

FISHERYPROGRESS.ORG

HUMAN RIGHTS AND SOCIAL RESPONSIBILITY POLICY

Version 1.1

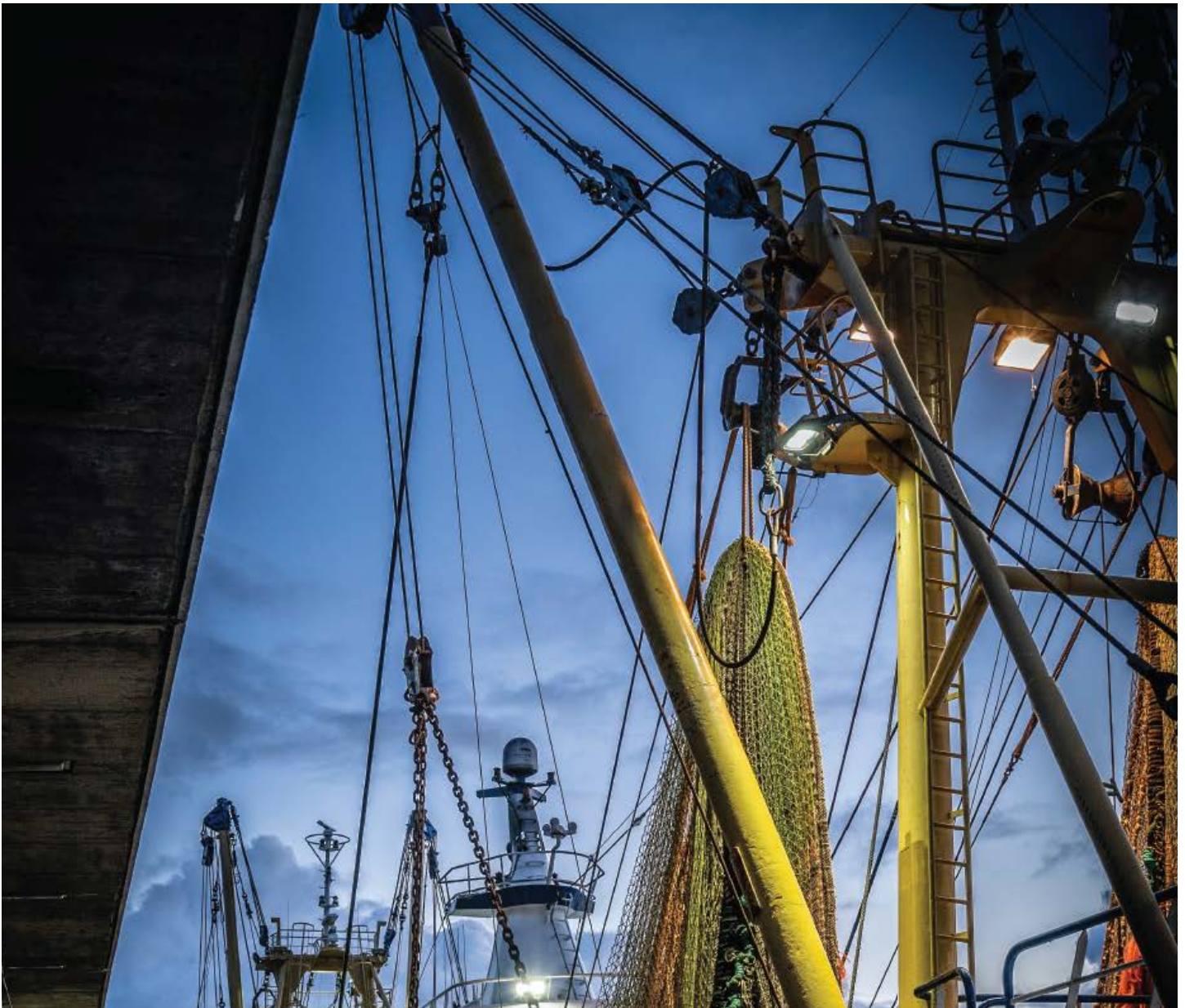
Release Date: Dec.15, 2022

Effective Date: Jan. 1, 2023

www.fisheryprogress.org
contact@fisheryprogress.org

TABLE OF CONTENTS

Introduction	2
Policy Revisions	4
Summary of Changes to the HRSR Policy.....	4
Making Social Responsibility Claims.....	4
Overview	5
Applicability and Scope.....	7
Implementation Responsibility	8
Review Process	8
Reporting Deadlines	8
Extensions for Initial Deadlines.....	10
Reasons for a FIP to be Marked as Inactive.....	10
Addressing Concerns About FIP Information on FisheryProgress.....	11
Reporting Transparency.....	12
Component 1: Requirements for All FIPs	12
1.1 Demonstrate There Is a Public Policy Statement Outlining a Commitment to Human Rights and Social Responsibility.	13
1.2 Provide Information About the Vessels and/or Fishers Harvesting and Transporting the FIP Product	17
1.3 Undertake Best Efforts to Make Fishers Aware of Their Rights.....	20
1.4 Demonstrate There Is a Grievance Mechanism Available to All Fishers in the FIP.....	22
1.5 Complete a Self-Evaluation Against the FisheryProgress Criteria for Increased Risk of Forced Labor and Human Trafficking.	24
Component 2: Additional Requirements for FIPs that Meet the Risk Criteria	26
2.1 Complete a Risk Assessment.....	27
2.2 Create and Implement a Social Workplan	30
Component 3: Requirements for Voluntary Reporting on Social Performance	33
3.1 Voluntary Reporting Requirements.	34
Appendix A: Core FisheryProgress SRA Indicators	36
Appendix B: Key Related Resources	39



INTRODUCTION



Launched in 2016, [FisheryProgress](#) is a one-stop shop for information on the progress of global fishery improvement projects (FIPs). Our mission is to provide seafood stakeholders with transparent and reliable information about how FIPs are making improvements. Today, 96% of FIPs worldwide use our platform to report their progress, and hundreds of companies rely on FisheryProgress for information about FIP performance.

FisheryProgress was initially designed to report on environmental improvements in FIPs. However, in recent years, investigations by nongovernmental organizations (NGOs) and journalists have brought to light the urgent need to ensure that human rights are protected in fisheries. That spurred a conversation among stakeholders in the sustainable seafood movement about how to address social responsibility in FIPs. Through those discussions, it became clear that failing to include human rights and labor information on FisheryProgress' website presented a risk to fishers and also risked damaging the trust that users have in the website.

The protection of human rights for those working in fisheries is of critical importance to FisheryProgress. We recognize that environmental sustainability in fisheries is not possible without ensuring the respect for the human rights of those who work in them.



The United Nations Guiding Principles on Business and Human Rights



The [UN Guiding Principles on Business and Human Rights](#) are a set of guidelines for governments and companies to prevent, address, and remedy human rights abuses committed in business operations.

UN Special Representative on Business and Human Rights John Ruggie proposed them, and the UN Human Rights Council endorsed them in June 2011. In the same resolution, the UN Human Rights Council established the UN Working Group on business and human rights. Read more [here](#).

This Human Rights and Social Responsibility (HRSR) Policy outlines our expectations of FIPs reporting on FisheryProgress, inspired by the international best practices outlined in Principle 15 of the [United Nations' \(UN\) "Guiding Principles on Business and Human Rights."](#)

FisheryProgress is a platform for tracking improvement over time. We expect FIPs to have environmental and social challenges and to work toward better performance.

This HRSR Policy's objectives are to help FIPs identify and reduce the risk of human and labor rights abuses at the harvest stage of their supply chains and to increase transparency around the efforts FIPs and their participants are taking to address human and labor rights risks.

Policy Revisions

FisheryProgress recognizes that industry norms evolve over time, and it is committed to maintaining requirements that fairly and equitably support FIPs and their stakeholders throughout their improvement journeys. Revisions to the HRSR Policy are considered either major or minor. Major revisions include a full review of the Policy and its impact on FIPs and occur every three to five years. The process for major revisions includes a review of learnings and feedback from implementing the current version of the policy, along with research and consultation with FIP implementers, human rights and labor experts, industry, and other stakeholders. Minor revisions of the HRSR Policy intend to improve clarity and eliminate ambiguities and may occur on a more frequent basis.

The next major revision of this HRSR Policy is planned for 2025, and we will proactively engage with stakeholders as part of that process. Until then, we continue to welcome feedback at contact@fisheryprogress.org.

Summary of Changes to the HRSR Policy

When FisheryProgress released the HRSR Policy Version 1.0 in May 2021, we intended the first year of implementation to be a learning year, where we would continue to gather feedback from FIPs and other FisheryProgress stakeholders. We are grateful for the feedback from FIPs who have spent the last year working to meet the policy requirements, including those who signed up as [early adopters](#). We would also like to thank the many other FIP stakeholders who have continued to work with us to understand and improve the policy.

As a result of those conversations, we released updates to the HRSR Policy Version 1.0 in a March 2022 Amendment and a September 2022 announcement. This document, Version 1.1 of the HRSR Policy, integrates the changes from those updates along with other minor updates to improve clarity and readability. More details on the changes and the rationale for them can be found in the [Summary of Changes to the Human Rights and Social Responsibility Policy](#).

We are updating related templates, forms, policies, and resources to reflect the changes made to the HRSR Policy and will complete those updates by April 2023. [See Appendix B](#) for links to key relevant additional resources.

Making Social Responsibility Claims

FisheryProgress is a progress reporting platform that makes FIP improvement data transparent and accessible. **Compliance with this HRSR Policy does not mean that FIPs can claim that they are free from human rights abuses.** FisheryProgress reviews the information FIPs submit to determine whether the information submitted effectively meets the site's requirements, and FisheryProgress does not endorse or verify claims regarding on-the-ground working conditions or the absence of human and labor rights violations. Rather, FisheryProgress encourages seafood buyers to review the social responsibility information on the site as part of their own human rights due diligence efforts to assess whether FIPs align with their companies' requirements. Stakeholders with concerns about data and information published on the website may use the site's [Conflict Resolution and Appeals Process](#).



OVERVIEW

E

This HRSR Policy contains three components: (1) a set of requirements for all FIPs reporting on FisheryProgress; (2) additional requirements for FIPs that meet one or more FisheryProgress criteria for increased risk of forced labor and human trafficking; and (3) requirements for voluntary reporting for FIPs that choose to exceed the minimum requirements outlined in this HRSR Policy.

Throughout this document, the terms “shall,” “must,” and “required” indicate a requirement for staying listed on FisheryProgress. The terms “should,” “may,” or “best practice” indicate that the item is recommended. Key terms from the [FisheryProgress Glossary](#) are underlined the first time they are used in this document.

Component 1

Requirements for All FIPs

All FIPs reporting on FisheryProgress must:

- 1.1 Demonstrate they have a public policy statement outlining a commitment to human rights and social responsibility.
- 1.2 Provide information about the vessels and/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.
- 2.2 Create a social workplan (if applicable).

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 that choose to exceed the minimum requirements outlined in Components 1 and 2.

Applicability and Scope

All active FIPs on FisheryProgress must meet the requirements detailed in this HRSR Policy as a condition of use of FisheryProgress.

The scope of this HRSR Policy is designed to align with FIPs' scope¹, which focuses on interventions and activities aimed at improving a fishery. Although FIPs can impact an entire fishery, the HRSR Policy is focused on the fisher/vessel level (i.e., entities harvesting and transporting² FIP products). Whether or not all seafood products harvested from the fishery are considered to be FIP products depends on the FIP participants and varies from FIP to FIP.

The applicability of each requirement is provided in the Requirement Details section of each requirement below. The responsibilities and interventions entailed by requirements are aimed at addressing human and labor rights risks present during the harvest stage of the FIP's supply chain(s), including all fishing activity within a FIP's supply chain(s); whether conducted from shore, a vessel, or elsewhere; as well as transshipment activity.

The language in this HRSR Policy is gender neutral and intended to encompass people of all genders.

Definitions

Vessel: A vehicle used to catch or transport fish or fishers. That includes transshipment vessels. All vessels fishing or transporting catch within a FIP are included in the scope of this HRSR Policy regardless of whether they are formal participants in the FIP.

Fisher: Any person of any age or gender employed or engaged in the capture or gathering of seafood, either from shore or from a fishing vessel. Fishers also include persons employed or engaged in any capacity or carrying out an occupation on board any fishing vessel, including persons working on board who are paid on the basis of a share of the catch but excluding pilots, naval personnel, other persons in the permanent service of a government, shore-based persons carrying out work aboard a fishing vessel, and fisheries observers.



FIP participant: Any entity that actively participates in a FIP by contributing financial or in-kind support to the project and/or working on activities in the workplan. FIPs are required to have active participation by companies in the supply chain. Other important participants include government, fishery managers, and non-governmental organizations.

¹ The scope of a FIP is also referred to as the "Unit of the FIP."

² This policy applies to any vessel transporting FIP product, such as a transshipment vessel. It does not apply to any on-land transport of seafood.

Implementation Responsibility

FIPs were created with the understanding that a variety of stakeholders must support each other to improve performance and to monitor and enforce changes in behavior in the supply chain. That means that all FIP participants can play a role in ensuring that human rights are respected. Nevertheless, just as the roles and responsibilities for environmental sustainability improvements vary from FIP to FIP, so too will the roles and responsibilities for social improvements. FisheryProgress encourages FIP participants to have proactive conversations to review the requirements detailed in this HRSR Policy and designate clear implementation roles and responsibilities. FisheryProgress' [Guide for Seafood Buyers to Encourage FIP Impact](#) provides recommendations for how buyers can encourage FIP progress, including social improvements.

Regardless of who ultimately implements the requirements, the parties **normally responsible for environmental reporting on FisheryProgress are also responsible for reporting on the implementation of this HRSR Policy**. FisheryProgress encourages FIPs to consider the need to partner with or hire social experts to support social progress reporting and implementation of HRSR Policy requirements.

Review Process

FIPs provide updated data is every six months and the FisheryProgress review team reviews it before publishing it to the site. FisheryProgress reviews the information FIPs submit to determine whether the information submitted effectively meets the site's requirements, which are outlined in the FisheryProgress [FIP Review Guidelines](#). The site's Technical Committee conducts spot-checks to ensure reviews are consistent and standardized.



Any concerns related to decisions FisheryProgress reviewers make or procedural issues related to the requirements outlined in this HRSR Policy are handled through the FisheryProgress appeals process. You can read more about the appeals process and the criteria for accepted appeals on the FisheryProgress website [here](#).

Reporting Deadlines

Regular reporting provides FIPs with the opportunity to communicate their progress to stakeholders and engage them to support further improvements. It also ensures that FisheryProgress users have access to up-to-date information when determining whether a FIP satisfies its social responsibility commitments.

As a result, each requirement in this HRSR Policy has an initial deadline and a progress reporting deadline. The initial deadline covers the documentation that FIPs must submit to demonstrate they have embedded the requirement into the FIP's activities. The progress reporting deadline covers the documentation that a FIP submits to report on any changes or progress made since meeting the initial deadline.

Table 1 details both the initial and progress reporting deadlines for each requirement. **Note that specific deadlines for FIPs to meet reporting requirements vary according to their unique reporting cycle, which is based on when each FIP is first listed as active on FisheryProgress.** The document submission and review process occurs as part of a FIP's regular six-month and annual reporting.

Table 1. Initial and Progress Reporting Deadlines

Policy Requirement		Initial Reporting	Progress Reporting
1.1	Policy statement	To be listed as active	Every annual report
1.2	Vessel and/or fisher info	To be listed as active	Every annual report
1.3	Fisher awareness of rights	First six-month report	Every annual report
1.4	Grievance mechanism	First six-month report	Every annual report
1.5	Self-evaluation of risk criteria	To be listed as active	Every annual report
2.1	Risk assessment (if required) ³	Twelve months after meeting one or more risk criteria (see Requirement 1.5)	Every one to three annual reports depending on the outcome of the risk assessment ⁴
2.2	Social workplan (if required) ⁵	Twelve months after meeting one or more risk criteria (see Requirement 1.5)	Every six-month and annual report

³ FIPs that meet one or more of the criteria for increased risk of forced labor and human trafficking (see Requirement 1.5) must comply with Requirement 2.1.

⁴ Applicable only to FIPs that submit a Social Responsibility Assessment (SRA).

⁵ FIPs must develop a workplan to address at least all indicators that scored as high risk in an SRA. FIPs that submit an alternative assessment must also provide an associated workplan or corrective action plan.

Extensions for Initial Deadlines

For many FIPs, addressing human rights and social responsibility is new and may require a combination of participant discussion, learning, fundraising, hiring, research, planning, and preparation. FisheryProgress recognizes that, even in the best of circumstances, there can be unanticipated hurdles or delays that make it difficult for a FIP to meet the initial deadlines for requirements. In those cases, FIPs may request an extension to meet the requirement.

All FIPs may request extensions for any unmet core HRSR Policy Requirements 1.1-1.4,⁶ and FIPs that are required to meet Requirements 2.1 and 2.2 may also request extensions. To request an extension, a FIP must submit an extension request using the [Extension Request Form](#), which requires providing a reason for the extension request as well as a brief list of actions the FIP will undertake to fully meet the requirement.

More information on submitting an extension request and reporting on progress for granted extensions is included in the [Extension Request Instructions](#).

After the first 12-month extension, FisheryProgress may consider additional extensions for exceptional circumstances based on the FIP's submission of an updated rationale. All extensions and their rationale will be visible on FIP profiles.

Reasons for a FIP to be Marked as Inactive

FIPs must meet the initial deadlines for the requirements of the HRSR Policy to retain active status on FisheryProgress. FIPs must also meet the requirements outlined in the HRSR Policy during their regular six-month and annual progress reports. If the FIP does not meet the requirements as outlined, FisheryProgress will consider the report not completed and will mark the FIP's report as missed. Two consecutive missed reports (including a report a FIP missed and then submitted later) will render the FIP inactive. Additional detail on completed and missed reports, going inactive, and how to reactivate an inactive FIP is included in the FisheryProgress [FIP Review Guidelines](#).



⁶ New FIPs may request extensions for requirements 1.1-1.4 only; they must complete the self-evaluation to become active on FisheryProgress.

Addressing Concerns About FIP Information on FisheryProgress

FisheryProgress' processes for addressing concerns about data and information published on the website are outlined in our [Processes for Addressing Concerns About FIP Information on FisheryProgress](#). That document addresses the site's approach to and process for:

- Reviewing reported incidents of forced labor, human trafficking, or child labor.
- Conflict resolution and appeals.

FisheryProgress does not report incidents of forced labor, human trafficking, or child labor to relevant authorities. FisheryProgress relies on information that is already in the public domain and, as a transparency reporting platform, solely reviews information against the site's criteria to determine whether to note there was a reported incident on the FIP's profile, but FisheryProgress will not publish the details of reported incidents on the website. It is the responsibility of the report's source or other interested stakeholders to notify relevant authorities when appropriate.

Reporting Transparency

All documentation that FIPs provide to meet this HRSR Policy's requirements is published to the FIP's profile on FisheryProgress. That transparency ensures that FisheryProgress users have the information they need to conduct their own due diligence. It also serves as an added layer of oversight to reinforce the accuracy and credibility of FIP information.



Information submitted as part of a FIP's report must not be confidential. It is the FIP's responsibility to ensure it takes proper measures to that end. FisheryProgress strongly encourages [FIP leads](#) to obtain consent for publishing information in advance of submission to FisheryProgress. FIPs that have legal or security concerns about sharing information in the public domain may request that required reporting information remain unpublished, though FisheryProgress will maintain documentation internally for review purposes. FIPs must support those requests with justification, and FisheryProgress will review and approve them on a case-by-case basis.



COMPONENT 1

—

Requirements for All FIPs

1.1 Demonstrate There Is a Public Policy Statement Outlining a Commitment to Human Rights and Social Responsibility

1.1.1 REQUIREMENT DETAILS

FisheryProgress expects all FIPs reporting on FisheryProgress to share our commitment to reduce the risk of human and labor rights abuses in FIPs. FIPs demonstrate that commitment by providing a public policy statement (“Policy Statement”) that expresses their responsibilities, commitments, and/or expectations regarding human rights and social responsibility.

To meet that requirement, FIPS must submit one or more Policy Statement(s) and a completed [FisheryProgress Policy Statement Description template](#). The FIP is responsible for ensuring each Policy Statement meets the required criteria below.

The Policy Statement(s) must meet the following criteria:

1.1.1a Apply to all vessels and fishers fishing, whether on land or on a vessel, as well as those engaged in transport/transshipment of FIP product at sea.

1.1.1b Address the following categories – corresponding to Social Responsibility Assessment (SRA) Tool indicators – as applicable to the vessels and fishers in the FIP:⁷

- Abuse and harassment (SRA1.1.1).
- Human trafficking and forced labor (SRA1.1.2a).
- Debt bondage (SRA1.1.2b).
- Child labor (SRA1.1.3).
- Freedom of association and collective bargaining (SRA1.1.4).
- Earnings and benefits (SRA1.1.5).
- Adequate rest (SRA1.1.6).

Definitions

FIP Lead: The individual or organization designated as the main point of contact for the FIP for FisheryProgress. Users may contact the FIP lead with questions about the FIP or to learn more about engaging with and/or sourcing from the FIP.

FIP supply chain participants: FIP participants that buy or sell FIP products. They include both companies and their representatives.

Policy statement: A documented agreement a FIP and/or its participants employ to publicly disclose responsibilities, commitments, and/or expectations regarding, at a minimum, human rights and social responsibility. The Policy Statement may come in the form of a code of conduct, commitment, policy, guidelines standards, or other document.

⁷ These categories (corresponding to SRA indicators) are designed to accommodate a range of fisheries and contexts. That means that not all categories are applicable to all FIPs. For additional guidance on determining which categories are applicable, please refer to the Scoring Guidance table in the [Social Responsibility Assessment Tool for the Seafood Sector](#).

- Access to basic services for worker housing/live-aboard vessels (SRA1.1.7a).
- Occupational safety (SRA1.1.8).
- Medical response (SRA1.1.9).
- Grievance reporting and access to remedy (SRA2.1.1).
- Discrimination (SRA2.2.2).

1.1.1c Be endorsed by the relevant party or parties in the FIP. At a minimum, this means one or more⁸ of the following:

The FIP lead(s)⁹ signs a Policy Statement on behalf of the FIP supply chain participants.

- Each FIP supply chain participant signs a Policy Statement.
- Each FIP supply chain participant has a Policy Statement published on its company's website.

1.1.1d Be active throughout the time the FIP is active on FisheryProgress.

1.1.1e Be shared with all FIP participants in the language(s) they understand.

Each FIP must compile and summarize key information about its Policy Statement(s) in the FisheryProgress Policy Statement Description template. Specifically, it must provide the following information about the FIP's Policy Statement(s):

- A brief description of the Policy Statement(s) and whom they apply to, including the applicability of each Policy Statement (1.1.1a) and the party or parties in the FIP that endorse each Policy Statement (1.1.1c).
- A description of the policies, procedures, practices, and systems in place to ensure the responsibilities, commitments, and/or expectations outlined in the Statement(s) are implemented and upheld.
- An affirmation from the FIP that it has verified that the Policy Statement(s) meet all the above criteria (1.1.1a-1.1.1e).

Applicability and Scope

All active FIPs on FisheryProgress must meet this requirement.

Initial Deadline

FIPs must meet this requirement to be listed as active on FisheryProgress. Guidance on requesting an extension is included in the Extensions for Initial Deadlines section above.

⁸ A FIP may choose to implement a combination of these options.

⁹ In cases where a FIP has multiple FIP leads, only one FIP lead is required to sign.

Progress Reporting Deadlines

FIPs must confirm during their annual report that the information they provided remains current and meets the requirement details above. Any changes to the FIP, including but not limited to changes to the FIP lead and/or FIP supply chain participants, may trigger the need for the FIP to submit an updated Policy Statement(s) and an updated FisheryProgress Policy Statement Description template.

1.1.2 RATIONALE AND ADDITIONAL INFORMATION

Publishing a Policy Statement is an effective way to communicate to fishers and other stakeholders how the FIP prioritizes and addresses human rights and social responsibility. It is a basic tenant of the UN Guiding Principles on Business and Human Rights that increases both internal and external accountability.

FIPs come in a variety of shapes and sizes. This requirement is designed to accommodate that diversity by allowing FIP leads and participants to determine the best model for outlining their commitment to human rights and social responsibility. Some FIPs may choose to meet this requirement by providing a single Policy Statement, such as the one described in the Best Practices box above. Other FIPs may choose to meet this requirement by sharing, for example, the codes of conduct their supply chain participants have already adopted. Allowing FIPs to design their own Policy Statements increases their sense of ownership and accountability and creates flexibility to ensure their approach reflects their unique contexts. Regardless of who endorses the Policy Statement, all FIP participants have a moral and legal responsibility to ensure that human rights are respected.

Consulting Stakeholders About the Policy Statement



FIPs are strongly encouraged to consult with all relevant stakeholders, especially and importantly fishers and their representatives, as they design their Policy Statements. Once they have finalized their Policy Statement(s), it is important for FIPs to effectively communicate expectations to all relevant parties. For example, FIPs can and should include the Policy Statement in partnership, financing, and purchasing contracts among FIP participants and their supply chain partners, including any Memorandum of Understanding signed by FIP participants.



Developing a Policy Statement

The FIP model is based on the idea that a variety of stakeholders must support each other to improve performance and to monitor and enforce behavior changes in the supply chain. To demonstrate that the FIP's sense of collective action and shared responsibility apply to not only environmental sustainability but also social responsibility, **FisheryProgress strongly encourages all FIP participants to commit to a single collective Policy Statement.**

Actions taken to uphold the Policy Statement may vary for different types of FIP participants and stakeholders. For example:

- Retailer/brand participants can establish, communicate, and enforce expectations and provide financial and/or technical support to vessels and fishers.
- Processor participants can reinforce commitments and expectations through their sourcing decisions.
- Producer participants can improve their company's management, policies, and procedures and engage with worker representatives.
- Trade and industry organization participants can set goals and increase accountability of member companies.
- Conservation NGO participants can leverage their insights to highlight potential risks and ensure their own work takes a "do-no-harm" approach.
- Socioeconomic, labor, and human rights NGO participants can provide expertise in assessing risks and designing improvements that are tailored to the local context.
- Academic participants can work to understand the risks and identify best practices to mitigate risk.
- All FIP participants can lobby Regional Fisheries Management Organizations, (RFMOs), as well as relevant governments and vessel flag states to improve legal, regulatory, and enforcement frameworks to meet international standards.
- Government participants can identify legal, regulatory, and enforcement shortcomings and work to improve them.



FIPs wishing to adopt this approach are encouraged to use the [FisheryProgress model Policy Statement](#) to meet Requirement 1.1.

1.2 Provide Information About the Vessels and/or Fishers Harvesting and Transporting the FIP Product

1.2.1 REQUIREMENT DETAILS

FIPs must provide information about the vessels and/or fishers harvesting or transporting¹⁰ FIP product. They must provide that information using the [FisheryProgress Vessel and/or Fisher Information](#) template. FIPs must complete all required fields in the template, regardless of whether they are listed below.

The information FIPs must provide to comply with this requirement is differentiated based on the type of fishing activity in the FIPs, as detailed below. FIPs that have a mix of types must meet the relevant requirements for each type, as described below.

FIPs With Vessels

FIPs harvesting or transporting FIP products using vessels must provide information about all vessels involved in the catch and transport of FIP product, even if vessel owners are not formal participants in the FIP.

Large Vessels and Vessels of Any Size Fishing Outside Their Exclusive Economic Zone (EEZ)

FIPs with large vessels and/or vessels of any size fishing outside of their country's EEZ must compile a list of such vessels that includes the following information:

1. For each vessel:
 - a. Vessel name.
 - b. Vessel size category.
 - c. Vessel length (optional).
 - d. Vessel/gear type.
 - e. Name(s) of the owner(s).
 - f. Name(s) of the operator(s) (if different from the owner).
 - g. Flag.
 - h. Unique Vessel Identifier (UVI), where applicable. Otherwise, alternative identification number(s) such as a National Registration Number or Maritime Mobile Service Identity (MMSI).
2. A description of how the FIP collected the vessel information (i.e., sources).
3. The date the FIP compiled the information.
4. The FIP lead's confirmation that they have undertaken best efforts to ensure that the information

¹⁰ I.e., transshipment vessels.

provided is complete and accurate.

With regard to vessel identification numbers, FIPs must provide UVIs for all vessels that have a UVI. FIPs may also provide additional identification numbers for those vessels. For vessels that do not have a UVI, FIPs must provide one or more alternative identification numbers alongside information on what type of identifier it is. Additionally, we strongly recommend that, where feasible, FIPs share information to help us better understand the barriers and reasons that currently prevent or discourage vessels that are eligible for a UVI from getting one.

Small Vessels

FIPs with small vessels must provide:

1. Information on all vessels in the FIP in one of two forms:
 - a. A description of the fleet that includes:
 - i. The number of vessels.
 - ii. Landing sites for the catch.
 - iii. Fishers' home communities.
 - iv. Gear type(s).
 OR
 - b. A list of vessels including the following:
 - i. Vessel name.
 - ii. Vessel size category.
 - iii. Vessel length (optional).
 - iv. Vessel/gear type.
 - v. Name(s) of the owner(s).
 - vi. Name(s) of the operator(s) (if different from the owner).
 - vii. Flag (if applicable).
 - viii. Landing site.
 - ix. National Registration Number and optionally an additional identification number such as a MMSI.
2. A description of how the FIP collected the information (i.e., sources).
3. The date the FIP compiled the information.
4. The FIP lead's confirmation that they have undertaken best efforts to ensure that the information provided is complete and accurate.

Definitions



Small vessels: Those that weigh less than 10 GT and are shorter than 12 m.

Large vessels: Those that weigh 10 GT or more or measure 12 m or longer.

Unique Vessel Identifier: A global unique number that is assigned to a vessel to ensure traceability through reliable, verified and permanent identification of the vessel. FisheryProgress accepts the following UVIs: International Maritime Organisation (IMO) number, Tuna Unique Vessel Identifier (TUVI), and the International Seafood Sustainability Foundation UVI (ISSF-UVI).

Vessel owner: The vessel may be owned by one or several entities, including legal owners and/or beneficial owners who own or control the legal owner.

Vessel operator: The individual or legal entity that has assumed the responsibility for the operation of the vessel from the owner and who, on assuming such responsibility, has agreed to take over the duties and responsibilities imposed on owners. The vessel operator may be the vessel owner, the captain, skipper, manager, agent, or bareboat charter.



Vessel lists for small vessels

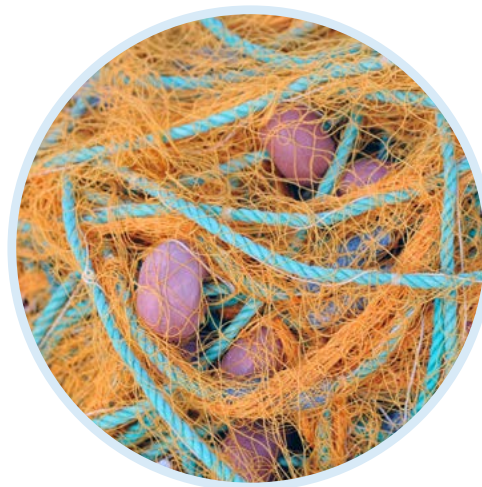
Although FIPs with small vessels are not required to provide a vessel list, they are strongly encouraged to do so.

FIPs Without Vessels

FIPs harvesting FIP products without vessels must provide information about the fishers.

FIPs with no vessels must provide:

1. A description of the fishers that includes:
 - a. Approximate number of fishers.
 - b. Landing sites for the catch.
 - c. Fishers' home communities.
 - d. Type of fishing practice.
2. A description of how the FIP collected the fisher information (i.e., sources).
3. The date the FIP compiled the information.
4. The FIP lead's confirmation that they have undertaken best efforts to ensure that the information provided is complete and accurate.



Applicability and Scope

All active FIPs on FisheryProgress must meet this requirement.

Initial Deadline

FIPs must meet this requirement to be listed as active on FisheryProgress. Guidance on requesting an extension is included in the [Extensions for Initial Deadlines](#) section above.

Progress Reporting Deadlines

FIPs must update their vessel and/or fisher information at least once per year as part of their annual report.

1.2.2 RATIONALE AND ADDITIONAL INFORMATION

FIPs must know which vessels and fishers are involved in harvesting and transshipment of FIP product to educate fishers about the Policy Statement, ensure adequate grievance mechanisms, and conduct an accurate risk assessment. For organizations monitoring human rights conditions in fisheries, they must know whether a vessel or fisher is included in the FIP to identify the remedies that a fisher can access in the event of an abuse (e.g., an employer or buyer's grievance mechanism). In FIPs with vessels, understanding who owns (and therefore financially benefits from) the vessels as well as who operates the vessels at sea is important for understanding who has control over and ultimate responsibility for working conditions, associated trainings, and risks on board. We differentiated the requirements by fishing type to accommodate the information-tracking systems available to small-scale fisheries.

1.3 Undertake Best Efforts to Make Fishers Aware of Their Rights

1.3.1 REQUIREMENT DETAILS

FIPs must undertake best efforts to make fishers aware of their rights, including at a minimum:

- The commitments and responsibilities outlined in the FIP's Policy Statement(s) (see [Requirement 1.1](#)).
- The availability of grievance mechanisms and how to use them.

To meet this requirement, FIPs must submit a completed FisheryProgress [Fisher Awareness of Rights template](#) and provide evidence to support the actions described in the template. Required information includes:

- A list of actions undertaken, including the approximate time frame in which they occurred.
- A list of evidence to support the listed action(s).
- Confirmation that the action(s) undertaken were designed to reach all fishers involved in the catch of FIP product.
- Confirmation that the action(s) were completed in a language fishers understand and that accommodations were made for illiterate fishers.

FIPs must ensure that up-to-date information is available to fishers throughout the time when the FIP is active on FisheryProgress.

Applicability and Scope

All active FIPs on FisheryProgress must meet this requirement.

FIPs must design the actions they undertake to meet this requirement to reach all fishers in the FIP's scope or unit. That includes all fishers harvesting and transshipping FIP products, regardless of whether the fishers and their employers are formal FIP participants.

Initial Deadline

FIPs must meet this requirement during their first six-month report after being listed as active on FisheryProgress. Guidance on requesting an extension is included in the [Extensions for Initial Deadlines](#) section above.

Supporting Fishers Awareness of Rights

There are multiple effective approaches to making fishers aware of their rights, including but not limited to posting notices on vessels and at ports, providing training, and/or including information on the FIP Policy Statement and grievance mechanism in hiring materials such as crew contracts and employee manuals. Fisher trade unions and other worker representatives are best positioned to help FIPs and their participants to meaningfully empower fishers to report any violations of their rights through grievance mechanisms.



Making fishers aware of their rights is not any one stakeholder's sole responsibility. Rather, it is a collective effort in effective communication that is supported through regular messaging from multiple sources.

Progress Reporting Deadline

FIPs must provide an update on their continuing efforts to make fishers aware of their rights as part of their annual report.

1.3.2 RATIONALE AND ADDITIONAL INFORMATION

Fishers' awareness of their rights and the mechanisms available to them to report and remediate grievances is essential to ensure that the working environment is safe and healthy and that human rights are upheld in the workplace. An informed and empowered workforce can serve as a powerful workplace monitor that identifies issues as they occur, identifies opportunities to reduce risk, and engages with management to continuously improve working conditions.

FIPs are strongly encouraged to work with local labor and human rights agencies and organizations, worker representatives (where they exist), and relevant government agencies to meet this requirement. Those organizations are well-positioned to help FIP participants understand how to communicate with fishers about their rights in a way that empowers them. Such agencies, organizations, and representatives are also well-positioned to support FIPs and fishers in understanding the best pathways for reporting and remediating different types of grievances or navigating any serious human rights violations should they occur.



1.4 Demonstrate There Is a Grievance Mechanism Available to All Fishers in the FIP

1.4.1 REQUIREMENT DETAILS

FIPs must provide evidence of at least one [grievance mechanism](#) available to all fishers harvesting and transshipping FIP products. The intent is that fishers have a way to report grievances in a timely manner, regardless of whether they are on land or at sea. For the purposes of this requirement, “timely” means at least once every 24 hours.

Applicability and Scope

All active FIPs on FisheryProgress must meet this requirement.

One or more grievance mechanism(s) must be available to all fishers in the scope, or unit, of the FIP. That includes all fishers harvesting and transshipping FIP products, regardless of whether the fishers and their employers are formal FIP participants.

Initial Deadline

FIPs must meet this requirement during their first six-month report after being listed as active on FisheryProgress. Guidance on requesting an extension is included in the [Extensions for Initial Deadlines](#) section above.

Progress Reporting Deadlines

FIPs must provide an update on the grievance mechanism(s) each year as part of their annual report. That update must include a brief appraisal of the effectiveness of the grievance mechanism, which considers factors such as the extent to which the mechanism(s) is used, its accessibility, how long it takes for grievances to be processed, and general challenges and/or successes.

Definitions

Grievance mechanism: A formal, legal or nonlegal complaint and remediation process that can be used by fishers who are being negatively affected by certain business activities and operations.

Remediation: The process of providing a remedy for a human rights abuse and the substantive outcomes that can counteract, or make good, the negative impact of the abuse. (Source: Based on [Shift/Mazars LLP](#)).



1.4.2 RATIONALE AND ADDITIONAL INFORMATION

The UN Guiding Principles on Human Rights emphasize the importance of workers and affected stakeholders having a safe way to file grievances and report rights abuses. This requirement aims to help ensure that fishers in FIPs are able to report abuses, should they occur, whether on land or at sea, and that a standard process exists for remediating any harm to fishers.

FisheryProgress recognizes that grievance mechanisms can and should vary based on FIP participants' specific circumstances. We acknowledge that, for example, grievances within a formal employment situation may vary from those within a cooperative of self-employed fishers. However, the traits of adequate grievance mechanisms outlined here are universal. This requirement is designed to accommodate the diversity of FIP models by allowing FIP leads and participants to determine the best system for ensuring that fisher grievances can be reported and reviewed.

Some FIPs will be able to identify and utilize existing grievance mechanisms within supply chain companies, government agencies, or workers unions. However, we recognize that may not be possible for all FIPs and that new mechanisms may have to be developed. The requirement does not specify which entity in the FIP must maintain and manage a grievance mechanism, and different FIPs will choose different ways to meet this requirement. For example, when there are multiple employers in a FIP, the FIP can submit documentation for each employer's grievance mechanism. Where all fishers are eligible to submit a grievance through a local fishers' union, the FIP can submit documentation of the union's mechanism.

Annual appraisals of the effectiveness of grievance mechanism(s) supports the continuous improvement of these systems within the FIP.

Traits of Adequate Grievance Mechanisms



As explained in the UN Guiding Principles on Business and Human Rights, grievance mechanisms should be legitimate, accessible, predictable, equitable, transparent, rights-compatible, a source of continuous learning, and based on engagement and dialogue. Best practice is that fishers are involved in the development of grievance mechanisms and have several reporting avenues, including directly at the workplace and/or through external organizations. In many countries, there are systems run by trade unions, NGOs, industry groups (including suppliers and retailers/brands), or government platforms through which fishers can seek remedies for violations of their rights.

1.5 Complete a Self-Evaluation Against the FisheryProgress Criteria for Increased Risk of Forced Labor and Human Trafficking

1.5.1 REQUIREMENT DETAILS

FisheryProgress has developed a set of criteria for assessing situational factors that increase the risk of forced labor and human trafficking in a fishery. FIPs must complete a self-evaluation against these criteria by completing the [FisheryProgress Self-Evaluation of Risk Criteria](#). The criteria for increased risk of forced labor and human trafficking in the self-evaluation are:

1. There is at-sea transshipment 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 who are not citizens of the vessel's flag state¹¹).
3. The FIP has one or more vessels where fishing trips exceed 90 consecutive days.
4. The FIP has a reported incident¹² of forced labor, child labor, or human trafficking abuse within the past two years.
5. The FIP does not have enough information to determine whether it meets any of the above criteria.

FIPs that meet one or more of these criteria must complete [Component 2](#) outlined in this HRSR Policy

Applicability and Scope

All active FIPs on FisheryProgress must meet this requirement.

Responses to the risk criteria must cover all vessels and fishers in the scope, or unit, of the FIP. That includes all fishers and vessels harvesting or transshipping FIP products, regardless of whether they are formal FIP participants.

Definitions

Fishing trip: Any voyage during which fishing takes place. The duration of a fishing trip includes all time spent away from the port(s) of origin. That includes but is not limited to time spent at sea, docked in foreign ports, soak time, and time spent resting in remote areas without access to communications.

Transshipment: The unloading of goods and/or fishers from one ship and loading them into another to complete a journey to a further destination.



¹¹ For the purposes of Risk Criterion #2, EU citizens working on an EU member state flagged vessel may be considered the same as citizens of the vessel's flag state, i.e., they do not count toward the calculation of foreign migrant workforce.

¹² Please see [FisheryProgress' Process for Addressing Concerns About FIP information on FisheryProgress](#) for details on what constitutes a "reported incident".

Initial Deadline

FIPs must meet this requirement to be listed as active on FisheryProgress.

Progress Reporting Deadlines

FIPs must repeat the [Self-Evaluation of Risk Criteria](#) each year as part of their annual report.

1.5.2 RATIONALE AND ADDITIONAL INFORMATION

Some situational factors, including transshipment, migrant workforce, and extended time at sea, are correlated with an increased risk¹³ that forced labor and human trafficking could occur onboard fishing vessels. For example, risk of such rights violations is higher in situations where vessels spend extended periods of time at sea and/or docked in foreign ports. In those instances, authorities' monitoring and oversight abilities are limited, and simultaneously the fishers' freedom of movement is restricted. The above criteria aim to identify which FIPs listed on FisheryProgress may face those situational risks.

FisheryProgress encourages FIPs to use independently verified data, data triangulation, and/or qualified experts to determine the responses to criteria. FisheryProgress, however, does not have specific requirements for who must complete the self-evaluation of risk criteria.

Understanding Risk



It is important to note that meeting one or more of the risk criteria does not mean that a particular FIP is at a high risk of human rights violations. Likewise, not meeting any of the risk criteria does not mean that a particular FIP is at a low risk of human rights violations. The risk criteria highlight the context in which the FIP operates. The only way to determine the true risk level of a particular FIP is to complete a detailed risk assessment.

¹³ Walk Free. (2018). Fishing | Global Slavery Index. [Global Slavery Index](#).



COMPONENT 2

—
Additional Requirements
for FIPs that Meet the
Risk Criteria

2.1 Complete a Risk Assessment

2.1.1 REQUIREMENT DETAILS

FIPs operating in a higher-risk context, as defined by those that meet one or more of the criteria for increased risk of forced labor and human trafficking (see [Requirement 1.5](#)), must complete a risk assessment. They can meet Requirement 2.1 in one of two ways:

1. Complete a risk assessment using the SRA Tool. FIPs may complete an SRA of the Core FisheryProgress SRA Indicators (see [Appendix A](#) for more details) that meets the following criteria:

- The assessment must be completed using the [FisheryProgress Risk Assessment Template or the SRA Tool Assessment Template](#).
- A [qualified human rights and social responsibility consultant](#) must complete the assessment.
- The assessment must include consultation with fishers and fisher representatives, for example, fisher trade unions or fisher organizations, labor rights NGOs, or other civil society organizations that represent fishers.

Note: Throughout the remainder of this HRSR Policy, this option is referred to as the completion of an SRA.

2. Provide evidence of an alternative assessment. FIPs may provide documentation of an alternative social assessment (e.g., social risk assessment, pre-assessments, or audits as part of a social standard or certification program, recent research studies).

- The FIP must submit either the alternative assessment results (if the assessment includes information on areas of risk) or a summary of alternative assessment findings.



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

The SRA is a diagnostic, benchmarking, and risk-assessment tool to support human rights due diligence in seafood supply chains. The SRA tool was developed by a broad coalition of experts across the conservation and social responsibility fields, who drew from leading social responsibility standards to create a comprehensive set of indicators for social performance that work in large and small-scale fisheries.

The SRA tool operationalizes “The Monterey Framework,”¹⁴ a shared definition of social responsibility inclusive of:

1. Protecting human rights, dignity, and access to resources.
2. Ensuring equality and equitable opportunity to benefit.
3. Improving food, nutrition, and livelihood security.

¹⁴ Kittinger, J. N., Teh, L. C. L., Allison, E. H., Bennett, N. J., Crowder, L. B., Finkbeiner, E. M., Hicks, C., Scarton, C. G., Nakamura, K., Ota, Y., Young, J., Alifano, A., Apel, A., Arbib, A., Bishop, L., Boyle, M., Cisneros-Montemayor, A. M., Hunter, P., Le Cornu, E., ... Wilhelm, T. A. (2017). Committing to socially responsible seafood: Science, 356(6341), 912–913. <https://doi.org/10.1126/science.aam9969>

- The FIP must complete and submit the [Alternative Social Assessment and Workplan Form](#), which enables collection of standardized information about the alternative assessment from all FIPs that choose to follow this pathway to compliance.

Review and Recognition of Risk Assessments

FisheryProgress' approach to review and recognize risk assessments varies by type of assessment as follows:

- FisheryProgress will review and verify documentation from FIPs that complete an SRA and will provide recognition on each FIP's profile.
- FisheryProgress will not review documentation from FIPs that provide evidence of an alternative assessment, except to confirm the Alternative Social Assessment and Workplan Form is complete. FisheryProgress will post the documentation on the FIP's profile, along with a disclaimer noting that FisheryProgress has not reviewed or verified it.

Applicability and Scope

All active FIPs on FisheryProgress that meet one or more of the criteria for increased risk of forced labor and human trafficking must meet this requirement.

With regard to scope of the assessment:

- Any SRA must align with the FIP's scope and must be based on a representative sample of all vessels and fishers in the scope, or unit, of the FIP. That includes all fishers harvesting or transshipping FIP products, regardless of whether the vessels and fishers are formal FIP participants.
- The FIP must describe the scope of any alternative assessment and how it is relevant to the FIP.

Initial Deadline

Once a FIP reports meeting one or more criteria for increased risk of forced labor and human trafficking, it has 12 months to meet the risk assessment requirement. Guidance on requesting an extension is included in the [Extensions for Initial Deadlines](#) section above.

Future Deadlines

1. For FIPs that Complete an SRA:

- FIPs must conduct future risk assessments as follows:
 - i. FIPs with high risk scores must repeat the SRA of at least those high-risk-scoring indicators every 12 months and repeat the full risk assessment against all Core FisheryProgress SRA Indicators every three years. FIPs that score as medium or low risk for all indicators must repeat the risk assessment against all Core FisheryProgress SRA Indicators every three years.
- Where applicable, FIPs must demonstrate progress over time:
 - ii. FIPs with high risk scores must make progress by demonstrating that at least one high risk indicator has improved to at least medium risk within three years.

- 2. For All FIPs:** If significant changes occur in a FIP such that the existing SRA can no longer be considered representative of the FIP or such that the alternative assessment no longer is relevant for the FIP, the FIP must provide a new risk assessment within 12 months of when those changes are reported. For additional information, please see the [FIP Review Guidelines](#).

2.1.2 RATIONALE AND ADDITIONAL INFORMATION

FIPs that meet one or more of the criteria in [Requirement 1.5](#) for increased risk of forced labor and human trafficking in fisheries must conduct a risk assessment to understand the true level of risk in the FIP. This requirement draws on methods and tools that are well-suited to the fishing context by recommending the SRA tool as the foundation for the risk assessment. FIPs collecting equivalent evidence using other social programs may use that evidence to complete relevant sections of the risk assessment.

FIPs also have the option to demonstrate that they have already identified priority social issues via an alternative assessment. Examples of alternative assessments may include social risk assessments, pre-assessments or audits as part of a social standard or certification program, or recent research studies. FIPs submitting alternative assessments will not receive the same level of recognition on the FisheryProgress profile as those completing an assessment using the SRA tool. FisheryProgress will reevaluate its approach to allowance, review, and recognition of alternative social assessments as part of the next major revision of the HRSR Policy.

We recognize that FIPs without these situational factors could still be at risk for human rights violations, and therefore we encourage all FIPs to conduct a risk assessment and voluntarily comply with Requirement 2.1.

Understanding and Highlighting the FIP's Social Stakeholders

In addition to engaging with fishers and their representatives to complete the risk assessment, FisheryProgress recommends HRSR consultants provide a full list of social stakeholders that have an interest in or whom the FIP's work will impact. That could include local government agencies, international development agencies, industry associations, and others. As part of the final risk assessment report, HRSR consultants should include an overview of social stakeholders, how they were engaged in the assessment, and how the FIP impacts them. Doing so is a great way for the FIP to demonstrate that it understands the stakeholder landscape in which the FIP operates and is taking steps to engage with those stakeholders.



2.2 Create and Implement a Social Workplan

2.2.1 REQUIREMENT DETAILS

Where applicable, FIPs must develop and implement a workplan to address risk issues identified in their social risk assessment (see [Requirement 2.1](#)). Whether a workplan is required and what type of workplan is accepted varies according to the risk assessment approach the FIP followed under Requirement 2.1 above. Specifically:

1. For FIPs That Complete an SRA:

- For all high-risk-scoring indicators, the FIP must create a social workplan that describes the actions it will undertake to improve scores to at least the medium risk level on the SRA tool.
- FIPs must use the [FisheryProgress Social Workplan](#) template to develop their workplan. A [qualified human rights and social responsibility consultant](#) must develop the workplan.
- FIPs that score low or medium risk on all indicators are not required to complete a social workplan, although it is recommended they do so for medium-risk-scoring indicators.

2. For FIPs that provide evidence of an alternative assessment:

- The FIP must provide a workplan or corrective action plan related to the alternative assessment findings.
- The FIP must complete and submit the [Alternative Social Assessment and Workplan Form](#), which enables collection of standardized information about the social workplan or corrective action plan from FIPs that chose to submit an alternative assessment.

Creating Social Workplans



It is best practice to include affected stakeholders in the development of the workplan. FIPs should share results of the risk assessment with fisher representatives, and involve them in the design of the workplan. Interventions have a much higher likelihood of success when those who will benefit from them participate in designing the solutions.

Definitions



Social workplan: Includes a list of actions the FIP will undertake, either to address deficiencies in meeting the HRSR Policy requirements or to address areas of risk identified by the FIP's risk assessment. For FIPs that have completed an SRA, the workplan must include the organizations or people responsible for completing each action and a month and year deadline for completing each action. FIPs may also include a breakdown of specific tasks under each action.

Review of Social Workplans and Associated Progress Updates

FisheryProgress' approach to review of social workplans varies by type of assessment as follows:

- FisheryProgress will review and verify documentation from FIPs that complete an SRA.
- FisheryProgress will not review documentation from FIPs that provide evidence of an alternative assessment, except to confirm that the [Alternative Social Assessment and Workplan Form](#) is complete.

Applicability and Scope

All active FIPs on FisheryProgress that either completed an SRA that includes high-risk-scoring indicators or provided evidence of an alternative social risk assessment must meet this requirement.

For FIPs that completed an SRA, the workplan's scope must be based on the scope of the assessment findings. FIPs that opted to use an alternative assessment must provide an explanation of the relevance of their workplan to their assessment.¹⁵

Initial Deadline

Once a FIP reports meeting one or more criteria for increased risk of forced labor and human trafficking, it has 12 months to complete the social workplan. **Note this is the same deadline as for the completion of the risk assessment (Requirement 2.1).** Guidance on requesting an extension is included in the [Extensions for Initial Deadlines](#) section above.

Progress Reporting Deadlines

1. **For FIPs that complete an SRA:** FIPs must report on social workplan progress every six months, as part of their existing six-month and annual reports, until their annual SRA shows that all indicators have scored as low or medium risk.¹⁶ FIPs must report the following during their existing six-month and annual reports:
 - a. **Six-month reports.** FIPs must report progress on the actions in their social workplan, and submit evidence for the progress reported.
 - b. **Annual reports.** FIPs must:
 - i. Report progress on the actions in their social workplan, and submit evidence for the progress reported.
 - ii. Update the workplan to reflect the most recent indicator scores, if the FIP was required to submit an updated SRA.
2. **For FIPs that provide evidence of an alternative assessment:** FIPs must report on social workplan progress during their existing annual reports by reporting progress on the actions in their social workplan. They may choose to submit evidence for the progress reported but are not required to do so. They may also voluntarily report on progress during their six-month reports.

Creating Social Workplans

It is best practice for FIPs to include affected stakeholders in the workplan development. FIPs should share results of the risk assessment with fishers and/or their representatives and involve them in the workplan design. Interventions have a much higher likelihood of success when those who will benefit from them participate in designing the solutions.



¹⁵ The explanation of relevance is a required field in the Alternative Social Assessment and Workplan Form.

¹⁶ FIPs may voluntarily continue to report on indicators after their score has reached medium or low risk.

2.2.2 RATIONALE AND ADDITIONAL INFORMATION

At their most fundamental level, FIPs are a model for improvement. Requiring FIPs to create and implement a social workplan to address areas of high risk identified in their SRA supports FIPs to undertake the actions needed to protect fishers. That is the same approach used to improve FIPs' environmental performance. FIPs that submit evidence of an alternative assessment are also required to publish and report on progress against an associated workplan or corrective action plan to promote transparency.



COMPONENT 3

—

Requirements for Voluntary Reporting on Social Performance

3.1 Voluntary Reporting Requirements

This HRSR Policy focuses on a set of basic requirements for all FIPs and additional requirements for those FIPs that meet criteria for increased risk of forced labor and human trafficking due to situational factors.

FisheryProgress recognizes that any FIP may have areas of high risk and potentially have abuses occurring, even if it does not meet the specific risk criteria included in [Requirement 1.5](#). There are also other social responsibility concerns that extend beyond the core human and labor rights included in the Core FisheryProgress SRA Indicators¹⁷, such as food and livelihood security. We therefore encourage all FIPs listed on FisheryProgress to assess their social risk and report on their efforts to improve their social responsibility. By voluntarily reporting, FIPs can demonstrate their leadership in adopting best practices and meeting seafood buyers' human rights due diligence requirements.

FIPs that are reporting voluntarily fall into two categories:

- FIPs that **are not** required to meet Requirements 2.1 and 2.2 but voluntarily choose to.
- FIPs that **are** required to meet Requirements 2.1 and 2.2 but voluntarily choose to assess and report on issues beyond the required Core FisheryProgress SRA indicators.

3.1.1 REQUIREMENT DETAILS

FIPs choosing to exceed the minimum requirements laid out in Components 1 and 2 may do so using either an SRA or evidence of an alternative assessment. They must follow the guidelines below related to the risk assessment and associated social workplan. Guidelines vary based on the type of assessment.

1. For FIPs that complete an SRA:

- a. FIPs must use the [FisheryProgress Risk Assessment Template or the SRA Tool Assessment Template](#).
- b. FIPs that are not required to meet [Requirement 2.1](#) may choose which SRA indicators they assess.
- c. Assessment of SRA indicators must be completed by individuals with the required expertise as follows:
 - i. A [qualified HRSR consultant](#) must assess all Core FisheryProgress SRA Indicators.
 - ii. All other SRA indicators may be assessed by *either* a qualified HRSR consultant *or* consultant(s) who meets the general guidance on qualifications for assessment and evaluation teams from the SRA.
- d. If the FIP submits an SRA with high-risk-scoring indicators, it must also meet [Requirement 2.2](#).

2. For FIPs that submit evidence of an alternative assessment:

- a. The FIP must also meet [Requirement 2.2](#).

¹⁷ See Appendix A for a complete list of SRA topics and indicators.

Applicability and Scope

All active FIPs on FisheryProgress that are voluntarily reporting must meet this requirement.

Initial Deadline

FIPs may choose to begin voluntarily reporting as part of any six-month or annual report.

Future and Progress Reporting Deadlines

FIPs that are voluntarily reporting must meet relevant future and progress reporting deadlines from [Requirements 2.1](#) and [2.2](#):

1. For FIPs that complete an SRA:
 - a. Once a FIP submits an SRA of any subset of indicators, it must meet the future deadlines outlined in [Requirement 2.1](#).
 - b. FIPs with SRA indicators that score as high risk must also meet progress reporting deadlines outlined in [Requirement 2.2](#).
 - c. FIPs voluntarily reporting progress against a social workplan for low or medium risk indicators may do so as part of any six-month or annual report.
2. Once a FIP submits evidence of an alternative assessment, it must meet the progress reporting deadlines outlined in [Requirement 2.2](#).



3.1.2 RATIONALE AND ADDITIONAL INFORMATION

Setting basic guidelines for FIPs choosing to exceed minimum requirements ensures that reporting information is presented in the same framework, which facilitates FisheryProgress users' understanding. Furthermore, it also ensures that all FIPs take steps to address potential risks, regardless of whether they are operating in a higher-risk context or not.

If a FIP is required to meet [Requirements 2.1](#) and [2.2](#) and did so by completing an SRA, it may provide an alternative assessment in addition to its SRA for any voluntary reporting (i.e., for any issues and themes that are not considered a Core SRA Indicator by FisheryProgress). However, we encourage such FIPs to base voluntary reporting on an SRA for consistency.



APPENDIX A

—

Core Fishery Progress SRA Indicators



The table below (Table 2) presents the full set of SRA performance indicators (PIs). **The PIs highlighted in blue and noted with an asterisk (*) are the Core FisheryProgress SRA Indicators.** Those are indicators that:

- Are required to be assessed (as applicable¹⁸) for FIPs that meet one or more of the criteria for increased risk of forced labor and human trafficking (see Requirement [1.5](#) and [2.1](#)).
- Must be assessed by an individual or team meeting [FisheryProgress' requirements for Human Rights and Social Responsibility Consultants](#), regardless of whether the FIP is required to assess them or is doing so voluntarily (see Requirement 2.1 and 3.1).

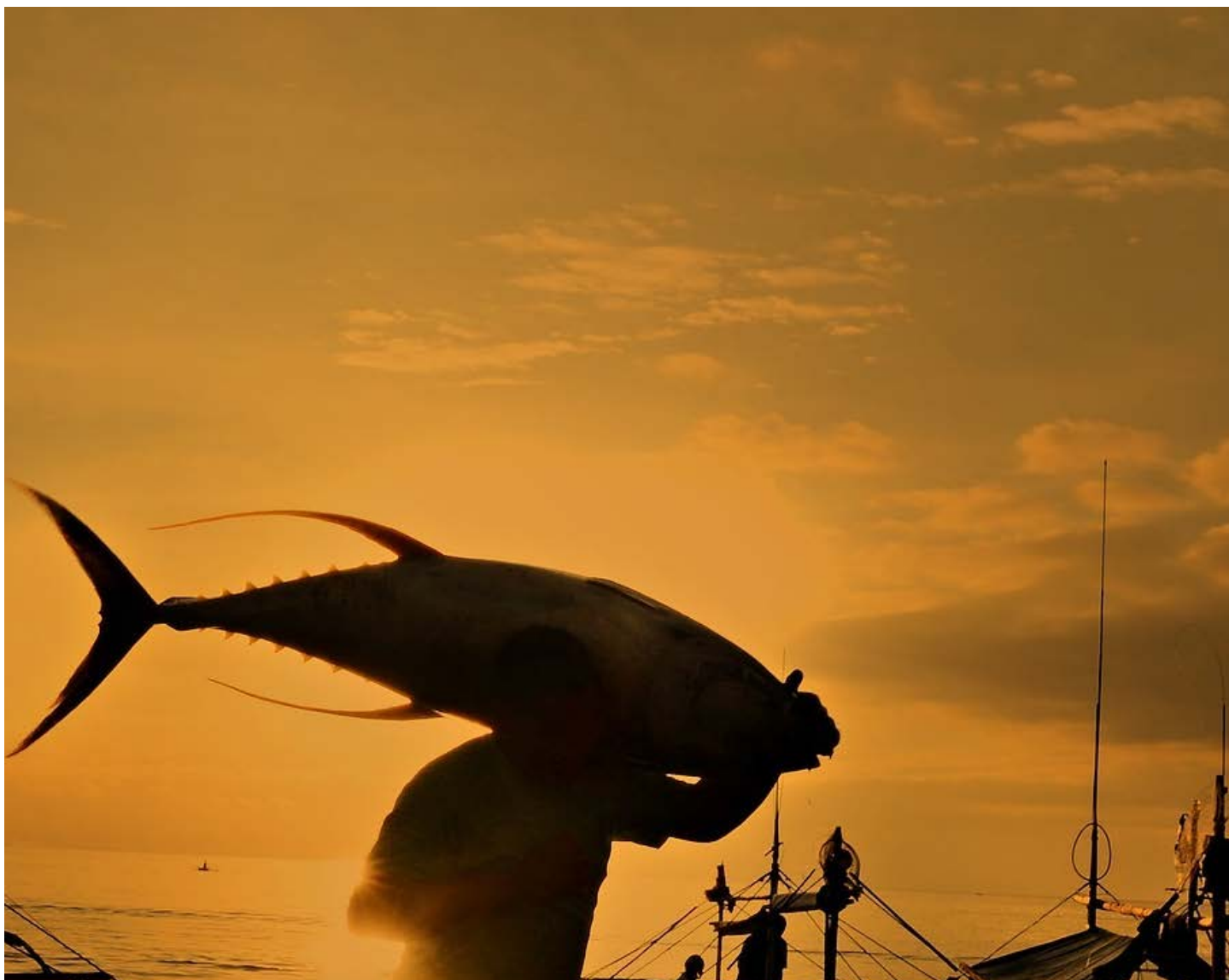
Table 2: SRA Performance Indicators

Component		Performance Indicator (PI)
Principle 1: Protect human rights, dignity, and access to resources		
1.1 Human and labor rights	1.1.1*	Abuse and harassment
	1.1.2a*	Human trafficking and forced labor
	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
	1.1.6*	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
Principle 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

¹⁸ The SRA is designed to accommodate a range of fisheries and contexts and provides a comprehensive set of PIs to that end. That means that not all PIs are applicable to all FIPs. For additional guidance on determining which PIs are applicable, please refer to the [Scoring Guidance table in the Social Responsibility Assessment Tool for the Seafood Sector](#).

Component		Performance Indicator (PI)
Principle 2: Ensure equality and equitable opportunity to benefit		
2.2 Equity	2.2.1	Equitable opportunity to benefit
	2.2.2*	Discrimination
Principle 2: Ensure equality and equitable opportunity to benefit		
3.1 Food Nutrition and 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

¹⁸ The SRA is designed to accommodate a range of fisheries and contexts and provides a comprehensive set of PIs to that end. That means that not all PIs are applicable to all FIPs. For additional guidance on determining which PIs are applicable, please refer to the [Scoring Guidance table in the Social Responsibility Assessment Tool for the Seafood Sector](#).



APPENDIX B

—

Key Related Resources



Key resources, templates, and supporting documentation associated with this HRSR Policy can be found on the [Resources for FIPs](#) section of the FisheryProgress website. Specifically, readers can access:

- The **FisheryProgress Glossary**, which contains key terms and definitions related to the understanding of this HRSR Policy and related materials. Note that terms underlined in this HRSR Policy are included in the Glossary.
- **Templates and forms** referenced in this HRSR Policy.
- Additional **social responsibility resources** intended to support FIPs in taking steps to address human rights risks and other social responsibility challenges in their fisheries.
- The **FIP Review Guidelines**, which contain important details related to the implementation of this HRSR Policy and FisheryProgress's approach to evaluation of FIPs social information and progress.
- Qualifications for **HRSR consultants** and a database of FIP consultants.