IMPLEMENTING THE SRA FOR FIPS

ELEVATE & FishChoice
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Agenda

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

### Component 1
- 1.1 Code of Conduct
- 1.2 Vessel or Fisher Info
- 1.3 Awareness of Rights
- 1.4 Grievance Mechanism
- 1.5 Self-Evaluation

### Component 2
- 2.1 Risk Assessment
- 2.2 Workplan
- 2.3 Reporting

### Component 3
- Voluntary Risk Assessment
- Voluntary Workplan
- Voluntary Reporting

**Risk Criteria Met**
Policy Overview: Risk Assessment

Component 1
1.1 Code of Conduct
1.2 Vessel or Fisher Info
1.3 Awareness of Rights
1.4 Grievance Mechanism
1.5 Self-Evaluation

Component 2
2.1 Risk Assessment
2.2 Workplan
2.3 Reporting

Component 3
Voluntary Risk Assessment
Voluntary Workplan
Voluntary Reporting
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?

<table>
<thead>
<tr>
<th>FIP Name</th>
<th>FIP ID Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indonesia Indian Ocean yellowfin tuna – handline</td>
<td>9012</td>
</tr>
</tbody>
</table>

FisheryProgress Risk Criteria

1. There is at-sea transshipment of product and/or fishers among large vessels in the FIP.  
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).  
3. The FIP has one or more vessels where fishers are not allowed on shore at least once every 90 days.  
4. The fishery has a known instance of forced labor, child labor, or human trafficking within the past four years.*
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

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

### 2: Ensure equality and equitable opportunity to benefit

<table>
<thead>
<tr>
<th>2.1 Equality</th>
<th>2.1.1 Grievance reporting and access to remedy*</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2.1.2 Stakeholder participation and collaborative management</td>
</tr>
<tr>
<td>2.2 Equity</td>
<td>2.2.1 Equitable opportunity to benefit</td>
</tr>
<tr>
<td></td>
<td>2.2.2 Discrimination*</td>
</tr>
</tbody>
</table>

The 13 SRA Performance Indicators highlighted in blue and noted with an asterisk (*) are the Core FisheryProgress SRA Indicators.
## What must those FIPs assess?

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</tr>
</tbody>
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The applicability of certain indicators depends on the characteristics of the fishery.

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).

Risk Assessment (RA):
- Must be reported in the Social Responsibility Assessment (SRA) format
- Work with a qualified consultant to complete your RA
- Use the FisheryProgress template

Note: If your FIP works with another social standard or certification program, data from that assessment can be used to populate the risk assessment and save you time.
What format is required for the risk assessment?

FIPs can use either the FisheryProgress template or the ELEVATE SRA assessment template.
How frequent must the risk assessment be repeated?

All FIPs, whether required or voluntary, must repeat the RA according to these frequencies.

Risk Assessment (RA)
- Must be reported in the Social Responsibility Assessment (SRA) format
- Work with a qualified consultant to complete your RA
- Use the FisheryProgress template

Note: If your FIP works with another social standard or certification program, data from that assessment can be used to populate the risk assessment and save you time.
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
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

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.

<table>
<thead>
<tr>
<th>Qualification</th>
<th>Demonstrated By</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The necessary skills to be competent in conducting fisher interviews and document review.</td>
<td>Meeting one of the following:</td>
</tr>
<tr>
<td>2. Understanding of human rights and labor rights standards, including relevant, current, local labor laws.</td>
<td>1. Demonstrate social auditing experience, such as:</td>
</tr>
<tr>
<td>3. Understanding of root causes and connections among different risk indicators.</td>
<td>a. Be an approved social auditor:</td>
</tr>
<tr>
<td></td>
<td>i. An APSCA Member in good standing</td>
</tr>
<tr>
<td></td>
<td>ii. 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</td>
</tr>
</tbody>
</table>
## When are the risk assessment and workplan due?

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

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

STEP 02
Assess

STEP 03
Improve
IMPLEMENTING THE SRA FOR FIPS

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
IMPLEMENTING THE SRA FOR FIPS

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Color coding:

- ASSESSORS
- IMPLEMENTERS
- ASSESSORS & IMPLEMENTERS
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.
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- 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.

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.

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:

<table>
<thead>
<tr>
<th>Internal Assessment</th>
<th>Benefits</th>
<th>Challenges</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>+ May be more cost effective</td>
<td>+ Credibility and consistency</td>
</tr>
<tr>
<td></td>
<td>+ Coordination and planning may be more efficient</td>
<td>+ Inherent bias due to a vested interest in assessment outcomes</td>
</tr>
<tr>
<td></td>
<td>+ First-hand experience with on-site operations, which can be beneficial when outlining an improvement plan and building direct relationships with workers/fishers/farmers</td>
<td>+ Interviewees may not wish to share information with staff associated with management, leading to inaccurate assessment results</td>
</tr>
<tr>
<td></td>
<td>+ Can serve as a pre-assessment to build knowledge of gaps prior to engaging with a third party</td>
<td>+ Lack of auditing experience (this may not always be the case)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Third-party Assessment</th>
<th>Benefits</th>
<th>Challenges</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>+ More likely to be accepted by external parties as a credible risk assessment</td>
<td>+ Higher costs (including travel and out of pocket expenses)</td>
</tr>
<tr>
<td></td>
<td>+ A third-party specializing in social assessments may have more experience, which may lead to higher-quality assessments</td>
<td>+ Coordination and planning may take longer</td>
</tr>
<tr>
<td></td>
<td>+ Minimization of bias due to lack of vested interest in the assessment</td>
<td></td>
</tr>
<tr>
<td></td>
<td>+ Interviewees may be more open with an objective third-party who is not directly associated with management</td>
<td></td>
</tr>
</tbody>
</table>
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Define the Unit of Assessment
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SRA Training

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

<table>
<thead>
<tr>
<th>Assessors / Assessment Team</th>
<th>FIP Leads</th>
<th>Fishers and/or worker representatives</th>
</tr>
</thead>
<tbody>
<tr>
<td>• An assessor must be trained on the SRA to meet FP requirements.</td>
<td>• CI &amp; Verite have developed SRA Modules that can build knowledge on the SRA.</td>
<td>• 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.</td>
</tr>
<tr>
<td>• ELEVATE is offering trainings to assessors to get qualified.</td>
<td></td>
<td>• 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.</td>
</tr>
</tbody>
</table>

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.
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 harassment
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.
Implementing the SRA for FIPS

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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:

- 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

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:
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.
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**

<table>
<thead>
<tr>
<th>Workforce</th>
<th>Sample</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-99</td>
<td>5</td>
</tr>
<tr>
<td>100-999</td>
<td>15</td>
</tr>
<tr>
<td>1000-4999</td>
<td>25</td>
</tr>
<tr>
<td>5000+</td>
<td>40</td>
</tr>
</tbody>
</table>

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

**Other Open Access Sampling Methods:**

- Fairtrade International (Table C1): [https://files.fairtrade.net/standards/ASSU_ReqAssuranceProviders_EN.pdf](https://files.fairtrade.net/standards/ASSU_ReqAssuranceProviders_EN.pdf)
IMPLEMENTING THE SRA FOR FIPS

STEP 01: PREPARE - CHECKLIST

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  + Must meet certain qualifications
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  + Cost will be determined according to the assessment schedule
  + Work with the assessor to schedule a time for the assessment
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

STEP 01: PREPARE

<table>
<thead>
<tr>
<th>PI</th>
<th>SCORING GUIDANCE</th>
<th>PERFORMANCE INDICATOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1a</td>
<td>Score for all fisheries/farms</td>
<td>Abuse and harassment</td>
</tr>
<tr>
<td>1.1b</td>
<td>Is the fishery/farm industrial or medium scale with labor recruitment from other countries and/or contracts with employers likely?</td>
<td>If YES, score 1.1.2a Human trafficking and forced labor</td>
</tr>
<tr>
<td>1.1c</td>
<td>Score for all fisheries/farms</td>
<td>If NO, score 1.1.2b Debt bondage in small-scale fisheries</td>
</tr>
<tr>
<td>1.1d</td>
<td>Score for all fisheries/farms</td>
<td>Child labor</td>
</tr>
<tr>
<td>1.1e</td>
<td>Freedom of association and collective bargaining</td>
<td></td>
</tr>
<tr>
<td>1.1f</td>
<td>Score for all fisheries/farms</td>
<td></td>
</tr>
<tr>
<td>1.1g</td>
<td>Occupational safety</td>
<td></td>
</tr>
<tr>
<td>1.1h</td>
<td>Medical response</td>
<td></td>
</tr>
<tr>
<td>1.1i</td>
<td>Corporate responsibility and transparency</td>
<td></td>
</tr>
<tr>
<td>1.1j</td>
<td>Grievance reporting and access to remedy</td>
<td></td>
</tr>
<tr>
<td>1.1k</td>
<td>Stakeholder participation and collaborative management</td>
<td></td>
</tr>
<tr>
<td>1.1l</td>
<td>Equitable opportunity to benefit ethnic, or religious minorities?</td>
<td></td>
</tr>
<tr>
<td>1.1m</td>
<td>Food and nutrition security impacts of industrial fisheries</td>
<td></td>
</tr>
<tr>
<td>1.1n</td>
<td>Food and nutrition security for small-scale fishing communities</td>
<td></td>
</tr>
<tr>
<td>1.1o</td>
<td>Healthcare</td>
<td></td>
</tr>
<tr>
<td>1.1p</td>
<td>Education</td>
<td></td>
</tr>
<tr>
<td>1.1q</td>
<td>Benefits to and within community</td>
<td></td>
</tr>
<tr>
<td>1.1r</td>
<td>Economic value retention</td>
<td></td>
</tr>
<tr>
<td>1.1s</td>
<td>Long-term profitability and future workforce</td>
<td></td>
</tr>
<tr>
<td>1.1t</td>
<td>Economic flexibility and autonomy</td>
<td></td>
</tr>
<tr>
<td>1.1u</td>
<td>Livelihood security</td>
<td></td>
</tr>
<tr>
<td>1.1v</td>
<td>Fuel resource efficiency</td>
<td></td>
</tr>
</tbody>
</table>
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
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.
## Assessment Planning

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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.
Assessment Outline and Data Collection

Four main components to an assessment:

- Desk Research
- Document Review
- Interviews
- Observation

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

**Off-site Portion:**
1. Scoping, Coordination & Assessment Scheduling
2. Desk Research

**On-site Portion:**
1. Opening meeting
2. Document Review
3. Management Interviews
4. Vessel / farm / facility inspection
5. Worker Interviews
6. Closing meeting
7. Report writing
IMPLEMENTING THE SRA FOR FIPS

STEP 02: ASSESS

Scoring and Final Results

<table>
<thead>
<tr>
<th>Score</th>
<th>Risk Level</th>
<th>Color</th>
</tr>
</thead>
<tbody>
<tr>
<td>&lt;60</td>
<td>HIGH RISK</td>
<td>Red</td>
</tr>
<tr>
<td>60-79</td>
<td>MEDIUM RISK</td>
<td>Yellow</td>
</tr>
<tr>
<td>80+</td>
<td>LOW RISK</td>
<td>Green</td>
</tr>
</tbody>
</table>

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

- **Red (High Risk)**
  - SRA1.1.2.b S0: OR: The fisher/farmer is paying off debt to the cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, etc.), and all or most of their income (or share of catch) is used to pay back their debts.
  - SRA1.1.2.b S1: OR: The fisher/farmer is not allowed to witness the product being weighed or graded to calculate their income (or share of catch).
  - SRA1.1.2.b S2: OR: If applicable, interest rates charged to fishers/farmers are not transparent or are exorbitant/preatory.

- **Yellow (Medium Risk)**
  - SRA1.1.2.b S3: AND: The fisher/farmer is paying off debt to the cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, etc.), but most of their income (or share of catch) is kept and a smaller percentage is used to pay back their debts.
  - SRA1.1.2.b S4: AND: The fisher/farmer is not allowed to witness the product being weighed or graded to calculate their income (or share of catch).
  - SRA1.1.2.b S5: AND: If applicable, interest rates charged to fishers/farmers are transparent and agreed upon in advance with fishers/farmers.

- **Green (Low Risk)**
  - SRA1.1.2.b S6: OR: The fisher/farmer is paying off debt to the cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, etc.), but a minimal percentage of their income is used to pay back their debts, and their debt has decreased over time proportional to their income (or share of catch).
  - SRA1.1.2.b S6: OR: The fisher/farmer is NOT paying off debt to the cooperative, association, buyer, or permit holder.

The ‘OR’ statement here indicates that either of these can be met to score in the low risk category, but note that all of the medium risk PISGs must still be met in order to score low risk.
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.

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

STEP 01 Prepare

- 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

STEP 02 Assess

- During the assessment, workers should know they may withhold any information they do not want to share.
- Workers should be made aware of channels to report retaliation.

STEP 03 Improve

- Workers/fishers should be consulted to brainstorm how to resolve issues.
- Workers/fishers should be involved in the improvement plan at all stages.

- Workers should be aware of their rights during the assessment before ever being approached by an assessor.

- Workers/fishers should be involved in the improvement plan at all stages.
SRA RESOURCES
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.
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
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**