

IMPLEMENTING THE SRA FOR FIPS

ELEVATE & FishChoice

March 8, 2022

Agenda

- 01 Navigating the Risk Assessment Process
- 02 How to conduct your SRA
- 03 SRA Resources
- 04 Q&A Session

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HUMAN RIGHTS AND SOCIAL RESPONSIBILITY POLICY

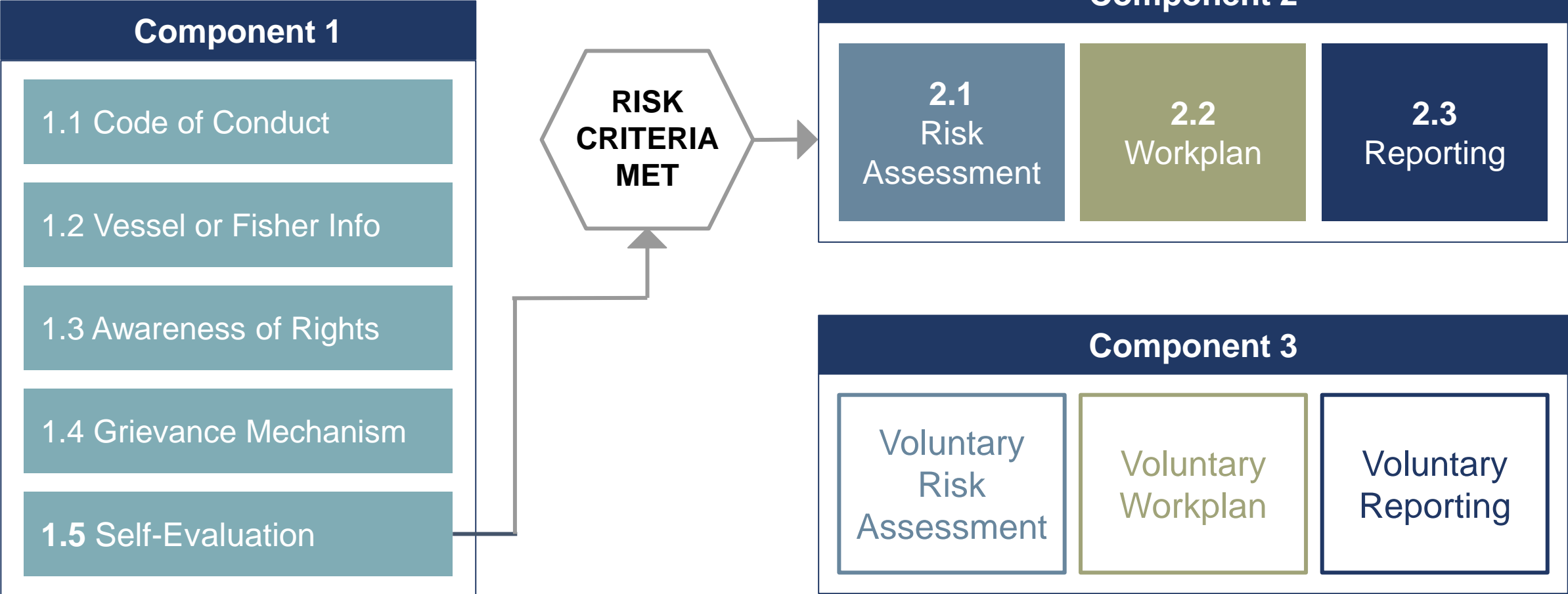
Version 1.0

Released May 12, 2021

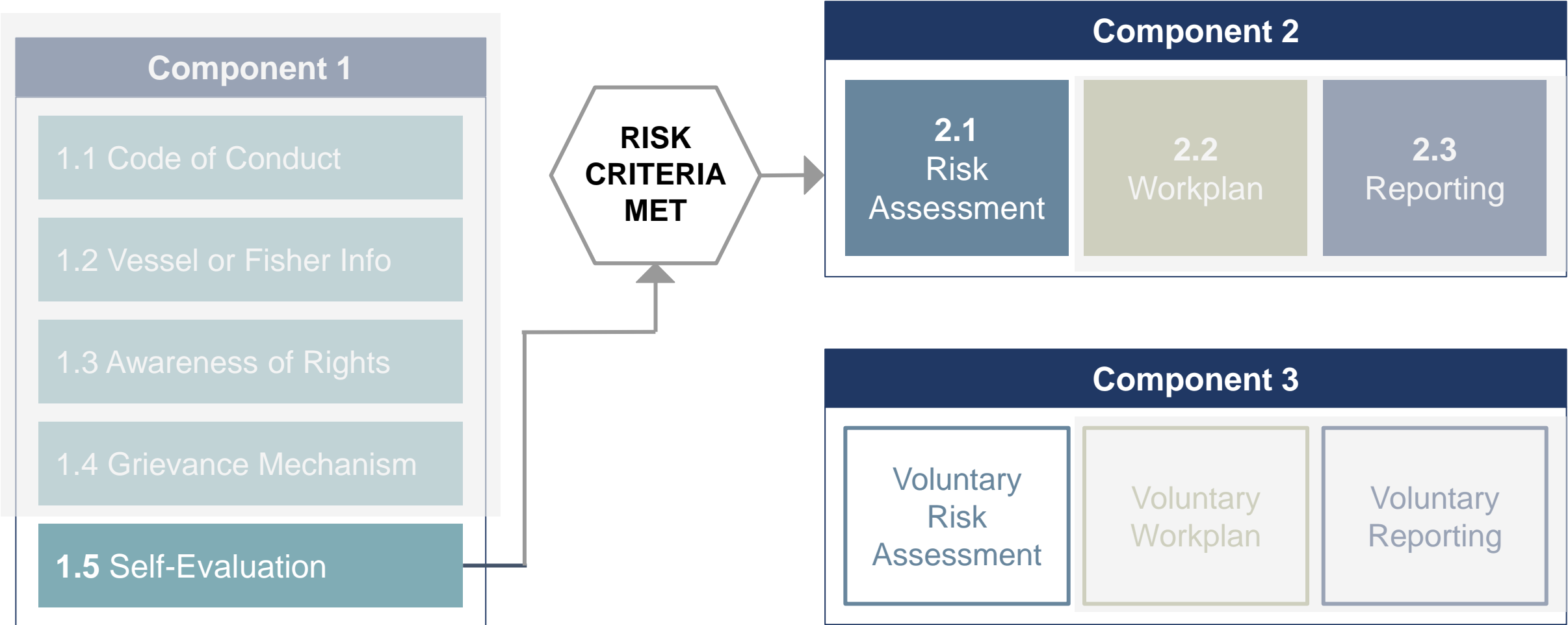
www.fisheryprogress.org
contact@fisheryprogress.org

Navigating the Risk Assessment Process

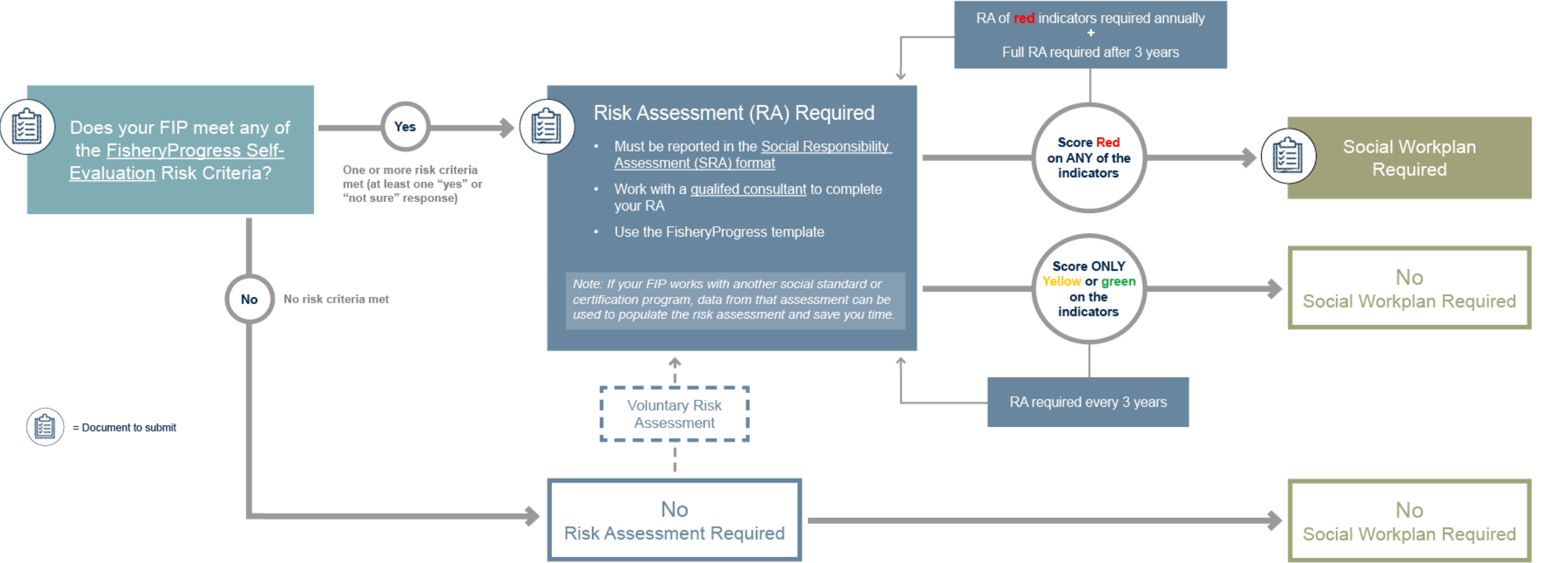
Policy Overview



Policy Overview: Risk Assessment



Navigating the Risk Assessment Process



Requirement 1.5

All FIPs must complete a Self-Evaluation of Risk Criteria to be listed as active on FisheryProgress

Requirement 2.1

Complete a risk assessment using the Social Responsibility Assessment (SRA) Tool

Requirement 2.2

FIPs that score **red** on any of the indicators, must create a social workplan that describes the actions it will undertake to improve scores to at least the yellow level on the SRA.

Which FIPs must complete Requirement 2.1?

Requirement 1.5

All FIPs must complete a [Self-Evaluation of Risk Criteria](#) to be listed as active on FisheryProgress



Does your FIP meet any of the [FisheryProgress Self-Evaluation](#) Risk Criteria?

Which FIPs must complete Requirement 2.1?

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Self-Evaluation of Risk Criteria

Version 1.0, May 2021

FIP Name

Indonesia Indian Ocean yellowfin tuna –
handline

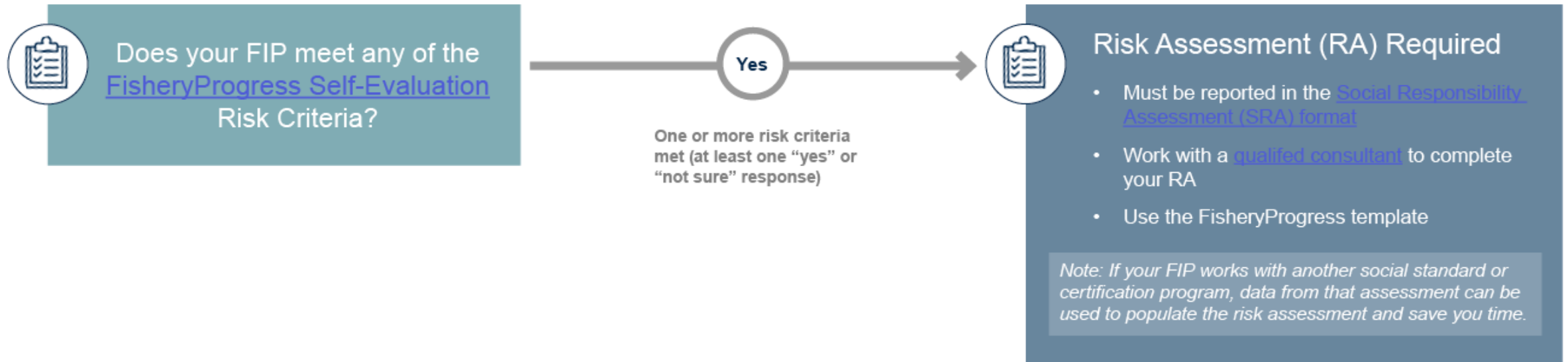
FIP ID Number

9012

FisheryProgress Risk Criteria

1. There is at-sea transshipment of product and/or fishers among large vessels in the FIP.	No
2. The FIP has one or more vessels with a significant foreign migrant workforce (defined as 25% or more of fishers are not citizens of the vessel's flag state).	No
3. The FIP has one or more vessels where fishers are not allowed on shore at least once every 90 days.	No
4. The fishery has a known instance of forced labor, child labor, or human trafficking within the past four years.*	No

Which FIPs must complete Requirement 2.1?



FIPs that meet one or more risk criteria must complete a risk assessment of the Core FisheryProgress SRA Indicators

What must those FIPs assess?



**PROTECT HUMAN RIGHTS,
DIGNITY, AND
ACCESS TO RESOURCES**



**ENSURE EQUALITY
AND EQUITABLE
OPPORTUNITY TO BENEFIT**



**IMPROVE FOOD
AND LIVELIHOOD
SECURITY**

What must those FIPs assess?

1: Protect Human Rights and access to resources

1.1 Human and labor rights	1.1.1 Abuse and harassment*
	1.2.2a Human trafficking and forced labor*
	1.2.2b Debt bondage in small-scale fisheries*
	1.1.3 Child labor*
	1.1.4 Freedom of association and collective bargaining*
	1.1.5 Earnings and benefits*
	1.1.6 Adequate rest*
	1.1.7a Access to basic services for worker housing*
	1.1.7b Access to basic services for small-scale fishing communities
	1.1.8 Occupational safety*
	1.1.9 Medical response*
1.2 Access Rights	1.2.1 Customary resource use rights*
	1.2.2 Corporate responsibility and transparency

2: Ensure equality and equitable opportunity to benefit

2.1 Equality	2.1.1 Grievance reporting and access to remedy*
	2.1.2 Stakeholder participation and collaborative management
2.2 Equity	2.2.1 Equitable opportunity to benefit
	2.2.2 Discrimination*

The 13 SRA Performance Indicators highlighted in blue and noted with an asterisk (*) are the Core FisheryProgress SRA Indicators.

What must those FIPs assess?

1: Protect Human Rights and access to resources

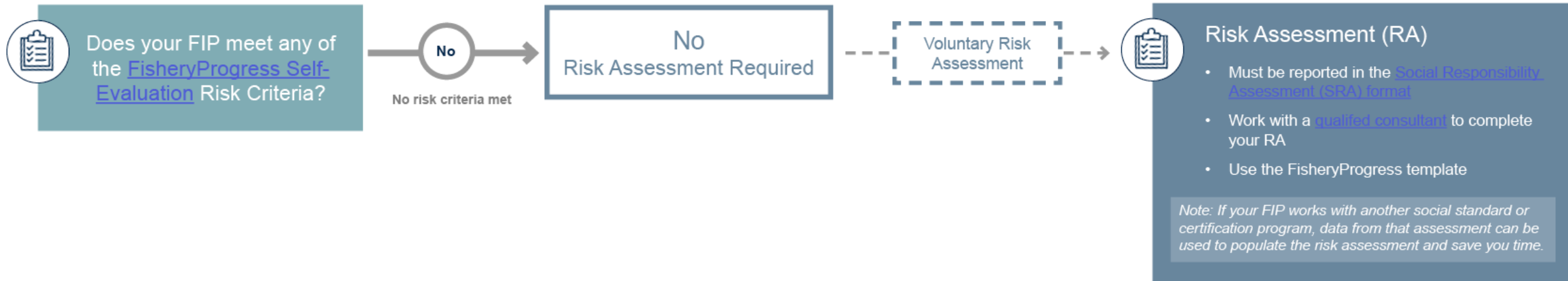
1.1 Human and labor rights	1.1.1 Abuse and harassment*
	1.2.2a Human trafficking and forced labor*
	<div><div></div><div>The applicability of c on the character</div></div>
	1.1.7b Access to basic services for small-scale fishing communities
	1.1.8 Occupational safety*
	1.1.9 Medical response*
1.2 Access Rights	1.2.1 Customary resource use rights*
	1.2.2 Corporate responsibility and transparency

2 : Ensure equality and equitable opportunity to benefit

2.1 Equality	2.1.1 Grievance reporting and access to remedy*
	2.1.2 Stakeholder participation and collaborative management

Indicators highlighted in blue and noted with an asterisk (*) are the Core FisheryProgress SRA Indicators.

Can other FIPs report on a risk assessment?



FIPs that do not meet any risk criteria *may* complete a risk assessment of any or all indicators in the SRA (Component 3)

What format is required for the risk assessment?

[Fishery improvement project name]
Social Responsibility Assessment Tool
for the Seafood Sector
Risk Assessment Results

Template Version 1.0, May 2021

[Author(s)]
[Date created]

ELEVATE

Social Responsibility Assessment (SRA) Tool
Final Assessment Report

Final Report Date: 2/4/2022

Unit of Assessment (UoA) Information

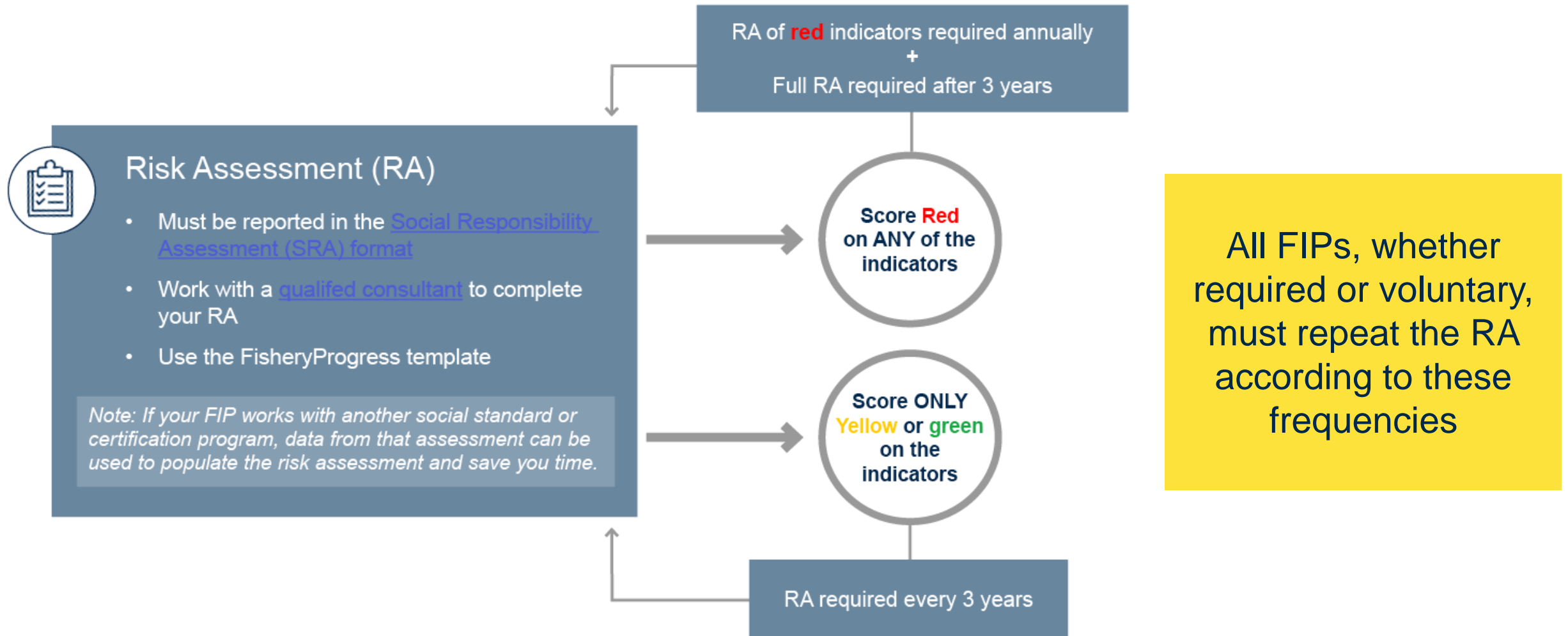
UoA Name: Excellent Fishing Co., LLC
Contact Name: Firstname Lastname
Contact Information: lastname@email.com
Fishery Improvement Project ID: 10101
Fishery Improvement Project Name: Amazing FIP

Assessment Information:

Lead Assessor: Jane Doe
Assessor Organization: ELEVATE
Assessment Start Date: 2/15/2022
Assessment End Date: 2/22/2022

FIPs can use either the FisheryProgress template or the ELEVATE SRA assessment template.

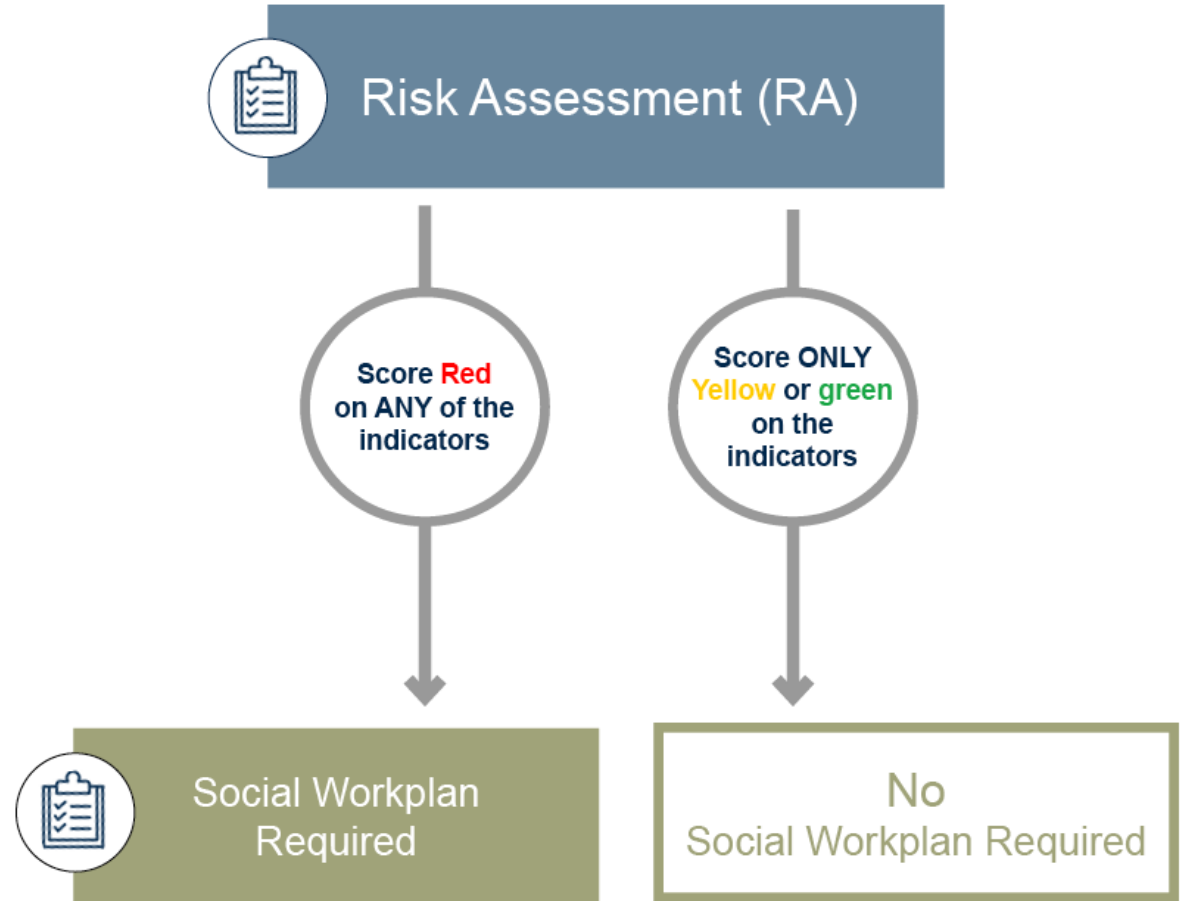
How frequent must the risk assessment be repeated?



Which FIPs must complete Requirement 2.2?

For all **red-scoring indicators**, the FIP must create a social workplan that describes the actions it will undertake to improve scores to at least the yellow level on the SRA.

FIPs with social workplans must report on progress every six months



What format is required for the social workplan?

[Fishery improvement project name]

Social Workplan

Template Version 1.0, April 2021

Workplan Overview

Performance indicators marked with an * align with the FisheryProgress Human Rights Code of Conduct.



Component	PI	Performance Indicator	Score	Action #
Principle 1: Protect human rights, dignity and access to resources				
1.1 Human and labor rights	1.1.1*	Abuse and harassment		1, 3
	1.1.2a*	Human trafficking and forced labor		1, 4
	1.1.2b*	Debt bondage in small-scale fisheries		
	1.1.3*	Child labor		
	1.1.4*	Freedom of association and collective bargaining		
	1.1.5*	Earnings and benefits		1, 4
	1.1.6*	Adequate rest		1, 4
	1.1.7a*	Access to basic services for worker housing/ live-aboard vessels		
	1.1.7b*	Access to basic services for small-scale fishing communities		
	1.1.8*	Occupational safety		
	1.1.9*	Medical response		
1.2 Access Rights	1.2.1*	Customary resource use rights		
	1.2.2	Corporate responsibility and transparency		
Principle 2: Ensure equality and equitable opportunity to benefit				
2.1 Equality	2.1.1*	Grievance reporting and access to remedy		2, 5
	2.1.2	Stakeholder participation and collaborative management		
2.2 Equity	2.2.1	Equitable opportunity to benefit		
	2.2.2*	Discrimination		3
Principle 3: Improve food, nutrition, and livelihood security				
3.1 Food and nutrition security	3.1.1a	Food and nutrition security impacts of industrial fisheries		
	3.1.1b	Food and nutrition security for small-scale fishing communities		
	3.1.2	Healthcare		
	3.1.3	Education		
3.2 Livelihood security	3.2.1	Benefits to and within community		
	3.2.2	Economic value retention		
	3.2.3	Long term profitability and future workforce		
	3.2.4	Economic flexibility and autonomy		
	3.2.5	Livelihood security		
	3.2.6	Fuel resource efficiency		

Who can conduct the risk assessment and workplan?

1. The necessary language, personal, and social science skills to be competent in conducting fisher interviews and document review.
2. Understanding of human rights and labor rights standards.
3. Understanding of root causes and connections among different risk indicators.
4. Experience screening for indicators of human trafficking, forced and bonded labor, child labor, and other forms of human rights abuse.
5. Not an employee, employer, or buyer with a financial or commercial interest in the FIP.

Assessors must also complete a training on the SRA

Who can conduct the risk assessment and workplan?

Visit FisheryProgress
to download qualifications

FISHERYPROGRESS.ORG

Qualifications for Conducting Risk Assessments and Creating Social Workplans

Version 1.0
May 2021

The risk assessment and social workplan must be completed by an individual or team with the required expertise. The required expertise depends on which indicators are assessed or planned for improvement:

- **For all [Social Responsibility Assessment Tool \(SRA\)](#) indicators aligned with the [Code of Conduct](#):** Each indicator was assessed by an individual or team who meets the qualifications defined below.
- **For all other SRA indicators:** Each indicator was assessed by an individual or team as appropriate based on the SRA's guidance for what expertise and experience is best to evaluate each indicator.

Best Practice

Fishery trade unions, social auditors, or worker rights organizations are the preferred party to lead the human rights risk assessment and workplan development. However, a technical support organization or nonprofit actor participating in or leading the FIP may undertake the assessment and develop the workplan.

For all SRA indicators aligned with the Code of Conduct, the assigned individual or team of individuals (inclusive of interpreters when needed) must collectively have the following qualifications, outlined in the table below. The assigned individual or team must demonstrate that it meets these requirements by providing either a CV that lists relevant qualifications or a written summary of the qualifications relevant to each criterion below. FisheryProgress reserves the right to request proof of training as necessary.

Qualification	Demonstrated By
<ol style="list-style-type: none">1. The necessary skills to be competent in conducting fisher interviews and document review.2. Understanding of human rights and labor rights standards, including relevant, current, local labor laws.3. Understanding of root causes and connections among different risk indicators.	<p>Meeting <u>one</u> of the following:</p> <ol style="list-style-type: none">1. Demonstrate social auditing experience, such as:<ol style="list-style-type: none">a. Be an approved social auditor:<ol style="list-style-type: none">i. An APSCA Member in good standingii. An approved auditor for a recognized social program (e.g. AENOR APR, Fair Trade Capture Fisheries Standard, RFVS, STF Vessel Auditable Standard, Thai Union Vessel

When are the risk assessment and workplan due?

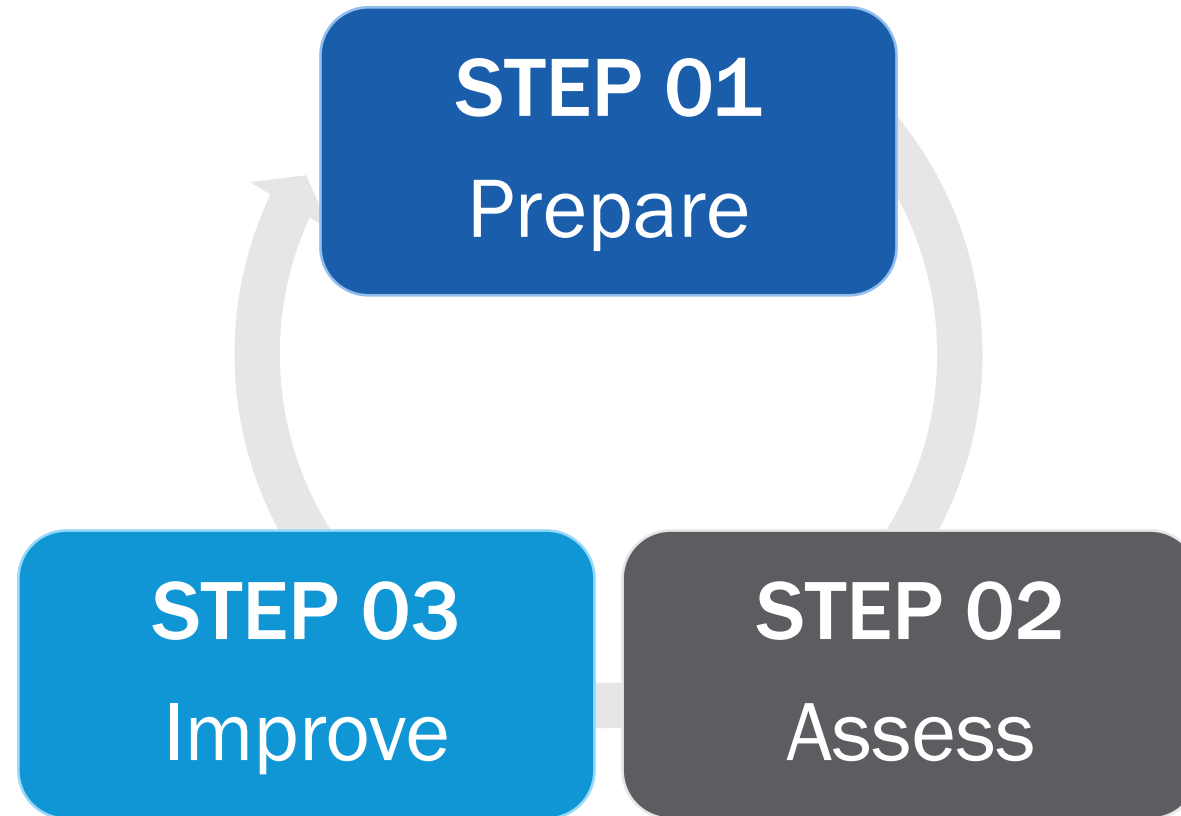
Requirement	Initial Review	Evaluating Progress
2.1 Risk Assessment	12 months after meeting 1 or more risk criteria	Red – repeat annually Yellow/green – repeat every 3 years
2.2 Workplan	12 months after meeting 1 or more risk criteria	Update as needed
2.3 Progress Reporting	6 months after submitting a workplan	Every six-month report until at yellow/green

Specific deadlines for FIPs to meet requirements vary according to their unique reporting schedules.

HOW TO CONDUCT YOUR SRA

THE SRA PROCESS

There are three main stages to completing your SRA:



STEP 01: PREPARE - CHECKLIST



Find an assessor/assessment team

- + Must meet certain qualifications
- + Must be trained on the SRA



Build your knowledge on the SRA

- + FIP leads and assessors should get comfortable with SRA
- + FIP leads and assessors should be aware of the guidance and supporting documentation for the SRA.



Define the Unit of Assessment

- + Based on target stock, gear type, individuals included, landing sites, vessels, processing, aquaculture included.



Determine Sampling

- + Based on the number of individuals, vessels (where applicable), and sites, determine the number of interviews at each site and the number of vessels to be inspected



Determine Applicable SRA Indicators

- + Using the decision tree on page 7 of the SRA, the implementer, along with the assessor, should determine which requirements need to be assessed.



Determine assessment schedule & plan

- + The assessment should take place during peak season
- + See the *SRA Assurance Guidance* for estimated assessment length based on sample and scope.
- + Cost will be determined according to the assessment schedule
- + Work with the assessor to schedule a time for the assessment

Color coding:

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STEP 01: PREPARE

Find Assessor / Assessment team

Be sure to review the FisheryProgress assessor qualifications policy to ensure the assessor you are working with is accepted for FisheryProgress reporting.

Where should you look to find an assessor?

The recommended way to find an assessor with the appropriate social auditing experience is to look for recognized or accredited auditing firms.

This includes:

- + An assessor that is actively a member of [APSCA](#)
- + A conformity assessment body (CAB) that is accredited by [ISO 17065](#) or [ASI](#)
- + An auditing firm that is approved / recognized to implement a social program, such as Fair Trade USA, RFVS, or APR, among others. Some examples include:
 - + [SCS Global Services](#)
 - + [Control Union](#)
- + This includes social auditing experience in other sectors such as agriculture (e.g. Fair Trade USA, EFI, Rainforest Alliance, etc.), however, ***reminder that there must be at least one person on the assessment team that has fishery knowledge***. Some examples include:
 - + [ELEVATE](#)

FishChoice and ELEVATE are working to develop a list of qualified assessors, along with contact information, so you can find someone for your assessment.



STEP 01: PREPARE

Find Assessor / Assessment Team

Be sure to review the assessor's qualifications to ensure they are accepted for FishChoice.

Assessors / assessment teams will have to be approved by FishChoice to ensure all qualifications are met.

Send assessor / assessment team details to

contact@fisheryprogress.org or

SRAsupport@elevatelimited.com to request approval.

The recommended assessor should be recognized or accredited by a relevant authority.

This includes:

- + An assessor that is a member of a recognized body
- + A conformity assessment body
- + An auditing firm that is a member of a recognized body

examples include:

- + SCS Global Services [link]
- + Control Union [link]
- + This includes social auditing experience in other sectors such as agriculture (e.g. Fair Trade USA, EFI, Rainforest Alliance, etc.), however, ***reminder that there must be at least one person on the assessment team that has fishery knowledge.*** Some examples include:
 - + ELEVATE [link]

FishChoice and ELEVATE are working to develop a list of qualified assessors, along with contact information, so you can find someone for your assessment.



STEP 01: PREPARE

Choosing an Assessor

Depending on how the FIP is managed, the assessment may be conducted differently:

- 1) A FIP managed by industry representatives: the assessment should be conducted by a third-party assessment firm and/or a qualified, third-party NGO.
- 2) A FIP managed by a third-party: the assessment can either be conducted by the third-party's staff or they can choose to hire a third-party assessment firm.

If you are number 2) above, the following is a list of benefits and challenges to consider when making the decision:

	Benefits	Challenges
Internal Assessment	<ul style="list-style-type: none">+ May be more cost effective+ Coordination and planning may be more efficient+ First-hand experience with on-site operations, which can be beneficial when outlining an improvement plan and building direct relationships with workers/fishers/farmers+ Can serve as a pre-assessment to build knowledge of gaps prior to engaging with a third party	<ul style="list-style-type: none">+ Credibility and consistency+ Inherent bias due to a vested interest in assessment outcomes+ Interviewees may not wish to share information with staff associated with management, leading to inaccurate assessment results+ Lack of auditing experience (this may not always be the case)
Third-party Assessment	<ul style="list-style-type: none">+ More likely to be accepted by external parties as a credible risk assessment+ A third-party specializing in social assessments may have more experience, which may lead to higher-quality assessments+ Minimization of bias due to lack of vested interest in the assessment+ Interviewees may be more open with an objective third-party who is not directly associated with management	<ul style="list-style-type: none">+ Higher costs (including travel and out of pocket expenses)+ Coordination and planning may take longer

STEP 01: PREPARE - CHECKLIST



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STEP 01: PREPARE

SRA Training

Different stakeholders in the assessment should be trained on the SRA before the assessment:

Assessors / Assessment Team

- An assessor must be trained on the SRA to meet FP requirements.
- ELEVATE is offering trainings to assessors to get qualified.

FIP Leads

- CI & Verite have developed SRA Modules that can build knowledge on the SRA.

Fishers and/or worker representatives

- While fishers need not know about the SRA specifically, they should be trained on their rights according to the topic areas covered in the SRA. This can be flexible in implementation and facilitated by worker representatives where present.
- Fishers should be aware that an assessment is taking place and they may be interviewed. They should also be informed their participation is voluntary and they will not be retaliated against for participating.

Note that there are several resources available on the RISE webpage that can build knowledge on the SRA and are highly recommended for any stakeholder involved. These resources are summarized on Slide 48 of this slide show and will be reviewed.



STEP 01: PREPARE

Getting acquainted with the SRA format

Reading the SRA

Principles, Components, Indicators, and Performance Indicator Scoring Guideposts (PISGs) build out what is known as the *Default Assessment Tree* which is the framework by which the SRA determines risk. Each Indicator is followed by a list of relevant definitions that are used in the PISGs of that Indicator.

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

Component 1.1: Fundamental human rights are respected, labor rights are protected, and decent living and working conditions are provided, particularly for vulnerable and at-risk groups

Indicator 1.1.1: Abuse and harassment³



STEP 01: PREPARE

Getting acquainted with the SRA format

Reading the SRA cont.

It is the PISGs that form the content of an assessment. *It is the PISGs that an assessor will collect evidence to determine the overall risk level.*

There are three categories of PISGs:

HIGH RISK

MEDIUM RISK

LOW RISK

Once data is collected for all the PISGs of an indicator, a risk level can be determined at the indicator level.

		with drugs.
YELLOW: MEDIUM RISK (60-79)	SRA1.1.1 S1	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, and interviews in a safe for the assessment team and affected workers/fishers,
	SRA1.1.1 S2	AND - migrant status is not used as a threat or tool of coercion,
	SRA1.1.1 S3	AND - There is no corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based violence, sexual harassment, or any other form of harassment, including excessive or abusive disciplinary action, and fisheries observers (when present) are able to conduct duties free from assault, harassment, interference, or bribery,
	SRA1.1.1 S4	AND - Workers/fishers/farmers' families or community members are not threatened by employers, buyers, labor brokers, or organized crime,
	SRA1.1.1 S5	AND - There is no forced drug use, or labor and/or product is not compensated for with drugs.
+	SRA1.1.1 S6	There is a written policy publicly disclosed, posted in all languages with



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STEP 01: PREPARE

Determining the Unit of Assessment

The Unit of Assessment (UoA) is primarily defined in alignment with the Marine Stewardship Council UoA, which means it is aligned with the current FIP definition of UoA. This includes:

Due to the nature of a social assessment and the focus on the individuals, the following are the secondary factors that will define the UoA for the SRA:

Target stock(s)



Gear type



Individuals



Vessels/Sites



(incl. landing sites)

Due to the nature of a social assessment, some other factors may be taken into consideration. **Therefore, a FIP has the option to either mirror the SRA UoA to the environmental FIP, or to establish multiple UoAs within one environmental FIP.** Some factors to take into consideration when choosing between options:

Management
Entities



Regional
Differences



Fisheries
Management



Jurisdiction



Labor Type



STEP 01: PREPARE

Determining the Unit of Assessment

The Unit of Assessment (UoA) is primarily defined in alignment with the Marine Stewardship Council (MSC) standards and the current FIP definition.

Due to the nature of a social assessment and the focus on the social impacts that will define the UoA, the SRA UoA is defined by the social impacts that will define the UoA.

Determining the Unit of Assessment is one of the most challenging parts of implementing the SRA.

Feel free to reach out to

SRAsupport@elevatelimited.com to help support as you define the UoA.

Due to the nature of a social assessment and the focus on the social impacts that will define the UoA, the SRA UoA is defined by the social impacts that will define the UoA.

ites
sites)

on to either mirror the
consideration when

Management
Entities



Regional
Differences



Fisheries
Management



Sanitation



Labour type



STEP 01: PREPARE

Sampling

Once you have determined the Unit of Assessment, it is time to determine a representative sample time. This is important to plan for an assessment as the number of individuals interviewed, vessels inspected, and sites visited are the key variables to determine assessment length.

There are several methods to determine a representative sample. It is important to record which sample is used and the source when conducting your SRA. Below are some sampling methodology examples.

ELEVATE Sampling Example



Number of interviews
at each site



Number of records
reviewed at each site

Workforce	Sample
1-99	5
100-999	15
1000-4999	25
5000+	40



Number of vessels at
each site

Vessel sample = $\sqrt{\text{total number of vessels}}$

Other Open Access Sampling Methods:

- + SAI (Table 9): https://sa-intl.org/wp-content/uploads/2021/10/SAAS_Procedure_200_v-4.2_March.2020.pdf
- + Fairtrade International (Table C1): https://files.fairtrade.net/standards/ASSU_ReqAssuranceProviders_EN.pdf
- + Sedex (6.5.3.1): <https://www.sedex.com/wp-content/uploads/2019/05/SMETA-6.1-Best-Practice-Guidance.pdf>
- + Aquaculture Stewardship Council (ASC): <https://www.asc-aqua.org/wp-content/uploads/2018/06/ASC-multi-site-sample-size-combined-calculator.xlsx>



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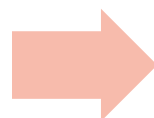


STEP 01: PREPARE

Determine Applicable SRA Indicators

According to the purpose of the assessment, which SRA Indicators are relevant?

- E.g. FIPs reporting on FisheryProgress only need report on certain indicators defined in the Social Policy.



Based on certain characteristics of the UoA, some SRA indicators will not be applicable

- Determined according to the Decision Tree in the SRA on page 7 (see diagram)

UoA characteristics considered:

- + Scale
- + Recruitment
- + Contracts with employers
- + Waged vs. self-employed
- + Employer-provided housing / live aboard vessel
- + Operating in a customary use area
- + Enterprise / business structure
- + Marginalized groups / women present

PI	SCORING GUIDANCE	PERFORMANCE INDICATOR	
1.1.1	Score for all fisheries/farms	Abuse and harassment	✓
1.1.2a	Is the fishery/farm industrial or medium scale with labor recruitment from other countries and/or contracts with employers likely?	If YES, score 1.1.2a Human trafficking and forced labor	
1.1.2b		If NO, score 1.1.2b Debt bondage in small-scale fisheries	
1.1.3	Score for all fisheries/farms	Child labor	✓
1.1.4	Score for all fisheries/farms	Freedom of association and collective bargaining	✓
1.1.5	Are workers or farmers wage workers?	If YES, score 1.1.5 Earnings and benefits	
1.1.6	Are workers or farmers self-employed?	If NO, score 1.1.6 Adequate rest	
1.1.7a	Does the fishery/farm provide worker housing or require live-aboard vessel time?	If YES, score 1.1.7a Access to basic services for worker housing/live-aboard vessels	
1.1.7b		If NO, score 1.1.7b Access to basic services for small-scale fishing communities	
1.1.8	Score for all fisheries/farms	Occupational safety	✓
1.1.9	Score for all fisheries/farms	Medical response	✓
1.2.1	Does the fishery/farm operate within or adjacent to a customary use area?	If YES, score 1.2.1 Customary resource use rights	
1.2.2	Does the fishery/farm constitute a single taxable enterprise or business?	If YES, score 1.2.2 Corporate responsibility and transparency	
2.1.1	Score for all fisheries/farms	Grievance reporting and access to remedy	✓
2.1.2	Score for all fisheries/farms	Stakeholder participation and collaborative management	✓
2.2.1	Does the fishery/farm employ women or other marginalized groups (i.e., migrants, ethnic, or religious minorities)?	If YES, score 2.2.1 Equitable opportunity to benefit	
2.2.2	Score for all fisheries/farms	Discrimination	✓
3.1.1a	Does the fishery/farm operate adjacent to or offshore of a marine/coastal resource-dependent community(ies) (within the country's EEZ) and is industrial to medium-scale?	If YES, score 3.1.1a Food and nutrition security impacts of industrial fisheries	
3.1.1b	Does the fishery/farm pertain to a marine/coastal resource-dependent community(ies)?	If YES, score 3.1.1b Food and nutrition security for small-scale fishing communities	
3.1.2		If YES, score 3.1.2 Healthcare	
3.1.3		If YES, score 3.1.3 Education	
3.2.1		If YES, score 3.2.1 Benefits to and within community	
3.2.2	Is the fishery/farm operating for subsistence purposes only?	If NO, score 3.2.2 Economic value retention	
3.2.3		If NO, score 3.2.3 Long-term profitability and future workforce	
3.2.4	Do fishers/farmers or their organization (i.e., cooperative, association, etc.) sell their own product?	If YES, score 3.2.4 Economic flexibility and autonomy	
3.2.5	Is the fishery/farm contributing to local livelihood security?	If YES, score 3.2.5 Livelihood security	
3.2.6	Is the fishery/farm operating for subsistence purposes only?	If YES, score 3.2.6 Fuel resource efficiency	



STEP 01: PREPARE

Equivalency Mapping

ELEVATE has developed Equivalency Mapping to support FIPs that are audited against the following social programs:

- + The Responsible Fishing Vessel Standard, version 1.0 – June 2020 ([PDF](#))
- + The Fair Trade USA Capture Fisheries Standard, version 1.1.0 ([PDF](#))
- + The AENOR Atun de Pesca, 195006:2016 ([PDF](#))

Findings from audit reports from the standards above can be used as evidence to demonstrate alignment with relevant SRA Indicators. During the Preparation stage, the Equivalency Mapping can be used to map out how previous assessments can be used to determine where additional evidence will need to be gathered during the SRA.



STEP 01: PREPARE - CHECKLIST



Find an assessor/assessment team

- + Must meet certain qualifications
- + Must be trained on the SRA



Build your knowledge on the SRA

- + FIP leads and assessors should get comfortable with SRA
- + FIP leads and assessors should be aware of the guidance and supporting documentation for the SRA.



Define the Unit of Assessment

- + Based on target stock, gear type, individuals included, landing sites, vessels, processing, aquaculture included.



Determine Sampling

- + Based on the number of individuals, vessels (where applicable), and sites, determine the number of interviews at each site and the number of vessels to be inspected



Determine Applicable SRA Indicators

- + Using the decision tree on page 7 of the SRA, the implementer, along with the assessor, should determine which requirements need to be assessed.



Determine assessment schedule & plan

- + The assessment should take place during peak season
- + See the *SRA Assurance Guidance* for estimated assessment length based on sample and scope.
- + Cost will be determined according to the assessment schedule
- + Work with the assessor to schedule a time for the assessment

Color coding:

ASSESSORS

IMPLEMENTERS

ASSESSORS & IMPLEMENTERS



STEP 01: PREPARE

Assessment Planning

Duration

There is a limited sample of assessments that have taken place, however the duration of these assessments ranged from 12-17 days to assess the entire SRA.

The following is some general guidance to help you estimate the duration of an assessment based on the sample size:

Add 1 day for every 10 interviews in the sample per site

Add 1 day for every 10 vessels in the sample per site

Add 1 day for every 5 sites in the Unit of Assessment

Add 1 day when the travel time between sites exceeds 5 hours

Add 1 day for reporting writing and a 0.5 day for desk research

Note that there is more detailed guidance to determine this estimate in the *SRA Assurance Guidance*.

Timing

It is important to conduct the assessment *during peak season*. There are many reasons this is important:

- + Key demographics of workers are only present during peak season (temporary or migrant workers), who face different social challenges that can contribute to risk
- + Conducting an assessment during peak season ensures the full breadth of activities the workers/fishers undertake are being done. This is important to adequately assess occupational risks.



STEP 01: PREPARE

Assessment Planning

Duration

There is a limited sample size for the entire SRA.

The following is some

Add 1 day for every 10 interviews in the sample per site

Note that

Timing

It is important to con

- + Key demographics of workers are only present during peak season (temporary or migrant workers), who face different social challenges that can contribute to risk
- + Conducting an assessment during peak season ensures the full breadth of activities the workers/fishers undertake are being done. This is important to adequately assess occupational risks.

Although the assessment itself will only take a few days, the preparation stage can take months to get organized.

Please be sure to start the Preparation process promptly.

2-17 days to assess

Add 1 day for reporting writing and a 0.5 day for desk research

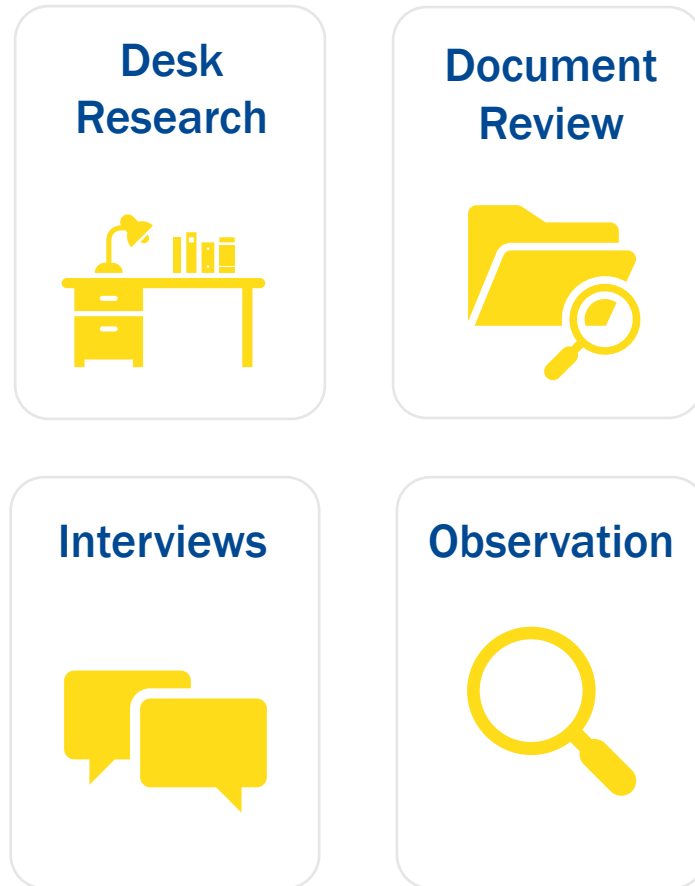
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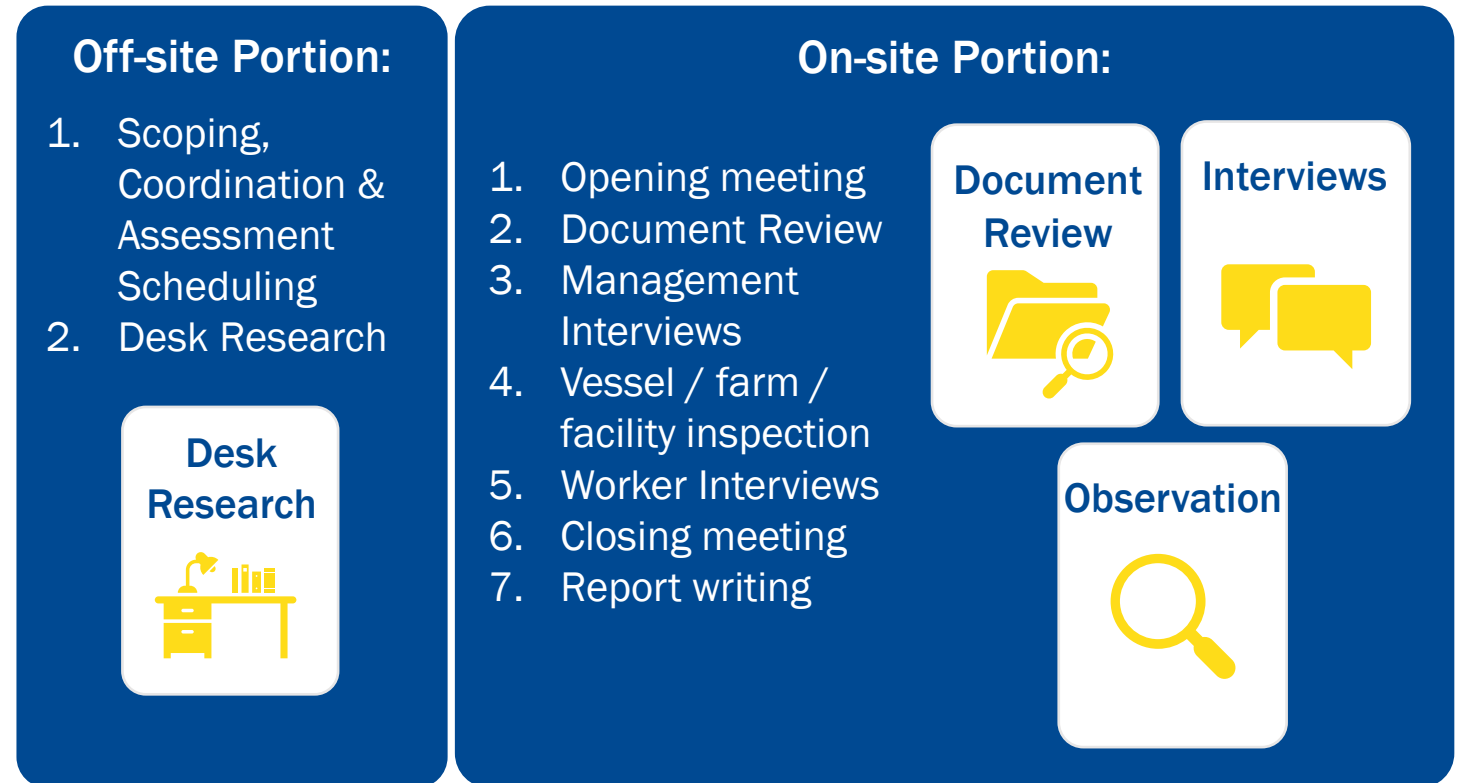
STEP 02: ASSESS

Assessment Outline and Data Collection

Four main components to an assessment:



You can incorporate these into an assessment off-site and on-site:

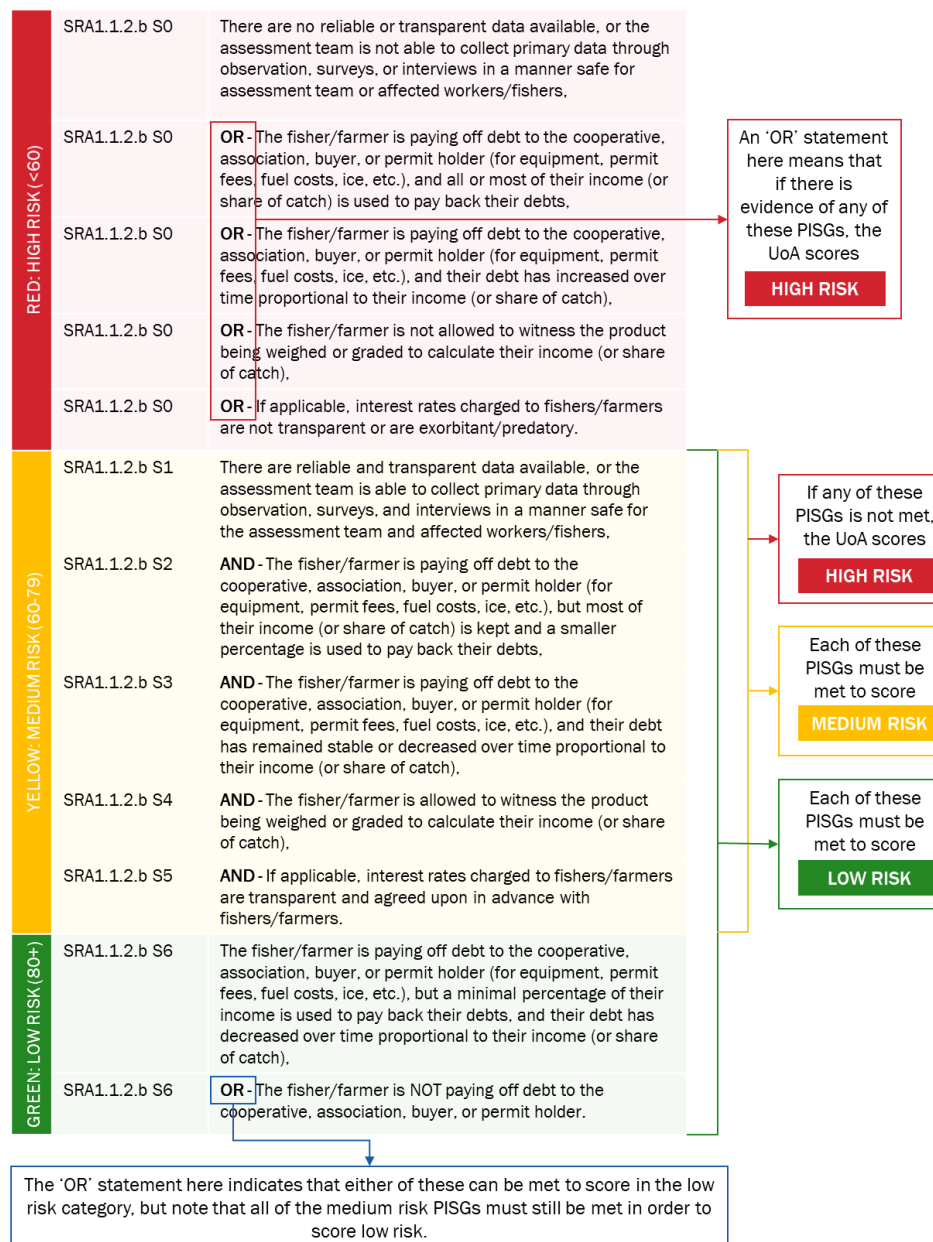


STEP 02: ASSESS

Scoring and Final Results

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

Indicator 1.1.2.b: Debt bondage in small-scale fisheries



STEP 03: IMPROVE

Understanding your results & developing an improvement plan

Once the assessment is complete, it is the responsibility of the qualified assessor to consult with the UoA and worker/fisher representatives to create the Improvement Plan.

Fishery improvement project name
Social Workplan
Template Version 1.0, April 2021

Actions
1. Action #1 Name
Complete the table for each Action in your workplan. See below for an example.

Action Goal	Provide one sentence that describes the intended result of the action
Action Description	Provide a brief summary of the steps involved in the action
Status	Note the status of the Action as one of the following: Not Yet Started/On Track/Behind Schedule/Completed/Cancelled
Start Date	Note the expected or actual start date of the Action, followed by either (Expected) or (Actual)
Completion Date	Note the expected or actual completion date of the Action, followed by either (Expected) or (Actual)
Priority	Note the priority based on the implementers criteria, e.g., lowest scoring issues or actions that are necessary to complete before beginning other actions may be higher priority
Estimated Cost	Provide an estimate of the budget needed to complete the action
Responsible Parties	List all parties that will play a role in completing this action.
SRA PI(s) Addressed by the Action	Include at least one PI that the Action addresses
MSC PI(s) Addressed by the Action	Optional – If the action also addresses MSC PI, list them here.
Supporting Documentation Filename(s)	Optional – If you are providing any supporting documentation in a separate file, list the filenames here.
Additional Information	Provide any helpful additional information, for example any relevant background information or constraints.
Progress Reporting	(add a new row for each new progress report)

Update/Results
Include any updates general to the Action here. Updates on tasks should go in the relevant task table. When the Action is completed, describe the overall results here.

Describe how the action will be accomplished. Using tasks is a good way to clarify on how the FIP intends to complete each action. Should you describe the overall results here. See below for an example.

Describe the task here.

Status of the Task, followed by either (Expected) or (Actual)

Date of the Task, followed by either (Expected) or (Actual)

Date of Completion of this task

Relevant background information or constraints.

Provide an update on the progress of the task, for example any relevant background information or constraints. Once the task is completed, describe the results

Note that it is important to add time to the assessment schedule to make sure the assessor has time to fill out this template. If using a third-party assessment firm, the time needed to fill out the template may come at an additional cost depending on the audit schedule.



ENGAGING WITH WORKER REPRESENTATIVES

Key to a worker/fisher/farmer-driven approach

Workers/fishers/farmers should be engaged at every stage in the SRA process. A worker/fisher/farmer-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.

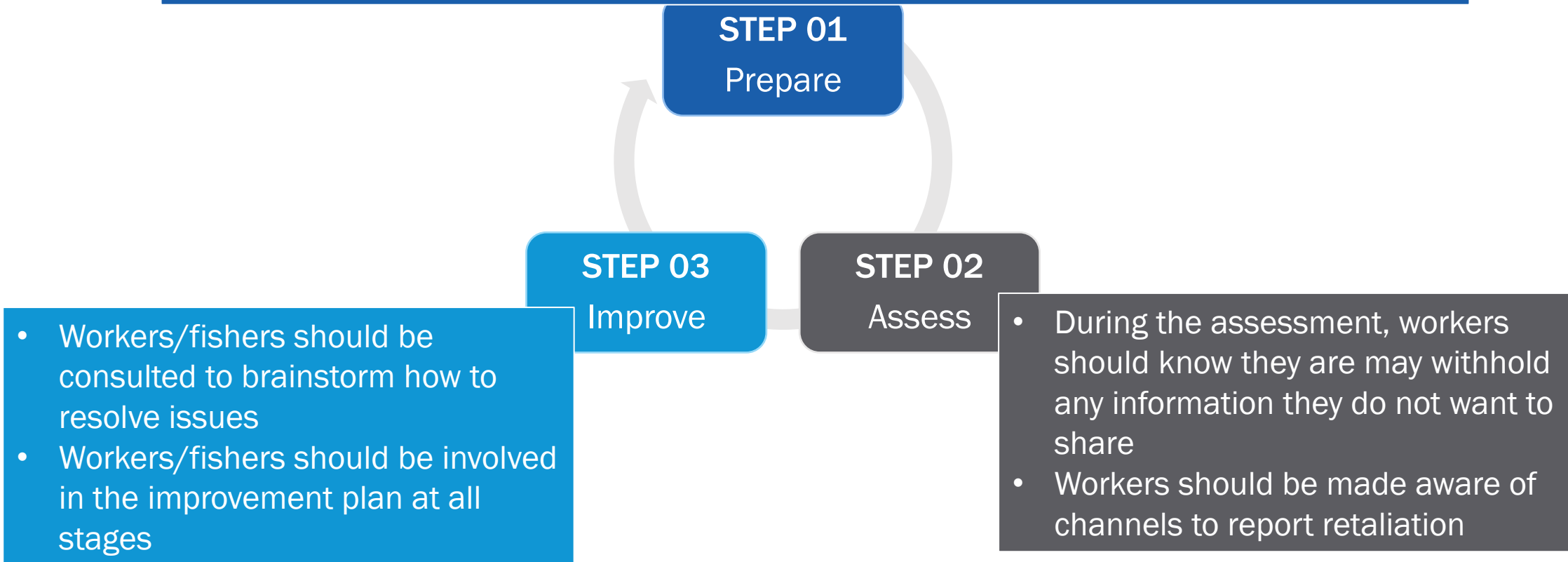
Where workers are unable to participate freely because of repressive laws or practices, companies sourcing from those places should nonetheless embrace all other aspects of WDR, including, most importantly, an effective enforcement mechanism

Worker representatives may be in the form of a *formal labor union*, or could more informal groups of workers organized into *committees*.



APPLYING A WORKER/FISHER-DRIVEN APPROACH IN THE SRA PROCESS

- Informing workers/fishers of the process and the purpose of the project.
- Workers should be aware of their rights during the assessment before ever being approached by an assessor



SRA RESOURCES

KEY AVAILABLE RESOURCES

All resources below are linked

Prepare

Assess

Improve

[The Social Responsibility Assessment \(SRA\) Tool](#)

[SRA Guide to Data Collection](#)

NEW [SRA Assurance Guidance](#)

NEW [SRA Unit of Assessment Guidance](#)

[SRA Equivalency Mapping](#)

[Verite & CI Training Modules](#)

[SRA Toolkit](#)

[Manual for Trainers](#)

NEW [SRA Assessment Template](#)

[Understanding and Accessing Rights
\(webinar\)](#)

[A Trusted Voice for Workers on Fishing
Vessels \(webinar\)](#)

Color coding:

ASSESSORS

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ASSESSORS & IMPLEMENTERS




SRA – ASSESSMENT TEMPLATE

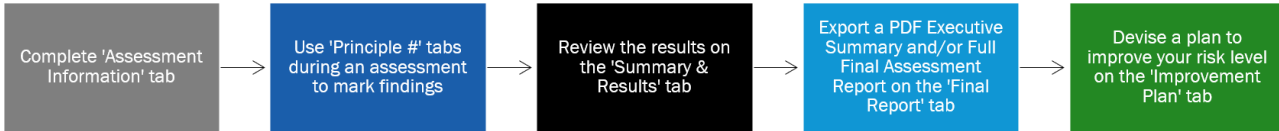
- There is a [video tutorial](#) to accompany the template that will guide you on its use.
- Note that FisheryProgress will accept these reports to meet their social policy, and it is recommended to use this tool

The Social Responsibility Assessment (SRA) Tool for the Seafood Sector

Assessment Reporting Template



This tool is designed to be used during an assessment to capture evidence, evaluate risk, and plan for improvement according to the results. The following outlines the process of how to use this tool to complete an assessment:

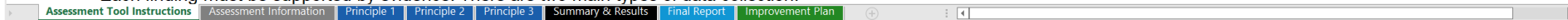


```
graph LR; A[Complete 'Assessment Information' tab] --> B[Use 'Principle #' tabs during an assessment to mark findings]; B --> C[Review the results on the 'Summary & Results' tab]; C --> D[Export a PDF Executive Summary and/or Full Final Assessment Report on the 'Final Report' tab]; D --> E[Devise a plan to improve your risk level on the 'Improvement Plan' tab];
```

This tool has four main components:

- 1 Capture Assessment information, including key characteristics of a Unit of Assessment (UoA)**
Relevant tab(s): **Assessment Information**
+ This sheet is to be filled out before commencing an assessment. This tab must be filled out to ensure the final report is complete
- 2 Capture evidence against the SRA Performance Indicator Guideposts (PISGs) that are used to assess risk**
Relevant tab(s): **Principle 1** | **Principle 2** | **Principle 3**
Each SRA PISG is listed on these tabs, and an assessor will use these tabs to record all evidence gathered to demonstrate alignment with each PISG.
For each PISG, an assessor will indicate the type of finding:
 - Y** : (Yes) Indicates that there is evidence to demonstrate this PISG is covered
 - N** : (No) Indicates that there is insufficient evidence to demonstrate this PISG is covered
 - NA** : (Not Applicable) Indicates requirements that are not applicable based on UoA scope > review the SRA to determine which requirements are applicable to whom.
 - Not Assessed** : Indicates that this PISG was out of scope of the assessment intentionally > this should be determined prior to assessment

Each finding must be supported by evidence. There are two main types of data collection:



KEY TAKEAWAYS

- ➔ Start planning *ASAP*
- ➔ Assessors / assessment teams *will need to be approved* – so identify them sooner rather than later
- ➔ *Defining the Unit of Assessment can be difficult* – do not hesitate to reach out for support as you define your UoA
- ➔ ELEVATE is prioritizing the *development of resources to help implement the SRA* based on demand – please let us know what you need



KEY AVAILABLE RESOURCES



If you need guidance or support as you implement the **SRA**, you can always reach out to

SRAsupport@elevatelimited.com



If you need guidance or support as you implement the **FisheryProgress requirements**, you can always reach out to

Contact@fisheryprogress.org

