

# FISHERYPROGRESS.ORG

## FIP Social Review Guidelines

### Summary of Changes

Version 1.1

The [Human Rights and Social Responsibility \(HRSR\) Policy, Amendment to Version 1.0](#) (“HRSR Policy Amendment”) was released in March 2022. The amended HRSR Policy included changes that focused on Requirements 1.1 and 1.3 and an update to the phased implementation timeline. The changes outlined in version 1.1 of the FisheryProgress FIP Social Review Guidelines are focused primarily on updating the review process to reflect the changes outlined in the HRSR Policy Amendment.

The general changes made throughout the document are that references to requirements and terms that are revised in the HRSR Policy Amendment are substituted for their revised content throughout the social review guidelines.

The changes in the revised version of the Social Review Guidelines are effective immediately. The following table summarizes the changes made through the release of Version 1.1 of the FIP Social Review Guidelines. All other guidelines in the document remain unchanged.

#### Summary of changes to the Social Review Guidelines, Version 1.1

| Section   | Change   |
|---|--|
| <b>4.1. Initial Deadlines</b>   | The phased implementation timelines were revised.  |
| <b>4.2. Initial Review for FIPs to Become Active,</b><br>Requirement 1.1 Public Policy Statement (formerly “Code of Conduct”) | The review process for Requirement 1.1 is replaced in its entirety. In lieu of requiring FIPs to sign the FisheryProgress Human Rights Code of Conduct, the revised requirement requires FIPs to demonstrate they have a public policy statement outlining a commitment to respect human and labor rights. |
| <b>4.2. Initial Review for FIPs to Become Active,</b> Requirement 1.2 Vessel or Fisher Information                            | Additional information was provided to clarify the exemption request and review process.   |
| <b>4.3. Initial Review for Requirements 1.3 and 1.4,</b><br>Requirement 1.3 Fisher Awareness of Rights                        | The review process for Requirement 1.3 was revised to reflect the revised Requirement 1.1. A reporting template is also now required to facilitate the review process.   |
| <b>4.3. Initial Review for Requirements 1.3 and 1.4,</b><br>Requirement 1.4 Grievance Mechanism                               | Additional information was provided to clarify the exemption request and review process.   |
| <b>5.2. Annual Report Review,</b><br>Requirement 1.3 Fisher Awareness of Rights   | The review process for Requirement 1.3 was revised to reflect the revised Requirement 1.1.   |

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## **FIP Social Review Guidelines**

Version 1.1

*Release Date: May 15, 2022*

*Effective Date: May 15, 2022*

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## 1. Introduction

The following guidelines were developed for use by FIPs and the FisheryProgress reviewers to provide clarity around how the site will implement the [FisheryProgress Human Rights and Social Responsibility Policy](#) and evaluate FIP social information and progress. These guidelines serve as an addendum to the existing [FIP Review Guidelines](#) – all guidance in this document supplements those guidelines.

The table below outlines the policy requirements – references to requirements throughout this document are based on the numbering of each requirement as noted in the policy. Throughout this document, the terms “shall,” “must,” and “required” indicate a binding requirement. The terms “should,” “may,” or “best practice” indicate that the item is recommended.

### **FisheryProgress Human Rights and Social Responsibility Policy**

#### Component 1: Requirements for All FIPs

All FIPs reporting on FisheryProgress must:

- 1.1 Demonstrate there is a public policy statement outlining a commitment to respect human and labor rights.
- 1.2 Provide information about the vessels or fishers included in the FIP.
- 1.3 Undertake best efforts to make fishers aware of their rights.
- 1.4 Demonstrate there is a grievance mechanism available to all fishers in the FIP.
- 1.5 Complete a self-evaluation against the FisheryProgress criteria for increased risk of forced labor and human trafficking.

#### Component 2: Additional Requirements for FIPs That Meet the Risk Criteria

FIPs that meet one or more FisheryProgress criteria for increased risk of forced labor and human trafficking (see Requirement 1.5) must:

- 2.1 Complete a risk assessment using the Social Responsibility Assessment Tool (SRA).
- 2.2 Create a social workplan to address all red indicators in the risk assessment.
- 2.3 Report publicly on action progress and update indicator scores.

#### Component 3: Requirements for Voluntary Reporting on Social Performance

Any FIP on FisheryProgress may voluntarily report on its performance or progress on one or more social issues. Component 3 details the requirements for FIPs who choose to exceed the minimum requirements outlined in Components 1 and 2.

FisheryProgress plans to integrate the social review guidelines below into the broader [FIP Review Guidelines](#) during the second semester of 2022. In addition, we expect these guidelines will evolve over time. We will communicate any changes to FIP leads via email when they occur.

## 2. Applicability

All active and completed FIPs listed on FisheryProgress are eligible and/or required to report on social progress, dependent on their status as outlined below.

### **Active Basic and Comprehensive FIPs**

All active FIPs must report on their social performance in accordance with the Human Rights and Social Responsibility Policy and the social review guidelines below.

### **Completed FIPs**

Completed FIPs are not required to continue reporting on their social performance but may do so voluntarily. Completed FIPs that continue to report on their social performance must meet the requirements outlined in the Human Rights and Social Responsibility Policy, including the six-month and annual reporting requirements, but will be unable to update previous environmental information.

To not have future reports considered missed, completed FIPs that are voluntarily reporting on social performance and would like to stop must contact FisheryProgress ([contact@fisheryprogress.org](mailto:contact@fisheryprogress.org)) to indicate they are no longer reporting. There are no additional requirements or consequences for completed FIPs that choose not to continue social reporting. All social performance information provided prior to and after the FIP reaches completion will be maintained on completed FIP profiles.

### **Prospective FIPs**

Prospective FIPs are not considered active and, therefore, are neither required nor eligible to report on their social performance. To transition to an active status, prospective FIPs must meet the requirements in the Human Rights and Social Responsibility Policy and the guidelines contained in this document.

### **Inactive FIPs**

Inactive FIPs are those that suspended work before achieving their objectives, due to reasons outlined in the [FIP Review Guidelines](#) or the FisheryProgress Human Rights and Social Responsibility Policy, including:

- **The FIPs did not meet the initial deadline for completing requirements 1.1-1.5 and 2.1-2.2 (if applicable).** FIPs will be considered out of compliance with the FisheryProgress Human Rights and Social Responsibility Policy if they do not meet the requirements by the end of the calendar month of the original deadline or, if requested, by the end of the grace period that extends to the 15th of the following month. If they fail to do so, they will be moved to inactive status.
- **The FIPs did not report regularly as outlined in requirement 2.3.** FIPs meet requirement 2.3 through their existing six-month and annual report schedule, as outlined in these guidelines. According to the [FIP Review Guidelines](#), a report will be considered missed if not completed (including completing required social reporting) by the end of the calendar month of the original deadline or, if requested, by the end of the grace period that extends to the 15th of the following month. Two consecutive missed reports (including a report that was missed and then submitted later) will render the FIP inactive.

- **The FIPs did not make sufficient progress.** Active FIPs reporting on their risk assessment must demonstrate progress when the risk assessment shows one or more Core FisheryProgress SRA Indicators are at the high-risk (red) level. Those FIPs that are unable to demonstrate that at least one of these red indicators has improved to a medium risk (yellow) level within three years will be moved to inactive.

Inactive FIPs are not eligible to actively report on FisheryProgress in any form. Inactive FIPs remain on the site indefinitely but as limited profiles that include a subset of their information. Inactive FIPs that return to active status will be required to meet the requirements outlined in the FisheryProgress Human Rights and Social Responsibility Policy and the guidelines contained in this document.

### 3. Permission and Confidentiality of Reporting Information

It is the FIP's responsibility to obtain permission to publish on FisheryProgress.org any required documentation that a FIP participant itself did not create or commission.

The information, documentation, and evidence that FIPs submit to meet the social requirements outlined in the FisheryProgress Human Rights and Social Responsibility Policy will be public on the website (except for the signed Policy Statement). This information must not be personally identifiable or confidential.

FIPs may modify materials to anonymize any personally identifiable or confidential information within reason. Examples of this may include:

- Removing or blacking out names, job titles, or other similar information.
- Removing or blacking out attendee lists from meetings or trainings.
- Blurring out people or vessel names in images.

Anonymization must not be to a degree that the reviewer is unable to verify the information, documentation, and evidence as part of the review process. If this is not possible, the FIP should contact the reviewer ([contact@fisheryprogress.org](mailto:contact@fisheryprogress.org)) to discuss options.

Requests to keep information or evidence confidential will be considered on a limited case-by-case basis. If a request is made, the reviewer will work with the FIP to explore options for making parts of the information or evidence public or providing other evidence. In exceptional circumstances where that is impossible, if reasonable and justifiable, the reviewer will review the information but not publish it to the site, and the FIP will be required to provide a summary of the evidence that will be shared publicly on FisheryProgress.

Additional guidance on evidence is available in **Appendix A**.

## 4. Initial Review Process

### 4.1. Initial Deadlines

The initial review of each of the requirements in the FisheryProgress Human Rights and Social Responsibility Policy is staggered as follows:

#### HRSR Policy Amendment Implementation Deadlines

| Policy Requirement                                   | Existing FIPs   | New FIPs               |
|--|---|------------------------|
| <b>Currently in effect:</b>                          |   |                        |
| <b>1.2 Vessel list</b>                               | Next report <sup>1</sup>  | To be listed as active |
| <b>1.4 Grievance mechanism</b>                       | Next report   | First six-month report |
| <b>1.5 Self-evaluation</b>                           | Next report   | To be listed as active |
| <b>2.1 Risk assessment (if required)</b>             | 12 months after self-evaluation submitted (Requirement 1.5)     | First annual report    |
| <b>2.2 Social workplan (if required)<sup>2</sup></b> | 12 months after submission of self-evaluation (Requirement 1.5) | First annual report    |
| <b>Effective Jan. 1, 2023:</b>                       |   |                        |
| <b>1.1 Policy statement</b>                          | Next report   | To be listed as active |
| <b>1.3 Fisher awareness of rights</b>                | Next report   | First six-month report |

**Note that, although the above table indicates when requirements go into effect, specific deadlines for FIPs to meet requirements vary according to their unique reporting schedules.** That is because the document submission and review process occurs as part of the FIP’s regular six-month and annual reporting. Furthermore, each requirement details both initial and reporting deadlines, which ensure that information is kept up to date. Please see [Guidance on FIP Reporting Schedules](#) for additional information.

The reviewer will review all social information associated with initial requirements submitted by FIPs currently on FisheryProgress and those requesting to be listed as active on FisheryProgress.

Once the FIP has submitted information on the below requirements, the reviewer will follow up with the FIP implementer to address any questions regarding the submitted materials. Additional materials submitted by the FIP during follow-up will be reviewed as necessary.

<sup>1</sup> In all cases, “next report” means either the six-month or annual report, whichever comes first after the effective date noted.

<sup>2</sup> FIPs must develop a workplan to address at least all red indicators in the risk assessment.



## 4.2. Initial Review for FIPs to Become Active

The reviewer will complete the review of social performance data alongside the review of environmental performance data, aiming to do so within one month of the date the new profile is submitted. This timing may vary depending on the volume of FIP report reviews and the amount of follow-up needed to secure additional information from the FIP implementer. Once the environmental and social initial review process is complete, the reviewer will make the FIP public on FisheryProgress.

The following section outlines what the reviewer will look for during the initial review of social information for Requirements 1.1, 1.2, and 1.5.

**Requirement 1.1: Demonstrate there is a public policy statement (“Policy Statement”) outlining a commitment to respect human and labor rights (Previously: Code of Conduct)**

| Policy Statement Field, Social Performance Tab |   |
|--|---|
| Field  | Review Process  |
| Documentation                                  | <ul style="list-style-type: none"> <li>● Confirm the FIP has uploaded one or more Policy Statements. If the Policy Statement is posted on a website, the FIP must download it and upload the file.</li> <li>● Confirm each policy statement is either               <ul style="list-style-type: none"> <li>○ Signed and dated by the FIP lead (additional signatories are optional); OR</li> <li>○ Signed and dated by all FIP supply chain participants; OR</li> <li>○ Includes a link to where it is published on the participant’s website.</li> </ul> <p>The Policy Statement may be signed as a stand-alone document or as integrated into a memorandum of understanding (MOU).</p> </li> <li>● For Policy Statements that are signed, confirm that each signature is accompanied by:               <ul style="list-style-type: none"> <li>○ Full name.</li> <li>○ Title.</li> <li>○ Organization.</li> <li>○ Date.</li> </ul> </li> <li>● Confirm the FIP has uploaded the <a href="#">FisheryProgress Policy Statement Description Template</a> and that:               <ul style="list-style-type: none"> <li>○ It filled in all required fields.</li> <li>○ All information meets the criteria outlined in the policy.</li> <li>○ It provided information in English.</li> <li>○ Information provided aligns with the Policy Statement(s) provided.</li> </ul> </li> </ul> |
| Date Signed                                    | Confirm this matches the date indicated in the uploaded document.   |

|         |   |
|---------|---|
| Details | <ul style="list-style-type: none"> <li>• Provide a description of the signatories or the owner of the Policy Statement(s).</li> <li>• Optionally, provide additional detail related to the Policy Statement not included in the template, which may include: <ul style="list-style-type: none"> <li>• Clarification that the Policy Statement is integrated into the FIP’s MOU.</li> <li>• Information about how the FIP addresses parts of the Policy Statement, such as they are part of a retailers’ Policy Statement for suppliers that the FIP follows.</li> </ul> </li> </ul> |
|---------|---|

*Requesting an extension*

FIPs may request a one-time, six-month extension to meet the requirement criteria outlined above. FIPs must communicate the request to FisheryProgress ([contact@fisheryprogress.org](mailto:contact@fisheryprogress.org)) with the motivation for the requested exemption and a workplan that outlines the activities the FIP will undertake to fully meet the requirement within six months. The FIP must send the request before the end of the month that the FIP’s report is due. If the FIP does not meet the requirement criteria during the next report, it will be moved to inactive status as outlined in the Human Rights and Social Responsibility Policy.

**Requirement 1.2 Vessel or Fisher Information**

| Vessel Information Field, Documents Tab |  |
|---|--|
| Field                                   | Review Process   |
| Documentation                           | <ul style="list-style-type: none"> <li>• Confirm the FIP has uploaded a document with its vessel or fisher information that: <ul style="list-style-type: none"> <li>○ Uses the <a href="#">FisheryProgress vessel information template</a>.</li> <li>○ Provides information in all required boxes in the template’s “Overview” tab.</li> <li>○ Clearly describes all sources. If the source is publicly accessible, a link has been provided.</li> <li>○ Fully completes the template in accordance with the designated category of vessel(s) in the FIP, as outlined below.</li> </ul> </li> <li>• <b>If the FIP indicates it has large vessels<sup>3</sup>:</b> <ul style="list-style-type: none"> <li>○ The FIP provides a list of vessels in the “Vessel List” tab and completes all required fields for all vessels.</li> </ul> </li> <li>• <b>If the FIP indicates it has small vessels</b>, the FIP either: <ul style="list-style-type: none"> <li>○ Provides a list of vessels in the “Vessel List” tab and completes all required fields for all vessels; OR</li> <li>○ Provides a description in the “Overview” tab that includes: <ul style="list-style-type: none"> <li>▪ The number of vessels</li> <li>▪ Landing sites for the catch</li> <li>▪ Home communities of the fishers</li> <li>▪ Types of vessels</li> </ul> </li> </ul> </li> </ul> |

<sup>3</sup> Large vessels are those that weigh 10 GT or more or are 12 m or longer. Small vessels are those that weigh less than 10 GT and are shorter than 12 m. FisheryProgress may consider minor exceptions to these definitions based on local legal definitions.

|                                 |  |
|---------------------------------|--|
|                                 | <ul style="list-style-type: none"> <li>● <b>If the FIP indicates it has shore-based or non-vessel fishers</b>, the FIP either: <ul style="list-style-type: none"> <li>○ Provides a list of individuals in the “Fisher List” tab and includes both a given name and a family name for all fishers; OR</li> <li>○ Provides a description in the “Overview” tab that includes: <ul style="list-style-type: none"> <li>▪ Approximate number of fishers.</li> <li>▪ Landing sites for the catch.</li> <li>▪ Home communities of the fishers.</li> <li>▪ Type of fishing practice.</li> </ul> </li> </ul> </li> <li>● The information provided in the document aligns with other information the FIP provides (e.g., the gear type, vessel flags, FIP description, species).</li> <li>● There is no indication that the information is incomplete, inaccurate, or non-exhaustive (i.e., it covers the full scope of the FIP).</li> </ul> |
| Document Link (Optional)        | If filled in, it provides a link related to the vessel or fisher information, for example, a link to a public vessel registry.   |
| Document Creation Date          | The date provided matches the date indicated in the Overview tab of the uploaded document.   |
| Document Description (optional) | If filled in, the text provides detail related to the vessel or fisher information, including the category of vessels or fishers in the FIP (large, small, fishing outside the exclusive economic zone (EEZ), shore-based/non-vessel).   |

*Requesting an exemption*

All large vessels are expected to be documented in the FIP’s vessel list. FIPs may request temporary exemption to this requirement by completing the “Exemption Request” tab in the [FisheryProgress vessel information template](#). Requests of longer than one year will only be granted for exceptional circumstances, for example, in instances where collecting and documenting vessel information is expected to lead to harm to the fishers involved.

Once received, the reviewer will determine whether the request is reasonable and justified. If needed, the reviewer will consult with the site’s advisory committee(s) for guidance. If the request is approved, the FIP must create action items for the development of a vessel list. The vessel list action item(s) must be added to the “Exemption Request” tab in the [FisheryProgress vessel information template](#) or to the FIP’s environmental or social workplan and tied to MSC indicator 3.2.3 (Compliance and Enforcement) and/or SRA components 1.1, 2.1, 2.2, and SRA indicator 3.2.6. The vessel list action item(s) must be added to the workplan during the same reporting cycle in which the extension was provided.

**Requirement 1.5 Self-Evaluation of Risk Criteria**

The FIP must submit a completed self-evaluation of the risk criteria by providing responses to the [FisheryProgress Self-Evaluation of Risk Criteria](#). Once the FIP lead completes the form, it will receive an email with a PDF copy of the completed form. The FIP must provide the PDF as a document upload. Additional guidance is below.

| Self-Evaluation of Risk Criteria Field, Social Performance tab |   |
|--|---|
| Field  | Review Process  |
| Documentation  | <ul style="list-style-type: none"> <li>● Confirm the FIP has uploaded a PDF copy of its completed self-evaluation.</li> <li>● Confirm the fishery does not have an instance of forced labor, child labor, or human trafficking within the past four years that is known to FisheryProgress. That includes, but is not limited to: <ul style="list-style-type: none"> <li>○ Verifying none of the vessels on the FIP’s vessel list have been subject to a <a href="#">U.S. Customs &amp; Border Protection Withhold Release Order</a> within the past four years.</li> <li>○ Verifying the fishery and its vessels are not documented in the U.S. Department of Labor <a href="#">List of Goods Produced by Child Labor or Forced Labor</a>.</li> <li>○ Verifying there is no other public evidence of forced labor, child labor, or human trafficking, including in nongovernmental organizations or media reports with documented worker testimony and government reports.</li> </ul> </li> <li>● Confirm the self-evaluation aligns with other information provided on the FIP and with the results of FIPs sharing similar characteristics.</li> </ul> |
| Date Completed   | The date provided matches the date indicated in the uploaded document.  |
| Details (Optional)   | <p>If filled in, the text provides detail related to the self-evaluation not included in the template, which may include:</p> <ul style="list-style-type: none"> <li>● Sources for the information.</li> <li>● Additional detail on any of the responses to the criteria (e.g., to provide detail on why the FIP met a specific criterion).</li> </ul>  |

**If the FIP meets one or more criteria**, the reviewer will:

- Update relevant fields in the FIP at a Glance box to note the risk assessment is now required.
- Update the summary box on the Social Performance tab to note the FIP has met one or more risk criteria.
- Confirm directly with the FIP that a risk assessment and workplan (if applicable) will be required during its next annual report.

Note that FIPs are not required to proactively submit evidence in support of the results of their self-evaluation. However, FisheryProgress reserves the right to ask for evidence as needed.

**Additional Information (Optional)**

FIPs that would like to provide information on their social performance that is outside of the requirements outlined in the policy may do so by including text in the “Additional Information” section of the Social Performance tab. Additional guidance is below.

| Additional Information Field, Social Performance tab |  |
|--|--|
| Field  | Review Process   |
| Details  | Confirm the information provided is outside the scope of the Human Rights and Social Responsibility Policy, or it is not feasible to provide that information through reporting on the other requirements. |
| Documents (optional)                                 | The FIP has uploaded evidence to demonstrate the action(s) it has described (see <b>Appendix A</b> for guidance on acceptable evidence and examples).  |

### 4.3. Initial Review for Requirements 1.3 and 1.4

The following section outlines what the reviewer will look for during the initial review of social information for Requirements 1.3-1.4, which must be submitted during the FIP's first six-month report after becoming active on FisheryProgress. Additional guidance is below.

#### **Requirement 1.3 Fisher Awareness of Rights**

| Fisher Awareness of Rights Field, Social Performance tab |   |
|--|---|
| Field  | Review Process  |
| Details (Optional)                                       | If filled in, this provides details related to fisher awareness of rights not included in the template.   |
| Documentation  | <ul style="list-style-type: none"> <li>● Confirm the FIP has uploaded the <a href="#">FisheryProgress Fisher Awareness of Rights Template</a> and that: <ul style="list-style-type: none"> <li>○ All required fields were filled in.</li> <li>○ Information was provided in English.</li> <li>○ Information provided is aligned with the Policy Statement(s) provided.</li> <li>○ The list of actions undertaken is adequate to communicate about the Policy Statement(s) and existing grievance mechanisms and reach all fishers in the FIP.</li> </ul> </li> <li>● Confirm the FIP has uploaded evidence to demonstrate the action(s) it has described in the template (see <b>Appendix A</b> for guidance on acceptable evidence and examples).</li> </ul> |
| Last Updated   | Confirm this provides the date the information was updated on FisheryProgress.  |

#### *Requesting an extension*

FIPs that are granted an extension for Requirement 1.1 and/or Requirement 1.4 may request an extension to meet the criteria outlined above. The requested extension must not exceed the extension period granted for Requirement 1.1 and/or Requirement 1.4. FIPs must communicate the request to FisheryProgress ([contact@fisheryprogress.org](mailto:contact@fisheryprogress.org)) with the motivation for the requested exemption. The FIP must send the request before the end of the month that the FIP's

report is due. If the FIP does not meet the requirement by the end of the granted extension period, it will be moved to inactive status as outlined in the Human Rights and Social Responsibility Policy.

**Requirement 1.4 Grievance Mechanism**

To meet this requirement, the FIP may provide information on and evidence of one or multiple grievance mechanisms. Additional guidance is below.

| <b>Grievance Mechanism Field, Social Performance tab</b> |  |
|--|--|
| <b>Field</b>   | <b>Review Process</b>  |
| Documentation  | <ul style="list-style-type: none"> <li>• Confirm the FIP has uploaded a copy of the grievance mechanism(s).</li> <li>• Confirm there is at least one grievance mechanism available to all fishers in the FIP. If the grievance mechanism does not provide this detail, the FIP provides this detail in the Details section.</li> <li>• Confirm the grievance mechanism outlines the full complaint and remedy process, meaning it details the communication channels available to fishers to report complaints to a responsible party who can review and escalate complaints for remedy as needed.</li> <li>• Confirm the grievance mechanism details how it is available to all fishers in the FIP, at least once every 24 hours, including at sea during trips longer than 24 hours and when docked in ports outside of their home communities. If the grievance mechanism does not provide this detail, the FIP provides this detail in the Details section.</li> </ul> |
| Last Updated   | This provides the date the information was updated on FisheryProgress.   |
| Details (optional)                                       | If filled in, the text provides detail related to the grievance mechanism.   |

*Requesting an exemption*

All FIPs are expected to meet Requirement 1.4. FIPs may request temporary exemption to this requirement by completing the [Requirement 1.4 Exemption Request Form](#). Detailed instructions are provided in the [Exemption Request Instructions](#).

Once received, the reviewer will:

- Confirm that all required fields were filled in.
- Confirm that the request is reasonable and justified. If needed, the reviewer will consult with the site’s advisory committee(s) for guidance.
- Review the workplan actions according to the review process outlined in Section 4.3.
- Confirm that actions will be achieved within the requested exemption period, up to 12 months.
- Share the exemption decision with the FIP no longer than 15 days after the request is submitted or communicate with the FIP if the decision is delayed past the 15-day timeline.

If the exemption is granted, the grievance mechanism must be submitted within 12 months of the reporting deadline from when the request was made.

#### 4.4. Initial Review for Requirements 2.1 and 2.2

The following section outlines what the reviewer will look for during the initial review of social information for Requirements 2.1-2.2. Additional guidance is below.

##### **Requirement 2.1 Risk Assessment**

The reviewer will confirm whether the FIP is required to meet Requirement 2.1 by reviewing the FIP's last completed self-evaluation of risk criteria. FIPs that meet one or more of the risk criteria must complete a risk assessment of the Core FisheryProgress SRA Indicators. The assessment of all other SRA indicators is optional. All other FIPs may voluntarily choose to complete a risk assessment of the full set or a subset of the SRA indicators.

The below review process applies to both FIPs that are required and FIPs that choose to voluntarily complete Requirement 2.1.

| Risk Assessment Field, Social Performance tab |  |
|---|--|
| Field   | Review Process   |
| Documentation                                 | <ul style="list-style-type: none"> <li>● Confirm the FIP has uploaded a document of its completed risk assessment:               <ul style="list-style-type: none"> <li>○ It uses the <a href="#">FisheryProgress risk assessment template</a>.</li> <li>○ The FIP must have completed it in the past 12 months from the date of submission.</li> <li>○ The FIP has fully and correctly completed all required sections.</li> <li>○ Sources are clearly described. If the source is publicly accessible, a link has been provided.</li> </ul> </li> <li>● Confirm:               <ul style="list-style-type: none"> <li>○ The scope of the risk assessment covers the full scope of the FIP. When a sampling approach is taken, it can be considered representative of the entire FIP. Additional guidance is included below.</li> <li>○ The methodology aligns with the guidance provided in "SRA: A Guide to Data Collection" AND/OR the FIP uses a social audit from an approved standard and a qualified party conducts the audit (see <b>Appendix B</b> for additional guidance on review criteria).</li> <li>○ The methodology of the risk assessment includes consultation with fishers, trade unions, worker organizations, labor rights NGOs, and/or civil society organizations, when possible and applicable.</li> <li>○ SRA indicators that are scored provide adequate justification for each score.</li> </ul> </li> <li>● <b>For FIPs that meet one or more risk criteria in their Self-Evaluation of Risk Criteria</b>, confirm that all Core FisheryProgress SRA Indicators have been assessed.</li> <li>● Confirm a qualified individual or team conducted the assessment:               <ul style="list-style-type: none"> <li>○ <b>For all Core FisheryProgress SRA Indicators</b>, confirm that each indicator was assessed by an individual or team who</li> </ul> </li> </ul> |

|                    |   |
|--------------------|---|
|                    | <p>meets the <a href="#">qualifications for conducting risk assessments and creating social workplans</a>.</p> <ul style="list-style-type: none"> <li>○ <b>For all other SRA indicators</b>, confirm that an individual or team assessed each indicator as appropriate based on the SRA's guidance for what expertise and experience is best to evaluate each indicator.</li> </ul>                               |
| Date Completed     | Confirm the date provided matches the date indicated in the uploaded document.  |
| Details (Optional) | <p>If filled in, this provides details related to the risk assessment not included in the template, which may include:</p> <ul style="list-style-type: none"> <li>● A brief summary of the findings of the risk assessment, including the number of red indicators.</li> <li>● The use of audit data from a social standard or certification program (e.g., Seafood Task Force, Fair Trade Certified).</li> </ul> |

*FIPs with an existing risk assessment*

If a FIP has a recent risk assessment completed prior to its activation on FisheryProgress.org but the scope does not include the entire FIP, the FIP will need to confirm whether the assessment scope is representative of the entire FIP (e.g., The vessels/fishers, fishing practices, location, and business owners covered by the risk assessment are similar to those of the broader FIP).

- **If the scope is representative of the entire FIP:** The FIP may use the risk assessment and replicate the scope in future assessments. When uploading the risk assessment(s), the FIP must include an explanation for why the risk assessment is representative of the entire FIP in the details box.
- **If the scope is not representative of the entire FIP:** The FIP may use the risk assessment for the initial report but must complete a risk assessment within one year in which the scope is representative of the entire FIP. When uploading the risk assessment, the FIP must note in the details box that the risk assessment is not representative of the entire FIP.

**Requirement 2.2 Social Workplan**

The reviewer will confirm whether the FIP is required to meet Requirement 2.2 by reviewing the FIP's last completed risk assessment. FIPs that have one or more red indicators in their risk assessment must create a social workplan with actions to address those red indicators. The inclusion of actions in the social workplan to address yellow or green SRA indicators is optional.

The below review process applies to both FIPs that are required and FIPs that choose to voluntarily complete and report on a social workplan. Additional guidance is below.

| Social Workplan & Progress Reporting Field, Social Performance Tab |   |
|--|---|
| Field  | Review Process  |
| Documentation  | <ul style="list-style-type: none"> <li>● Confirm the FIP has uploaded a social workplan document: <ul style="list-style-type: none"> <li>○ It uses the <a href="#">FisheryProgress social workplan template</a>.</li> </ul> </li> </ul> |



|                    |  |
|--------------------|--|
|                    | <ul style="list-style-type: none"> <li>○ The FIP has fully and correctly completed all required sections in the template.</li> <li>○ The FIP must have completed it in the past 12 months from the date of submission.</li> <li>● Confirm: <ul style="list-style-type: none"> <li>○ The described actions and tasks (optional) provide enough detail and clarity for users to understand the fundamentals of what will be completed.</li> <li>○ Time frames are plausible and adequate based on the actions.</li> <li>○ There are no major concerns or risks to achieving the workplan given the information provided.</li> </ul> </li> <li>● <b>If the FIP’s risk assessment shows red SRA indicators</b>, confirm these aspects of the workplan: <ul style="list-style-type: none"> <li>○ It includes at least one action for every red-scoring indicator.</li> <li>○ The action(s) described should effectively move the red-scoring indicator(s) to produce the intended result of reaching at least the yellow level within the timeframes noted.</li> </ul> </li> <li>● <b>If the workplan includes activities addressing red Core FisheryProgress SRA Indicators</b>, confirm that a qualified party completed those sections of the workplan (as outlined in the <a href="#">qualifications for conducting risk assessments and creating social workplans</a>).</li> </ul> |
| Date Completed     | Confirm the date provided matches the date indicated on the cover page in the uploaded document.   |
| Details (optional) | If filled in, this provides detail related to the social workplan and/or progress reporting not included in the template, for example, a summary of key actions.   |

## 5. Evaluating FIP Progress

The following section outlines what the reviewer will look for during the FIP’s regular six-month and annual reports.

The FIP must meet all relevant criteria for a report to be considered complete. According to the [FIP Review Guidelines](#), a report will be considered missed if not completed (including completing required social reporting) within one month of the deadline. Two consecutive missed reports (including a report that was missed and then submitted later) will render the FIP inactive.

### 5.1. Six-Month Report Review

#### **Requirement 2.3 Progress Reporting**

Every six months from the date the profile is posted on FisheryProgress, FIPs must report on action progress, as outlined in the [FIP Review Guidelines](#). FIPs that have developed a social workplan will be required to report on social progress and environmental progress during their regular six-month reports. FIPs that do not have a social workplan will only be required to report on environmental progress during their regular six-month reports.

The reviewer will confirm whether the FIP is required to report on social progress by confirming whether the FIP has a social workplan. For those FIPs that do, the reviewer will use the criteria outlined below in addition to those detailed in the [FIP Review Guidelines](#) to review social performance information during the six-month report review.

| Social Workplan & Progress Reporting Field, Social Performance Tab |  |
|--|--|
| Field  | Review Process   |
| Documentation  | <ul style="list-style-type: none"> <li>● Confirm the FIP has uploaded an updated social workplan document:               <ul style="list-style-type: none"> <li>○ It uses the <a href="#">FisheryProgress social workplan template</a>.</li> <li>○ The FIP has fully and correctly completed all required sections.</li> <li>○ It includes a recent date.</li> </ul> </li> <li>● Review changes/additions to the template and confirm:               <ul style="list-style-type: none"> <li>○ Any updates provided to the workplan itself are in accordance with the review process detailed in Section 2.3.</li> <li>○ The FIP has provided a comprehensive update on progress for all actions and tasks (as applicable).</li> </ul> </li> <li>● Confirm the FIP submitted evidence for completed actions and tasks. The reviewer may also request evidence for progress reported on tasks and actions that are not yet complete (see <b>Appendix A</b> for guidance on acceptable evidence and examples).</li> </ul> |
| Date Completed   | Confirm the date provided matches the date indicated on the cover page of the uploaded document.   |

|                    |   |
|--------------------|---|
| Details (optional) | If filled in, this provides details related to the social workplan and/or progress reporting not included in the template, which may include: <ul style="list-style-type: none"> <li>• A summary of key progress.</li> <li>• Any major changes made to the workplan.</li> </ul> |
|--------------------|---|

## 5.2. Annual Report Review

Every 12 months from the date the profile is posted on FisheryProgress, FIPs must report on action progress (as outlined in the six-month report section above) AND provide an update as follows:

- On all of the FIP’s environmental indicator scores, as outlined in the [FIP Review Guidelines](#).
- On Requirements 1.2, 1.3, 1.4, and 1.5 of the Human Rights and Social Responsibility Policy.
- As applicable, on Requirement 2.1.

Below are the additional steps the reviewer will take in addition to those detailed in the six-month report section above and the [FIP Review Guidelines](#) to review social performance information during the annual report review:

### **Requirement 1.2 Vessel or Fisher Information**

The FIP must provide updated vessel or fisher information as part of each annual report. Additional guidance is below.

| Vessel Information Field, Documents Tab |  |
|---|--|
| Field                                   | Review Process   |
| Documentation                           | <ul style="list-style-type: none"> <li>• Confirm the FIP has uploaded a document with its vessel or fisher information: <ul style="list-style-type: none"> <li>○ It uses the <a href="#">FisheryProgress vessel information template</a>.</li> <li>○ The FIP has fully completed it in accordance with the review process detailed in Section 2.2 above.</li> <li>○ It includes a recent date.</li> <li>○ Note: If there have not been changes to the vessel/fisher information since the last annual report, the FIP only needs to update the date field in the template and reupload the document during the annual report.</li> </ul> </li> <li>• If there are major changes in the FIP’s vessel information, the reviewer may follow up to confirm the cause for the changes.</li> </ul> |
| Document Link (Optional)                | If filled in, this provides a link related to the vessel or fisher information. For example, a link to a public vessel registry.   |
| Document Creation Date                  | Confirm the date provided matches the date indicated in the Overview tab of the uploaded document.   |
| Document                                | If filled in, confirm the text provides detail related to the vessel   |

|                        |  |
|------------------------|--|
| Description (optional) | information but not included in the template, which may include: <ul style="list-style-type: none"> <li>• An explanation of changes.</li> <li>• Confirmation that no changes were made since the last vessel information was submitted.</li> </ul> |
|------------------------|--|

### **Requirement 1.3 Fisher Awareness of Rights**

The FIP must provide an updated description of the FIP’s efforts as part of each annual report by completing an updated [FisheryProgress Fisher Awareness of Rights Template](#) with the annual report section completed. Additional guidance is below.

| <b>Fisher Awareness of Rights Field, Social Performance tab</b> |   |
|---|---|
| <b>Field</b>  | <b>Review Process</b>   |
| Details (Optional)  | If filled in, this provides details related to effectiveness of its efforts to make fishers aware of their rights.  |
| Documentation   | <ul style="list-style-type: none"> <li>• Confirm the FIP has uploaded the <a href="#">FisheryProgress Fisher Awareness of Rights Template</a>, and that: <ul style="list-style-type: none"> <li>○ All required fields were filled in, including the annual report section.</li> <li>○ Information was provided in English.</li> <li>○ The list of actions undertaken is adequate to communicate about the Policy Statement(s) and existing grievance mechanisms and reach all fishers in the FIP.</li> </ul> </li> <li>• Confirm the FIP has uploaded evidence to demonstrate the action(s) it has described in the template (see <b>Appendix A</b> for guidance on acceptable evidence and examples).</li> </ul> |
| Last Updated  | Confirm the date provided is the date the information was updated on FisheryProgress.   |

### **Requirement 1.4 Grievance Mechanism**

During the annual report, the FIP must provide an update on how the grievance mechanism(s) available to fishers in the FIP is working as part of each annual report, including:

- Use of the mechanism.
- Time required to process grievances.
- Any challenges or successes.

This information may be provided either as a document or as site text. Additional guidance is below.

| <b>Grievance Mechanism Field, Social Performance tab</b> |   |
|--|---|
| <b>Field</b>   | <b>Review Process</b>   |
| Last Updated   | Confirm the date provided is the date the information was updated on FisheryProgress. |

|               |  |
|---------------|--|
| Documentation | <ul style="list-style-type: none"> <li>● <b>If the FIP uploads the update as a document:</b> Confirm the update addresses the points noted above.</li> <li>● <b>If the FIP provides a new grievance mechanism:</b> Review the grievance mechanism using the criteria outlined in the initial review section (Section 2.2) of these guidelines.</li> <li>● <b>For other uploaded evidence (optional):</b> Confirm the uploaded evidence demonstrates the action(s) the FIP has described (see <b>Appendix A</b> for guidance on acceptable evidence and examples).</li> </ul> |
| Details       | <ul style="list-style-type: none"> <li>● <b>If the FIP provides the update as site text:</b> Confirm the description addresses the points noted above.</li> <li>● <b>If the FIP uploads the update as a document:</b> The FIP may note the update is provided as an upload, or provide other details related to the effectiveness of the grievance mechanism.</li> </ul>   |

### **Requirement 1.5 Self-Evaluation of Risk Criteria**

The FIP must provide an updated self-evaluation of the risk criteria as part of each annual report by providing results to the [FisheryProgress Self-Evaluation of Risk Criteria](#). Once the FIP lead submits the form, the FIP will receive an email with a PDF copy of the completed form. The FIP must provide the PDF as a document upload. Additional guidance is below.

| <b>Self-Evaluation of Risk Criteria Field, Social Performance tab</b> |  |
|---|--|
| <b>Field</b>  | <b>Review Process</b>  |
| Date Completed  | Confirm the date provided matches the date indicated in the uploaded document.   |
| Documentation   | <ul style="list-style-type: none"> <li>● Confirm a PDF of the most recent self-evaluation is uploaded.</li> <li>● Confirm whether there has been a change in the FIP's status regarding meeting the criteria from the last self-evaluation.</li> </ul> |
| Details (optional)  | If filled in, confirm the text provides detail related to the self-evaluation.   |

Following the review, the reviewer will take the following additional steps:

- **If no changes in status (e.g., did not meet criteria and still does not or did meet criteria and still does),** no additional steps are needed.
- **If there were changes in status so that the FIP did not meet the criteria and now does,** the FIP will report according to the guidance in Section 6.2 ("Changes in a FIP") below. The reviewer will:
  - Update relevant fields in the FIP at a Glance box to note the risk assessment is now required.
  - Update the summary box on the Social Performance tab to reflect the change in status.
  - Confirm directly with the FIP that a risk assessment and workplan (if applicable) will be required during their next annual report.

- **If there were changes in status so that the FIP previously met the criteria and now does not**, the FIP will report according to the guidance in Section 6.2 (“Changes in a FIP”) below. The reviewer will:
  - Update relevant fields in the FIP at a Glance box to note the risk assessment is now voluntary.
  - Update the summary box on the Social Performance tab to reflect the change in status.

**Requirement 2.1 Risk Assessment**

During the annual report, the reviewer will confirm whether the FIP is required to complete a risk assessment as part of the current annual report by confirming whether the FIP meets any of the situations below:

| Situation   | Required documentation   |
|---|--|
| The FIP does not currently have a risk assessment, but the self-evaluation of risk criteria completed in the past 12 months indicated it meets one of the criteria. | A risk assessment of all Core FisheryProgress SRA Indicators is required.                  |
| The FIP submitted a risk assessment during one of the past two annual reports that had SRA indicators that scored at the red level.                                 | An updated risk assessment of the SRA indicators that scored at the red level is required. |
| The FIP has a past risk assessment but has not provided an updated assessment of all indicators it has assessed in the past three years.                            | An updated risk assessment of all indicators the FIP has assessed in the past is required. |

If the FIP does not meet any of these situations, a risk assessment is not required, but a FIP may voluntarily submit one.

| Risk Assessment Field, Social Performance tab |   |
|---|---|
| Field   | Review Process  |
| Documentation                                 | <ul style="list-style-type: none"> <li>● The reviewer will follow the initial review process outlined in Section 3 of these guidelines.</li> <li>● Additionally, the reviewer will review the past three years of scoring (if available) to confirm that <u>at least one</u> red indicator has improved to a medium risk (yellow) level within the past three years. If not, the FIP will be moved to inactive status and alerted via email.</li> </ul> |
| Date Completed                                | Confirm the date provided matches the date indicated in the uploaded document.  |
| Details (Optional)                            | <p>If filled in, this provides details related to the risk assessment, which may include:</p> <ul style="list-style-type: none"> <li>● A brief summary of the findings of the risk assessment, including the number of red indicators.</li> <li>● A summary of changes from the FIP’s past risk assessment(s).</li> </ul>   |

### **Requirement 2.3 Progress Reporting**

During the annual review, FIPs that have developed a social workplan must report on action progress. The reviewer will confirm whether the FIP is required to report on social progress by confirming whether the FIP has a social workplan. For those FIPs that do, the reviewer will use the criteria outlined below in addition to those detailed in the [FIP Review Guidelines](#) to review social performance information during the six-month report review.

| <b>Social Workplan &amp; Progress Reporting Field, Social Performance Tab</b> |  |
|---|--|
| <b>Field</b>  | <b>Review Process</b>  |
| Documentation   | <ul style="list-style-type: none"> <li>● Confirm the FIP has uploaded an updated social workplan document:               <ul style="list-style-type: none"> <li>○ It uses the <a href="#">FisheryProgress social workplan template</a>.</li> <li>○ The FIP has fully and correctly completed all required sections in the template.</li> <li>○ It includes a recent date.</li> </ul> </li> <li>● Review changes/additions to the template and confirm:               <ul style="list-style-type: none"> <li>○ Any updates provided to the workplan itself are in accordance with the review process detailed in Section 2.3.</li> <li>○ The FIP has provided a comprehensive update on progress for all actions and tasks (as applicable).</li> </ul> </li> <li>● Confirm the FIP submitted evidence for completed actions and tasks. The reviewer may also request evidence for progress reported on tasks and actions that are not yet complete (see <b>Appendix A</b> for guidance on acceptable evidence and examples).</li> </ul> |
| Date Completed  | Confirm the date provided matches the date indicated on the cover page of the uploaded document.   |
| Details (optional)  | If filled in, this provides details related to the social workplan and/or progress reporting not included in the template, which may include: <ul style="list-style-type: none"> <li>● A summary of key progress.</li> <li>● Any major changes made to the workplan.</li> </ul>  |

#### *Criteria for reviewing workplans when FIPs submit an updated risk assessment*

If the FIP provides an updated risk assessment, it will also update any scores that have changed in its social workplan. The reviewer will review that information as follows:

- Review the most recent risk assessment against the last one to confirm whether any scores have changed.
- Confirm that the FIP has updated any changed scores in its most recent social workplan.
- **If a red indicator becomes yellow or green**, the FIP may stop reporting on any actions and tasks (if applicable) related to the indicator going forward. No additional evidence is required for score changes, but the justification for the score change must be properly documented in the most recent risk assessment.
- **If the FIP has a new red indicator (either due to expanding the scope of the risk assessment or due to a yellow or green indicator becoming red)**, the reviewer will:
  - Confirm that the FIP has updated its workplan to include at least one action for every new red-scoring indicator.

- Confirm that the new action(s) meet the criteria outlined in the social workplan initial review in Section 3.



## 6. Impact of Changes on the FIP Review Process

### 6.1. Early Reporting

If a FIP would like to report on social performance information (either by reporting on a new information field or by reporting progress in a field it is currently reporting on), the FIP may submit that information for review between report dates. The reviewer will review these requests as availability allows.

As outlined in the [FIP Review Guidelines](#) (pg. 17), if the FIP wants to report progress impacting their social indicator scores, it may request an additional progress review outside of the six- or 12-month time frame, focused only on social indicators. These reviews will not change the FIP's six- and 12-month review deadlines.

### 6.2. Changes in the FIP

Changes may occur over the FIP's life. The reviewer will follow the guidance in the [FIP Review Guidelines](#) (pg. 17) on how to respond to minor and significant scope changes, taking into account any implication on the need for an update to social performance data. In addition, the following changes will require the noted action:

- **New FIP lead and the FIP lead was one of the Policy Statement signatories:** If an FIP lead has changed, ensure the FIP lead has uploaded a new signed Policy Statement. The review of the updated Policy Statement will follow the process for the initial review as outlined in Section 2.1 above.
- **New FIP supply chain participant(s) and the FIP submits a new or revised Policy Statement on behalf of the participant(s) (as outlined in Requirement 1.1):** If the FIP adds new participant(s), ensure the FIP lead has uploaded a new or revised Policy Statement or MOU that reflects the participant and an updated FisheryProgress Policy Statement Description. The review of the new or revised Policy Statement and FisheryProgress Policy Statement Description will follow the process for the initial review as outlined in Section 2.1 above.
- **If a FIP that previously met the criteria for increased risk of forced labor and human trafficking no longer does,** it may submit a new self-evaluation against the criteria so that its profile may be updated. The FIP will continue to be required to meet the requirements outlined in 2.1-2.3 as long as its most recent risk assessment shows existing red indicators.
- **If a FIP that previously did not meet the criteria for increased risk of forced labor and human trafficking now does (flagged either by changes in the FIP or an appeal),** the FIP will be required to reflect that change during its next annual report when it re completes the self-evaluation against the criteria.

### 6.3. Reactivating an inactive FIP

A FIP that is inactive may reactivate its profile by uploading updated materials and completing an annual review, as noted in the [FIP Review Guidelines](#). If the FIP went inactive for any of the reasons below related to social reporting, the FIP must meet the associated requirement noted below:

- **If the FIP did not meet a deadline for completing requirements 2.1 and/or 2.2**, the FIP must complete a full annual review, including meeting the requirements immediately as outlined in the guidelines above.
- **If the FIP did not report regularly as outlined in requirement 2.3**, the FIP must complete a full annual review, including the requirements outlined in the guidelines above.
- **If the FIP did not make sufficient progress (see Section 2 above)**, the FIP must submit an updated risk assessment of all Core FisheryProgress SRA Indicators (or if reporting voluntarily, the indicators the FIP was tracking) and an updated social workplan that explicitly describes how it plans to overcome the challenges it faced before going inactive.

## Appendix A: Guidance on Acceptable Evidence and Examples

We encourage FIPs to submit evidence English. If it is not, the evidence is subject to secondary review and may take longer to publish on the site. Guidance on evidence is below.

- **Credible evidence.** Evidence must meet the following criteria to be acceptable:
  - Be documented in writing.
  - Have a date.
  - Have a source (e.g., person, organization).
  - Have a contact person who can verify it.
  - Be publicly available. If not publicly available, there must be a way to make it public on FisheryProgress with appropriate anonymizing. Any evidence submitted must not include personally identifiable information or any other confidential information. If the only available evidence for an action or task includes this confidential information, the FIP may contact the reviewer to discuss options for verifying it.
  
- **Examples of evidence.** This will vary depending on the action/task or proposed activities. The following are examples of different kinds of evidence:
  - Signed agreements with consultants, government agency staff, or other individuals demonstrating progress on specific activities such as research.
  - Meeting or training agendas, notes, and/or participant lists.
  - Letters sent to government agencies, suppliers, or other entities.
  - Credible media articles, blog posts, and/or statements posted on a website.
  - White papers, summary reports, rapid assessments, data analyses, or social impact assessment reports or studies.
  - Data collection protocols or raw data.
  - Official government laws, regulations, or policies.
  - Evidence of trainings (documented with agendas and participant signatures)
  - Internal or external policies or templates (e.g., handbooks, onboarding materials, worker contracts).
  - Evidence of worker interviews (e.g., a summary report of findings).
  - Links to videos or photos (e.g., demonstrating improvements, new gear, new health and safety equipment, meetings, announcements on bulletin boards or landing sites).
  - Signed agreements (e.g., with community members, with service providers).

**Note that For SRA indicators, the only acceptable evidence is an updated risk assessment** showing a changed indicator score completed by someone with the relevant expertise, as defined in the [Qualifications for Conducting Risk Assessments and Creating Social Workplans](#).

## Appendix B: Guidance for FIPS With Audits Through Other Standards

FIPs that conduct social assessments via other social certifications and standards may use their pre-assessments and audits to complete the [FisheryProgress risk assessment](#). This appendix provides guidance for FIPs on how to use existing assessment information to complete the risk assessment and for the reviewer on how to review submitted documentation.

### **Recognized Programs**

ELEVATE is developing several equivalency guides to map commonly used fishery social programs and certifications to the SRA. Learn more about these guides [here](#).

By following the guidelines below and the mapping outlined in the relevant equivalency guide, FIPs can use the data collected from an informal or formal audit of one of these recognized programs to complete the risk assessment.

### **Completing the Risk Assessment Using a Formal or Informal Audit Without Certification**

FIPs are not required to be certified to use assessments completed as part of a fishery social program or certification program. FIPs that have not yet received certification/passed the audit process but that have a formal or informal audit (also known as a pre-assessment or internal audit) conducted against a recognized program may use the information included therein to complete the risk assessment under the following conditions:

- The audit is from a fishery social program or certification that currently has an SRA equivalency guide.
- The audit was conducted by an individual or team who meets the [qualifications for conducting risk assessments and creating social workplans](#) and is qualified to conduct audits against the relevant program.
- The audit was conducted within the past 12 months.
- The [risk assessment template](#) is completed as follows:
  - Methodology
    - Assessment Team: Note who completed the audit or certification report.
    - Data Collection Methodology: Note that the risk assessment was completed based on an audit conducted against the recognized program.
    - Scoring Methodology: Note that the scoring levels obtained were determined based on the relevant equivalency guide and the results of the audit.
  - Indicators
    - Score: The FIP uses the relevant equivalency guide and the information provided in the audit report to complete the relevant SRA scoring guideposts. Any scoring guideposts not covered by the recognized program must be evaluated separately or otherwise must be scored at the red/high-risk scoring level.
    - Source: Note the audit report as a source for all relevant indicators, including the date of the report.
    - Justification: Provide the information in the audit report that justifies the scoring level obtained.
- Evidence:
  - If the risk assessment template was completed by an individual or team who does not meet the [qualifications for conducting risk assessments and creating social workplans](#), a copy of the audit must be provided. FIPs must ensure that

- the information provided is exclusive of sensitive information that should not be in the public domain. The FIP may request that this information remain confidential.
- If the risk assessment template was completed by an individual or team who meets the [qualifications for conducting risk assessments and creating social workplans](#), an attestation must be provided from the qualified individual or team indicating they have accurately transferred the information.

### **Completing the Risk Assessment Using a Formal Audit That Resulted in Certification**

FIPs that have received certification from a recognized program may use their formal audit report to complete the risk assessment under the following conditions:

- The audit and certification are from a fishery social program or certification that currently has an SRA equivalency guide.
- The audit was conducted by an individual or team who meets the [qualifications for conducting risk assessments and creating social workplans](#) and is qualified to conduct audits against the relevant program.
- The risk assessment template is completed as follows:
  - Methodology
    - Assessment Team: Note who completed the audit or certification report.
    - Data Collection Methodology: Note that the risk assessment was completed based on an audit conducted against the recognized program that resulted in certification.
    - Scoring Methodology: Note that the scoring levels obtained were determined based on the relevant equivalency guide.
  - Indicators
    - Score: The FIP uses the relevant equivalency guide to complete the relevant SRA scoring guideposts. Any scoring guideposts not covered by the recognized program must be evaluated separately or otherwise must be scored at the red/high-risk scoring level.
    - Source: Note the audit report as a source for all relevant indicators, including the date of the report.
    - Justification: Note that certification against the recognized program has been awarded.
- Evidence: A copy of the certification issued from the conformity assessment body, qualified auditor, or program owner. A copy of the audit report is typically not required, but additional information or evidence may be needed for programs that do not have fixed implementation timelines.