect human rights, dignity, and access to resources; to ensure equality and equitable opportunity to benefit; and to improve the food and livelihood security for crew, communities, and workers. Indicator 2.2.1 of the SRA is specifically focused on assessing equitable opportunity to benefit.

The SRA data collection guide encourages the assessor to pursue desk-based research to determine whether gender transformative policies and research programs are in place and who has access to positions of leadership within the respective farm/fishery. For example, issues of equal pay and benefits, equal remuneration, and gender-based harassment may be considered as part of assessment protocols.

This module aims to inform assessors on using a gender sensitive lens within the assessment process and offer foundational guidance on gender integration for FIP project.

### Gendered Experiences in the Fisheries Sector

Gender inequalities are pervasive across fisheries: for example, unequal pay and benefits, unequal remuneration, and gender-based harassment are just a few issues an assessor may come across. According to the FAO, although women account for less than 10% of employment in the industrial sector, they comprise the majority of the workforce in processing and packing plants. Despite the prominent role of women in the industry, much of the media, research, and seafood sector's

response to human rights violations in fisheries is focused on safeguarding men against [modern slavery at sea](#).

Globally, it is reported that more [men than women \(69 per cent versus 40 per cent\)](#) are victims of labor exploitation in the private economy. Mirroring this trend, the vast majority of reported victims of [deceptive and coercive labor practices](#) in sea-based fisheries is male. While there is a lack of evidence illustrating that women are subject to forced labor or human trafficking on board fishing vessels, women and girls are trafficked for the purpose of sexual exploitation in the fisheries sector on land. Across the Pacific Ocean, the [U.S. Department of State](#) has documented sex trafficking of women and children in service of crew members of foreign tuna fishing fleets and transshipment vessels that [dock in port](#). It is further reported that an [influx of foreign investment](#) in Pacific Island Countries has led to increased risk of forced labor and forced sexual exploitation of migrant workers in the fishing sectors. These issues underscore the necessity for gender-sensitivity across social auditing processes, particularly accounting for the nuances of gender-based violence in the industry, which impact men and women very differently.

It is important to highlight the small-scale fisheries perspective as well, as a commercial fishery may be considered a male-dominated industry with activity primarily taking place offshore. In fact, women play an important role as fishers and fishworkers. According to the International Organization for Women in the Seafood Industry (WSI), the vast majority of women working in seafood production are engaged in on-shore fishing and gleaning, small-scale aquaculture, seafood processing, and environmental activism. Women also partake in small-scale fishing, onshore fisheries support, selling and marketing, administration, quality control, and research.

However, very rarely do women occupy leadership or managerial positions in seafood value chains, lending to what some refer to as their ignored, invisible, and unrecognized (IIU) status (WSI 2020). In the fishing industry in many countries, women contribute significantly to consistent household protein availability, making them invaluable for food and nutritional security, and play a critical role in adding economic value to fish catches through their engagement in processing and marketing activities (Harper et al. 2013); in fact, between 80-90% of the post-harvest sector are women (WSI 2020).” (Fitzgerald, J. and Finkbeiner, E. March 19, 2021).

## Incorporating Gender into Assessments

Desk-based work can be used to research whether there are strategies, policies, or practices in place to address inequity in the fishery or farm. For example, this research can help determine if there are special provisions for vulnerable or at-risk populations to ensure they can receive benefits as well (i.e., micro-loans for women or on-board services in multiple languages for crews with mixed nationalities). Suggested resources include, cooperative or fisher association bylaws, codes of conduct and other formal agreements.

The following points should be kept mind while developing the implementation plan and conducting the social assessment. Below is a high-level summary of a few leading questions:

When conducting a gender situation analysis:

- What is the existing state of gender dynamics in the target area?
- What are the different ways that men and women access, use and control resources, goods and services?

- What are the main gender-based constraints or barriers to gaining equal access to resources and benefits from proposed project activities?
- What gender-specific variables will need to be addressed when conducting the social assessment?

When co-designing the assessment work and determining whether to conduct interviews or focus groups, it is important to understand:

- What forms or methods of communication best reach women? And men? Are technology methods, meeting time and meeting locations appropriate for women? For men?
- Moreover, how might conducting the social assessment impact social gender structures? For example, impact on time constraints of a particular gender or impact on traditional rights.

Finally, depending on the issues within the FIP, adequately integrating gender into your assessment may require a gender specialist. A gender specialist can highlight project areas that may not be equitable to men or women and can suggest culturally appropriate methods to reduce inequalities.

## Gender Integration in Program Planning

Designing a fishery improvement project requires consideration of gender across the entire program planning cycle. Routine collection of sex-disaggregated data is an important component in gender-transformative program planning and, if not already in place, should be recommended as part of any FIP plan. See **Appendix III: Integrating Social Equity into Conservation Program Planning** for guidance on what gender integration across these stages looks like.

Discuss with participants:

- *How is gender discrimination manifest in small-scale fisheries? In Industrial?*
- *How would this affect your planning?*
- *What role do women play across the entire fish production process?*
- *How can we ensure women's needs and perspectives are thoroughly integrated across this process?*

This discussion can be supplemented with or conducted following the gender-sensitive value chains analysis activity in **Appendix III**.

## Activities

There are a several exercises that you can conduct to convey the importance of gender integration within program planning. Selecting one will be dependent on the country context and depth of participants' understanding. Here we provide a link to [Conservation International's Activity Handbook](#), which provides general guidance on interactive methods for collecting gender-related information for conservation projects and selected activities. Users should feel free to pick and choose those that are most relevant to the FIP you are working with and adapt activities to your context (See Westerman, n.d.).

Another valuable approach is to look at the value chain of a particular fishery with a gender lens. A value chain is the series of inputs required in developing a particular product from start to finish at market. A gender-sensitive value chain analysis aids in identifying who participates in each part of this chain and how these roles shape the product. In doing this activity, it is possible to gain key insights that may be used in gender-responsive program design for FIPs. Conducting a gender-sensitive value chain analysis is a useful activity for helping participants understand women's and men's roles across fishery production, and instructions for guiding the activity are located in **Appendix IV**, along with relevant gender definitions that may aid participants in **Appendix V**.

## References

Fitzgerald, J. and Finkbeiner, E. March 19, 2021. *Land and Sea: Gendered Nature of Labour and Sexual Exploitation in Fisheries*. Delta 8.7. <https://delta87.org/2021/03/land-sea-gendered-nature-labour-sexual-exploitation-fisheries/>.

Westerman, Kame (n.d.). *Guidelines for Integrating Social Equity into Conservation Programming*. Arlington, VA: Conservation International. [https://www.conservation.org/docs/default-source/publication-pdfs/integrating-gender-and-social-equity-into-conservation-programming-2019.pdf?sfvrsn=6b8e5c33\\_2](https://www.conservation.org/docs/default-source/publication-pdfs/integrating-gender-and-social-equity-into-conservation-programming-2019.pdf?sfvrsn=6b8e5c33_2)

## Additional Resources

- Barclay K., Leduc B., Sanders J., Raubani J. and Streeter M. (2019). Module 5: The policy cycle. In: Barclay K., Leduc B., Mangubhai S. and Donato-Hunt C. (eds.). *Pacific handbook for gender equity and social inclusion in coastal fisheries and aquaculture*. Pacific Community (SPC), Noumea, New Caledonia. [https://womeninfisheriesfiji.org/wp-content/uploads/2019/05/Barclay\\_19\\_Gender\\_Handbook\\_Module5.pdf](https://womeninfisheriesfiji.org/wp-content/uploads/2019/05/Barclay_19_Gender_Handbook_Module5.pdf)

*This module of the Pacific Handbook for Gender Equity and Social Inclusion focuses on gender integration in the policy cycle.*

- Blue Action Fund (2020). Gender Guide. Gender-responsive guidance for coastal conservation and sustainable fisheries projects. Available at: [https://www.blueactionfund.org/wp-content/uploads/2020/10/200826\\_BlueAction\\_Gender\\_Guide.pdf](https://www.blueactionfund.org/wp-content/uploads/2020/10/200826_BlueAction_Gender_Guide.pdf)

*This guide provides a practical how-to for designing, implementing, monitoring and evaluating gender-responsive projects in marine and coastal resource management.*

- BSR (n.d.). Gender Equality in Social Auditing Guidance. [https://www.bsr.org/reports/BSR\\_Gender\\_Equality\\_in\\_Social\\_Auditing\\_Guidance.pdf](https://www.bsr.org/reports/BSR_Gender_Equality_in_Social_Auditing_Guidance.pdf)

*This report highlights the systemic barriers that prevent current social audits from being more gender-sensitive and provides recommendations for overcoming such barriers. It also*

*explores how best to integrate gender considerations within existing auditing verification measures and across the different principles addressed in supplier codes of conduct.*

- FAO (2017). Towards gender-equitable small-scale fisheries governance and development – A handbook. In support of the implementation of the Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication, by Nilanjana Biswas. Rome, Italy. <http://www.fao.org/3/i7419e/i7419e.pdf>

*This resource from the FAO offers guidance on integrating on understanding the role of women in small-scale fisheries and ensuring an enabling environment for gender equality and supporting implementation in small-scale fisheries.*

- IUCN & USAID (2019). Advancing Gender in the Environment: Gender in Fisheries - A Sea of Opportunities. Washington, USA: USAID. <https://genderandenvironment.org/advancing-gender-in-the-environment-gender-in-fisheries-a-sea-of-opportunities/>

*This guide provides an overview of the unique roles and contributions women make in the wild-caught fisheries sector. The guide also explains how persistent gender inequalities limit women's economic empowerment, and increased risks of gender-based violence negatively impact the potential of women to thrive and contribute towards strong economies.*

- J. Siles, M. Prebble, J. Wen, C. Hart, and H. Schuttenberg (2019). *Advancing Gender in the IUCN (2013). Framework for Conducting Gender Responsive Analysis.* IUCN: Washington, D.C. <https://genderandenvironment.org/framework-for-conducting-gender-responsive-analysis/>

*This IUCN resource offers guidance on conducting a gender analysis.*

# MODULE 6:

## APPLYING A FISHER/ WORKER-DRIVEN APPROACH

### A Fisher/ Worker-Driven Approach and the SRA

The SRA recommends that the evaluation team should strive to use a worker-driven approach to assess labor conditions. This means that workers/fishers/farmers and their representative organizations should be involved in the evaluation themselves and subsequently thereafter in the design of the FIP workplan (ILRF 2018). When designing and implementing FIPs, it is important to ensure these are socially responsible and actually benefit fishers, local communities, and the environment. A fisher-driven approach emphasizes **inclusivity, empowerment, and leadership of fishers during entire process.**

A worker-driven approach is important because:

- Workers are the only actors in the supply chain with a vital and abiding interest in ensuring that their rights are protected.
- Only workers are fully aware of the many manifestations of abuse that occur in their workplace. They are the first to know about the vast majority of human rights violations.
- Where workers are unable to participate freely because of repressive laws or practices, companies sourcing from those places should nonetheless embrace all other aspects of WDR, including, most importantly, an effective enforcement mechanism (Sellers and Haas 2018).

In order to achieve genuine worker representation, it is important that a FIP under evaluation for social responsibility includes a fisher/farmer/worker representative as part of the stakeholder group that informs the work plan and future FIP objectives and activities. For example: Consider engaging global union federations such as the ITF and IUF, local labor union affiliates, and grassroots worker organizations representing fishers. This module will focus on how to engage partners and integrate a worker/fisher-driven lens across the assessment and FIP processes.

### Strategies to Achieving Genuine Worker Representation

The most important component to achieving a worker-driven approach is conducting in-person surveys and first-person interviews. Relying on secondary data and national level statistics will never achieve the same results as talking directly with workers and fishers in the FIP. In addition to this vital component, the FIP under evaluation for social responsibility should:

- **Use a stakeholder map or assessment** to determine the appropriate people to interview and survey.
- Include A **fisher/farmer/worker representative** (depending on position in supply chain, or UoA)
- Ensure that the representative is a part of the stakeholder group that informs the **workplan and future FIP objectives and activities**. For example:
  - local labor union affiliates
  - grassroots worker organizations representing fishers
- Seek to **understand the power dynamics** on board and within companies, to better ensure representation is free, fair and truly representative of workers and their interests.
- Ensure that **accommodations are in place** for workers/fishers to truly engage in the process, for example:
  - Using assessors who speak their language
  - Meeting them for interviews in a safe location, which may or may not be aboard the vessel
  - Incorporating their feedback into future surveys or interviews

## A Worker/ Fisher-Driven Approach to Conducting Interviews

A worker-driven approach to interviewing aims to use the assessment questions in a way that maximizes the respondent's control. When conducting interviews, take time at the beginning of the session for the crew member to tell their story and describe their position before any questions are asked and especially before inferring anything about the social risk to this person in this work and setting.

When following the arc of a worker's employment process from recruitment to how a worker is paid, the information flows more easily and feels more like a discussion versus a laundry list of questions. Assessors should, therefore, begin each interview with open questions so the first thing the assessor hears is the respondent's perspective on **their** current work and how it is limiting **and** advancing their lives and aspirations. Work is very personal and each person owns their livelihood so it is wonderful to hear what the work means to them before dissecting the work conditions, which shifts the conversation into an area over which the respondent may have no control.

### Opening Questions:

- Where are you originally from?
- How long have you been fishing?
- How long have you worked on the vessel?
- What does a normal day of work look like for you onboard the vessel?
- What is your most exciting experience so far as a fisher/ worker?
- What is your favorite thing about your work?
- What would you most like to see changed about your work?

## Interviewing Principles:

*Confidentiality and Informed Consent:* Assessors should ensure informed consent and voluntary participation from workers/fishers the assessment. Their confidentiality and anonymity should be prioritized, along with their safety. Interviewees should also be advised that they may opt to withhold consent any time during the interview. Please see Module 1 for more information on conducting social science research. In the case of a community-based FIP or where the fishery overlaps with the traditional territory of indigenous peoples and local communities, you will also need to consider Free, Prior and Informed Consent principles, which is covered in Module 4.

*Do No Harm:* As with the planning of any project intervention as part of a FIP, when interviewing it is critical to approach it through to a do no harm approach, described earlier in this training. This is important to consider not only in terms of worker safety and the confidentiality of interviews, but with emotional distress that may be associated with the interview. For example, many fishers have lost a friend at sea. If this comes up in an interview, it can be very emotional for them and requires managing the situation delicately to avoid causing further emotional harm. If the interview setting is not 1-on-1, you may ask the interviewee if they would like to continue in private.

*Clear Expectations:* It is possible workers may think an assessor is there to save them from a particular circumstance or that their presence implies that once the assessor leaves, they will get a higher pay. Help them understand what you are there for and in what ways you can and cannot help.

To the extent possible, try to anticipate and address possible worker concerns at the onset of the interview process. Such concerns may include:

- Confidentiality and anonymity of the interview
- Language
- Threat of reprisal or losing their job (many have paid money to find this opportunity and cannot risk losing the job)
- Doubt about usefulness of the process (some may have participated in interview processes before and seen no changes result from them)
- Family and work concerns (Verité, Inc.)

## Activities

### Discussion Questions

While presenting this module to participants, consider including discussion questions directed at encouraging participants to understand key fisher organizations and labor groups operating in their context. The pre-designed slides for this module include one with some guiding questions that may be expanded upon or tailored to your specific context.

### Stakeholder Mapping

To ensure a fishery improvement project is truly participatory and worker-driven, it is important to ensure a proper understanding of all stakeholders who may have a stake in, be important to, or be impacted by a project. Developing a stakeholder map is useful exercise that may aid in identifying all key players and making a determination of whom to engage and influence as part of the project. At the center of this analysis should be the relevant fisher actors and groups. For guidance on how

to develop a stakeholder map, see page 33-37 of [Conservation International's Environmental Peacebuilding Training Manual](#).

## Role Play

An additional activity to consider as part of this module is a role play that allows participants to practice their interviewing skills with participants.

Instructions. Split participants into groups of three. In their small groups, participants will rotate playing **each of the following three roles** as the activity goes on. Allow at least 10 minutes for each person to practice the role of interviewer, followed by at least 5 minutes of feedback after each role play offered by the observer. Please feel free to adapt, add or adjust the given roles to your particular training. These are examples only, and should be changed to suit the context.

### *Role 1: Interviewer*

The interviewer will sit opposite the fisher and practice interviewing skills based on training guidance.

### *Role 2: Observer*

This person will observe and take notes as the interviewer guides the discussion. After the brief role play has ended, this person will offer feedback to the interview on skills they used well and areas for improvement.

### *Role 3: Fisher*

This person will play one of the three pre-determined roles from the scripts below. At the onset of the activity, each participant in the group will receive one of the scripts below and be informed not to share their script with the other characters until it is their turn to play the role of the fisher. The script below offers some background on their character. They should be encouraged to elaborate and develop details for their character as the interview asks them questions.

### Fisher Script 1

I am a 35-year-old, Ecuadorian male. I am a boatswain on the vessel. I am a senior crewman of the deck, responsible for the ship's hull and all its components, including its rigging, anchors, cables, sails, deck maintenance and small boat operations. I feel I am adequately compensated for my job. I engage in seasonal work across the East and West Pacific and have a 72-day rest period per year. I have been working with this company for 3 years. I receive annual training, and education on safety issues on board. I feel our vessel has adequate access to first aid and I am confident in responding to minor accidents or incidences on-board.

## Fisher Script 2

I am an 18-year-old Ecuadorian Male from Guayaquil. This is my first season working on the purse seine vessel as a fisherman. I find the living conditions on the vessel difficult. I have a very small and uncomfortable bed. Sometimes we use a bucket as a toilet because the toilet doesn't flush properly. The shower is just a cutoff hose. The whole ship is in terrible condition, except for the fishing gear, which looks brand-new. We only receive one meal a day and frequently eat bycatch. When we come into port, we have access to affordable accommodation whilst ashore in non-domestic ports. I do not receive my wages in a timely fashion. My captain often does not allow me to take breaks and rest periods. I am unsure of my insurance provisions - I do not receive health insurance or any kind of social protection from the company. I wish I could report this unfair treatment but I am unsure as to how to.

## Fisher Script 3

I am an Ecuadorian crew member and have been working as Galley boy for 2 x 90 days contracts. My 90-day contract was available to me in my language. I returned to this vessel after a 2-month break. My parents are Colombian and Venezuelan but I was born in Ecuador. I feel discriminated against due to my ethnicity. I do not feel respected on board the vessel - we work very long hours and the other crew are rude to me. I communicated this issue to the company using a grievance reporting hotline for workers to call and report unfair treatment. I am yet to receive any resolution. I feel that the hotline is not used or trusted by the workers because of fear of retaliation.

## References

ILRF (2018). Taking Stock: Labor exploitation, illegal fishing, and brand responsibility in the seafood Industry. <https://laborrights.org/publications/taking-stock-labor-exploitation-illegal-fishing-and-brand-responsibility-seafood>

Sellers S. & Haas T. (2018). The worker-driven social responsibility model. <https://www.chtcs.com/the-worker-driven-social-responsibility-model/>

Verité, Inc. <https://www.verite.org/>

## Additional Resources

- Ajroud, B., Al-Zyoud, N., Cardona, L., Edmond, J., Pavitt, D. and Woomer, A. October 2017. Environmental Peacebuilding Training Manual. Arlington, VA: Conservation International. <https://sites.google.com/a/conservation.org/peace/home/training>

*CI's Environmental Peacebuilding Training Manual include modules on Stakeholder Engagement (Module 2) and Conflict Analysis (Module 3) that offer relevant guidance on activities and best practices to consider in designing FIPs.*

- BSR (n.d.). Gender Equality in Social Auditing Guidance. [https://www.bsr.org/reports/BSR\\_Gender\\_Equality\\_in\\_Social\\_Auditing\\_Guidance.pdf](https://www.bsr.org/reports/BSR_Gender_Equality_in_Social_Auditing_Guidance.pdf)

*This report highlights the systemic barriers that prevent current social audits from being more gender-sensitive and provides recommendations for overcoming such barriers. It also explores how best to integrate gender considerations within existing auditing verification measures and across the different principles addressed in supplier codes of conduct.*

- Pfeiffer, J., and Dunne, P. June (2020). A Road Map to Excellent Stakeholder Engagement. Arlington, VA: Conservation International. [Available here.](#)

*This resource by Conservation International affords a comprehensive review look at excellent stakeholder engagement through key principles, frameworks, strategies, and theories all rooted in a rights-based approach, responsible and sustainable care, long-term benefits, inclusivity, environmental and social justice, conflict resolution and environmental peacebuilding. [This site](#) offers additional resources used in its development.*

# APPENDICES

## Appendix I: Equity Walk Exercise

### DIRECTIONS FOR FACILITATOR:

1. After discussing the importance of equity and equality, as well as the various and unequal challenges faced by different members of a community, explain that this is a role-playing exercise to explore those themes in more detail.
2. Pass out a character to each of the participants and explain that they will pretend to be that person for the exercise. (Sample characters are below, or create appropriate ones for your particular landscape/country/project)
3. Have everyone stand in the back of a room/ along the edge of a field or open space, lined up horizontally.
4. Read the scenario below, and the directions and questions that follow. (Questions can be modified to fit your particular needs/project)
5. Once the questions have been answered, use the discussion questions to facilitate a conversation

**THE SETTING:** You live in a small community at the edge of a large forest. Some community members make their living from timber. The quickest way to reach the community is via a dirt road, which often washes out.

**STATEMENTS** (that you'll read out): take one step forward if the answer is yes; stay in place if the answer is no.

1. CI and the Ministry of Forests are offering a conservation agreement to your community. If the community agrees not to harvest timber for 5 years, CI and the Ministry say they will pave the dirt road. They host a consultation meeting to discuss this agreement.
  - a. Are you invited to the meeting?
  - b. If yes, are you able to attend?
  - c. If yes, will you speak at the meeting?
2. As part of the consultation process, CI is also conducting a survey with community members, representatives from the Ministry and CI field staff, to understand how community members currently use resources from the forest.
  - a. Are you interviewed?
  - b. If yes, do you speak honestly to the surveyor about how you use or see others using forest resources?
3. The community decides to accept the agreement and restrict timber harvesting in exchange for a paved road. Are you happy about this decision?

4. To supplement the loss of timber income, CI agrees to hold a three-day training on opportunities for selling non-timber forest products. The meeting will be in the capital city (a 3 hr drive away) – are you able to attend?
5. In the local newspaper, CI has advertised that they are opening a grant program that will support businesses selling non-timber forest products. Are you able to read this advertisement?

\*\*Ask participants and observers: does anyone have a statement or question they would like to ask?

### **DEBRIEF QUESTIONS:**

- Let's look around at where each person has ended: are there any surprises?
- Why do you think X is at the front? Why is X at the back?
- Are there any patterns you see that dictate whether someone is in the front or back (gender, literacy, etc)?
- All the they're all spread out, right? Is this surprising? Demonstrates that one's power, access, control and privilege is complex.\*
- What does this begin to tell us about equity?
- Are there actions that we (as CI project managers) could take to help those towards the back move forward?\*

\*\*answers here would be things like: make meetings more accessible (provide child care, transportation, or make sure they're in the village), employ both male and female facilitators/surveyors, separate meetings for men and women (if appropriate), explaining to both men and women why it's important that women are involved in NR decision making....

If they don't come up with these at this point, it's fine, you can come back to it in the rest of the session.

### **SAMPLE CHARACTERS:**

#### **I am a male community leader**

- I completed secondary school and can read easily; I speak my mind.
- I am make decisions on behalf of the community (the unelected leader).
- I make a successful living operating a store in the community, but business would be better if the road into the community didn't wash out all the time.
- I own a car and have many family and friends living in the capital city.

#### **I am a local man**

- I am the head of my household and friends with the community leader.
- I earn my income cutting timber from the forest.
- I have permission from the community to harvest timber only from one part of the forest, but sometimes I make money on the side by illegally harvesting timber from other parts

of the forest. I know I could get in trouble for this, but it makes things easier for my family.

**I am a local woman**

- My husband works cutting timber.
- I try to attend community meetings, but often can't because I have no one to watch my kids.
- I completed a couple years of school and can read at a grade-school level.

**I am a female member of an indigenous group**

- I am not able to read and do not speak the main national language well.
- I don't feel comfortable participating in large mixed groups.
- I earn my income by making lunches for the men who cut timber.
- I am not often visited or invited to community meetings, as my home is located outside the main community.

**I am a small boy**

- I am in primary school.
- I often attend community meetings with my father, but I've been told to stay quiet.
- My walk to school is too long. Maybe if the road wasn't so rough, I could take a bus or get a ride to school.

**I am an employee of the Ministry of Forests**

- I am a scientist for the Ministry and have seen the negative impacts of timber over-harvesting in other communities.
- If the community accepts the agreement, I might get a promotion at work.

**I am CI field office staff**

- I am from this community originally, but I moved away to attend university. I am still on good terms with the community members.
- Some of the villagers have told me confidentially that they are harvesting timber illegally.
- I consider myself successful at work when communities accept alternative agreements to timber harvesting.

## Appendix II: Conflict Assessment Tools

### CONFLICT LANDSCAPE + PRIORITIZATION:

**Preparation of the facilitator:** Flipchart, markers. Pre-work: Type the table and headers below on the flipchart paper in advance. [For virtual, have electronic template.]

**Why it's important:** This exercise helps participants reflect on the various conflicts they see throughout the landscape in which they work, while producing a thorough list for future analysis and reference. Because it is not possible to analyze all conflicts, this activity allows everyone to contribute ideas about the conflicts they face, while allowing the group to collectively prioritize those on which they would like to dedicate themselves to analyzing.

#### Activity Instructions:

- Step 1:** Divide into small groups, about 3 depending on the total number of participants, if necessary, create 1-2 more groups to avoid having more than 5 people in each group. Ask participants to brainstorm the various conflicts they know affect their landscape and start generating a list (Column 1).
- Step 2:** Once participants are happy with the list they have generated, ask them to begin discussing the possible intensity and impact of these conflicts (Column 2). These will be classified low, medium, or high.
- Step 3:** Participants proceed to discuss the likelihood of escalation of each conflict (Column 3)
- Step 4:** At the end of this activity, gather the groups to discuss. Conflicts with the highest level of intensity/impact and likelihood of escalation represent priority conflicts for analysis with the conflict tree (the next exercise). Depending on the number of groups, suggest they have about three priority conflicts for analysis (if there are more, have the group discuss and prioritize).

| Relevant conflicts in the project region | Intensity/impact of conflict<br>(low/medium/high) | Chance of escalation<br>(low/medium, high) |
|--|---|--|
|--|---|--|

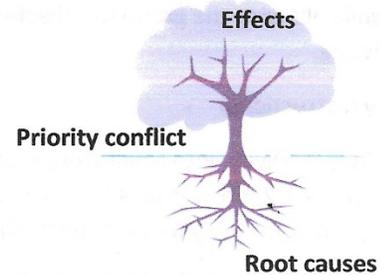
## CONFLICT ANALYSIS TREE:

**Preparation of the facilitator:** adhesive notes, stickers (worms and birds), markers. Pre-work: Have the trees drawn on flipchart paper early. [For virtual: prepare electronic template.]

**Why it's important:** This exercise helps us identify the root causes and consequences of a conflict and generates debate on priority issues of conflict that will be addressed through the work of an organization. By examining what key issues are driving the conflict, we can coordinate a number of efforts to address these factors.

### Activity Instructions:

- Step 1:** The group generates priority conflicts to analyze (see previous activity)
- Step 2:** Leaves Go Trees. In every tree, put the name conflict in the trunk of the tree. Be as specific as possible when tagging the conflict. For example, *conflict over the use of forest resources* is better and more specific than *Conflict about land use*.
- Step 3:** Ask the groups to brainstorm all the negative effects and possible root causes related to this conflict. Write each idea in a sticky note.
  - To stimulate discussion about negative effects, you can ask the group, "*What happens as a result of this conflict?*"
  - For possible root causes, you may ask, "*Why is this conflict happening?*"
  - Ask them to continue writing until they feel they have developed an exhaustive list of causes and effects.
  - Once they have finished writing, ask participants to place these sticky notes on the part of the tree to which they feel it corresponds, either on the leaves as an **effect** or on the roots as a **cause**.
  - Explain that they may have an analysis of where the sticky notes belong; however, there is no correct or incorrect answer. Sometimes some things even correspond to causes and effects.
- Step 4:** Once they separate the causes and effects, participants should start linking the sticky notes in each section as a string. (Facilitator may ask, "*How are the causes and effects you have identified linked (within their corresponding section?)*") These bonds should begin with the most rooted cause/effect at the bottom of the roots or leaves.
- Step 5:** After all this, ask participants to visualize their organization as living organisms within the tree by identifying themselves as birds and worms (birds – effects; worms – roots).
  - **Worms:** Looking at the roots (causes), ask them to place worms on top of the sticky notes that represent the root causes they are working on. Looking at the leaves (effects), they should place bird stickers on those "leaves" (i.e. sticky notes) that correspond to what they are already working on.
  - If time allows, repeat this analysis of "birds and worms" taking into account the work that partners carry out in this context. What effects and root causes touch the work of their partners? This can be useful for illustrating areas where others (landscape partners) are addressing problems within the tree that you may not be working on.



**Facilitator Discussion:** (Attach all trees side by side on a wall for reflection)

- Understand the system and relationships:*

- Do the effects on one tree reinforce the causes in the same tree or become causes in another tree?
- Do we see similar causes in several trees? Are there patterns that arise? What positive factors should be added to complete the image?
- **Explain:** *In the end, explain that these trees are a system, as is peacebuilding. Trees are connected to each other because the roots are interconnected — it is a system under the ground, not visible. If a cassava plant cuts off the top of the tree, the roots are still there and can always grow back. Conflict is similar in this regard. Also, if you address only part of the root (or try to eliminate the problem superficially), the other roots are still there feeding the problem.*

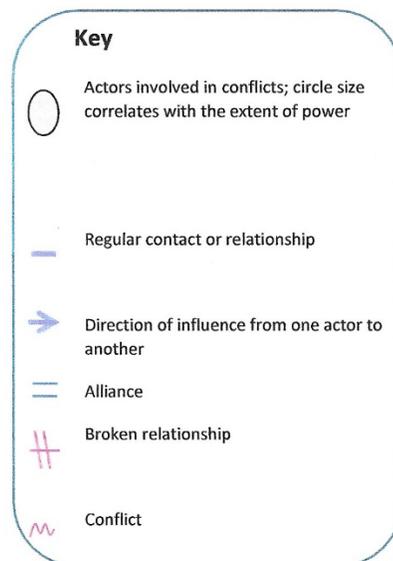
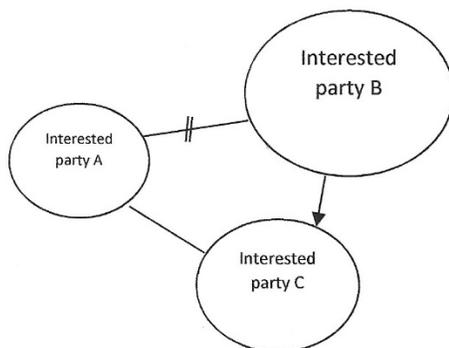
### ASSIGNMENT FOR STAKEHOLDER ANALYSIS:

**Preparation of the facilitator:** Adhesive notes, circles, flipchart paper, tape, markers. Pre-work: Cut the different sizes of circles in advance. [For virtual: prepare electronic template.]

**Why it's important:** This exercise is a visual tool that aims to examine relationships between the actors involved in a conflict. It's a way for project staff to reflect and understand not only who is involved, but also the interactions and communication between these groups and the relationships of power. In particular, by examining these relationships and possible partnerships, staff can assess their own relationships and determine when and with whom to intervene as part of the project's activities.

#### Activity Instructions:

- **Step 1:** Going back to the small groups you worked in earlier, we will now examine the actors involved in this conflict. To get started, write a list of actors involved in the conflict. Do not forget to include your organization and key partners in this analysis.
- **Step 2** Once you have your list, separate the actors to classify them based on the size of the power they perceive that the actors have: either low, medium or high level of power.
- **Step 3:** Choose the Circles/papers which correspond to the level of power (low, medium or high). Choose one circle for each actor and write their names in the circles. When you haven finished, paste circles on the chart paper.
- **Step 4:** Drawn lines connecting the various circles/actors depending on the type of relationship or interaction that exists (see Key to determine the line type).



# Appendix III: Integrating Gender & Social Equity into Conservation Programming

## Integrating gender & social equity into conservation programming



These practical tips are meant to be general, but gender and social norms are context specific. It is the project staff's responsibility to apply these tips in a manner that is respectful of local norms, and is advisable to seek the guidance of local partners, including community members. For additional and more detailed guidance, see [CI's Gender + Social Equity Guidelines\\*](#).



### STEP #1: Gather relevant social information

Using primary and secondary data, a social analysis examines how different individuals and groups may affect a project or program, and how the project or program will affect them. The analysis collects, identifies, examines and analyzes information on the different roles, responsibilities, needs and interests of men and women of different social groups. See CI's Gender + Social Equity Guidelines for sample questions.



### STEP #2: Identify benefits, risks and barriers

Using the social information collected above, identify how different groups may benefit, what risks may be involved, and the barriers and opportunities for engaging different people in the project. See CI's Gender + Social Equity Guidelines for helpful tools and common risks and barriers.



### STEP #3: Develop appropriate solutions

Design culturally-appropriate and feasible solutions to reduce or eliminate the barriers and challenges identified above. These solutions depend on local culture, the nature of the project, budget, staff and partners. Solutions must be developed *by* and *with* community members and other stakeholders. See CI's Gender + Social Equity Guidelines for examples of common solutions.



### STEP #4: Monitor and evaluate

Regular monitoring ensures that gender and social equity strategies are pertinent and achieving the desired outcome; it also enables responsive or corrective action if needed. Indicators should be disaggregated by sex and relevant social characteristics (age, location, profession, indigeneity, etc.) and changes over time of people's status and roles should be tracked. See CI's Gender + Social Equity Guidelines for help developing indicators, targets and collecting data.



### STEP #5: Adapt and learn

Data and learning during the project is an ongoing process that can and should help to inform implementation throughout the project's lifetime. When data are collected and analyzed during monitoring and when new lessons are learned, information should be integrated back into the project through adaptive management.

\*[https://conservation.sharepoint.com/teams/units/cep/gender-library/Tools/CI-Guidance-GenderSocialEquity\\_EN.pdf](https://conservation.sharepoint.com/teams/units/cep/gender-library/Tools/CI-Guidance-GenderSocialEquity_EN.pdf)

Source: Westerman, Kame (n.d.). Integration gender and social equity into conservation programming. Arlington, VA: Conservation International.



## Appendix V: Gender Definitions

Depending on the cultural context in which you will conduct this training, participants may have limited understanding of key concepts related to gender and gender transformative conservation planning. The following terms may be shared with participants as a handout or listed on a slide to facilitate better foundation around key gender concepts.

**Gender** refers to the economic, social, political, and cultural attributes and opportunities associated with being men and women. Gender is a social construct, which implies addressing the simultaneous consideration of both male and female roles and their interaction in society.

**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 integration** refers to strategies applied in program assessment, design, implementation, and evaluation to take gender norms into account and to compensate for gender-based inequalities.

**Gender mainstreaming** is the process of assessing and responding to the differentiated implications for women and men of any policies, strategies, programs, activities, and administrative functions, as well as the institutional culture of an organization.

**Gender norms** are behaviors or attributes that society attributes to a particular sex. Gender norms change from culture to culture and over time, since they're based on the expectations of societies that are constantly evolving.

**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.

**Social analysis** examines how the project will impact people, based on their social characteristics; a gender analysis is one type of social analysis and specifically examines differences in women's and men's lives, including those which lead to inequity, and applies this understanding to policies and programs.

**Social equality** means that all people – whatever their sex, caste, ethnicity, religion, age, marital status, physical condition, or lifestyle – receive the same treatment, the same opportunities, the same recognition, the same respect, and have the same rights and the same status. In many societies, certain groups (such as women) have different rights, different access to resources and information, and different decision-making powers.

**Social equity** is the process of being fair to different individuals or groups of people. To ensure fairness, measures must be taken to compensate for historical and social disadvantages that prevent certain groups from operating on a level playing field. The product of social equity is a state of affairs in which all people have the same status in certain respects, including civil rights, freedom of speech, property rights and equal access to certain social goods and services.

*Source:* Westerman, Kame (n.d.). Guidelines for Integrating Social Equity into Conservation Programming.