

FISHERYPROGRESS.ORG

# HUMAN RIGHTS AND SOCIAL RESPONSIBILITY POLICY

**Version 1.0**

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A low-angle, close-up photograph of a person's hands pulling a fishing net. The net is made of a light-colored, fibrous material and is strung with several bright yellow floats. The person is wearing a dark blue long-sleeved shirt and a red jacket. The background is a clear, bright blue sky. The overall composition is dynamic and emphasizes the texture of the net and the vibrant colors of the floats and clothing.

# INTRODUCTION

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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. As of 2020, 95% 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 non-governmental organizations (NGOs) and journalists have brought to light the urgent need to ensure that human rights are protected in fisheries. This spurred a conversation among stakeholders in the sustainable seafood movement about how to address social responsibility in FIPs. Through these discussions, it became clear that failing to address human rights and labor abuses on FisheryProgress placed fishers at risk, 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 that the human rights of those who work in them are respected.

## **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 States and companies to prevent, address and remedy human rights abuses committed in business operations. They were proposed by UN Special Representative on business and human rights John Ruggie, and endorsed by the UN Human Rights Council in June 2011. In the same resolution, the UN Human Rights Council established the UN Working Group on business and human rights.

The following Human Rights and Social Responsibility Policy outlines our expectations of FIPs reporting on FisheryProgress, aligned with the international best practices outlined in Principle 15 of the 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.

The objectives of this policy are to help FIPs identify and reduce the risk of human and labor rights abuses in their fisheries, and to increase transparency around the efforts FIPs are taking to address human and labor rights risks.

## Policy Revisions

FisheryProgress recognizes that industry norms evolve over time and is committed to maintaining requirements that fairly and equitably support FIPs and their stakeholders throughout their improvement journeys. Within three years of the launch of the policy, FisheryProgress will undertake a full review of this policy and its impact on FIPs to determine the need for a major revision. Minor revisions of the policy, such as to improve clarity or provide more detailed guidance, may occur on a more frequent basis. The process for future major revisions is expected to reflect the process undertaken for the development of this policy, including outreach to FIP implementers, human rights and labor experts, industry, and other stakeholders.

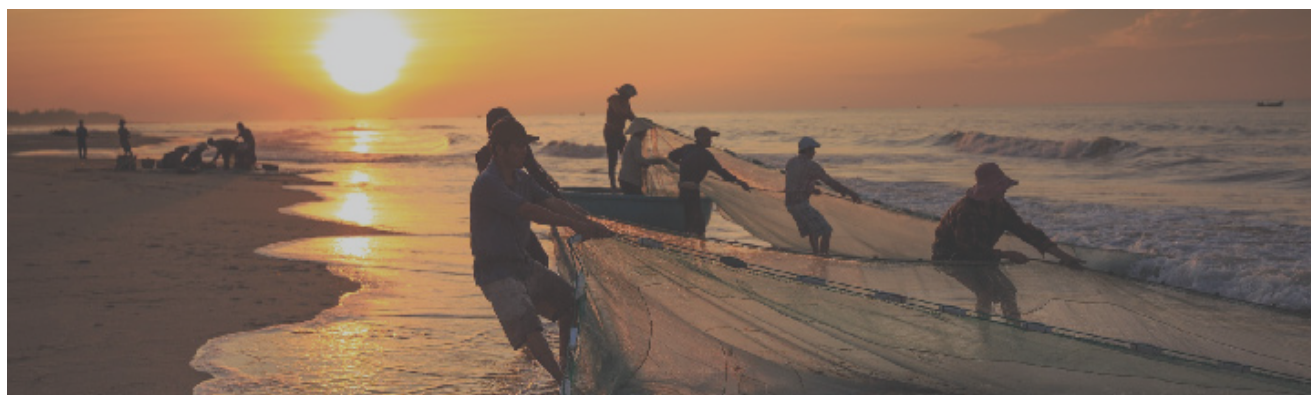
## Making Social Responsibility Claims

FisheryProgress is a progress reporting platform that makes FIP improvement data transparent and accessible. Simply being listed on FisheryProgress does not mean a FIP is environmentally sustainable or socially responsible, and FisheryProgress does not endorse or verify claims of this nature.

**Compliance with this policy does not mean that FIPs can claim that they are free from human rights abuses.** 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 help assess whether FIPs align with their companies' requirements.

We encourage FIPs to communicate the work that they are doing to address human rights risks and social responsibility challenges. We recommend that such communications be based on the FIP's public social performance reporting information, so that interested stakeholders can determine for themselves if the claim is substantiated. Examples include:

- The FIP signed the FisheryProgress Human Rights Code of Conduct.
- The FIP has a publicly available grievance mechanism.
- The FIP completed a risk assessment that is publicly available on FisheryProgress.
- The FIP created a social workplan to improve [fill in workplan priorities as appropriate].
- The FIP reported an improvement in a social indicator it has been tracking via its FisheryProgress profile, with an explanation of the steps it took that contributed to the improvement.





# OVERVIEW OF THE POLICY

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This 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 criteria for having an 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 policy. An overview of each component is provided here, with more detail in the following pages.

## Policy Components

### Component 1 Requirements for All FIPs

#### **All FIPs reporting on FisheryProgress must:**

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

### Component 2 Additional Requirements for FIPs that Meet the Risk Criteria

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

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

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

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

## Who is covered by this policy?



**Vessels**



**Fishers**



**Observers**

This policy applies to all FIPs reporting on FisheryProgress, and covers all *vessels*, *fishers*, and *fisheries observers* within the FIP. All fishing activity within a FIP is included in the scope of this policy, whether conducted from shore, a vessel, or elsewhere. All vessels fishing within a FIP are included in the scope of this policy, whether or not they are formal participants in the FIP. This applies even if the skipper of the vessel or the fleet owner is not a formal *FIP participant*. In addition, vessels transporting catch and vessels fishing for bait are included in the scope of this policy when they are owned by a FIP participant.

We understand that human rights violations can occur in other parts of the seafood supply chain that are outside the scope of this policy. However, the scope of this policy is designed to align with the scope of FIPs, which focuses on the interventions and activities that relate to resource management at sea.

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

### Definitions



**Vessel:** A vehicle used to catch or transport fish or fishers. This includes transshipment vessels. All vessels fishing or transporting catch within a FIP are included in the scope of this policy, whether or not they are formal participants in the FIP.

**Fisher:** Any person of any age or gender 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.

**Fisheries observer:** An independent specialist authorized by fishery regulatory authorities to collect data to assist in the monitoring of commercial exploitation of marine resources (e.g., species caught and discarded, area fished, gear used). At-sea observers join the vessel during fishing trips but do not normally engage in fishing activities; they observe fishing practices as a third party, and report scientific and regulatory enforcement information to the management authority.

**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 nongovernmental organizations. (Source: [Conservation Alliance Guidelines for Supporting Fishery Improvement Projects](#), 2021)

**Skipper:** The fisher having command of a fishing vessel.

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



## Who is responsible for implementing this policy?

FIPs involve a range of different actors, all with different roles and responsibilities for implementing improvements in the fishery. The ultimate responsibility for upholding human and labor rights and securing safe working conditions on vessels lies with the employer, *vessel owner(s)*, and skipper.

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. This means that all FIP participants can play a role in ensuring that human rights are respected.

### Definition

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



Among the FIP participants, the *FIP lead* is the one party responsible for reporting to FisheryProgress that FIP participants are doing their part to uphold human rights.

This **does not mean** that the FIP lead must undertake all of the activities required to implement this policy in the FIP, but rather that the FIP lead confirms that all of the required activities occur and are reported on FisheryProgress.



### Definition

*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.

## How does the social performance information get reviewed?

FIP data is updated every six months and reviewed by the FisheryProgress review team before it is published to the site. FisheryProgress reviews the information FIPs submit according to the [FIP Review Guidelines](#) and the [FIP Social Review Guidelines](#). The site's oversight committees conduct regular spot checks to ensure reviews are consistent, which helps to ensure that similar standards are used across FisheryProgress.



## When are FIPs required to comply with this policy?

The policy provides deadlines for meeting each requirement. However, we understand that it may take some time for FIPs that are currently reporting on FisheryProgress to meet the requirements. Therefore, we will use a phased implementation timeline.

These phased deadlines are applicable for all FIPs that are currently reporting on FisheryProgress, as well as new FIPs that become active on the website on or before October 31, 2021. Beginning on November 1, 2021, new FIPs must meet requirements 1.1 and 1.5 in order to become active on FisheryProgress. Beginning on May 1, 2022, new FIPs must meet requirements 1.1-1.5 in order to become active on FisheryProgress.

The phased implementation deadlines for new and existing FIPs are outlined in the below table. In all cases, the first report means either the six-month or annual, whichever comes first after the date noted.

Requirement	Phased Implementation Dates	
	New FIPs	Existing FIPs
1.1 Sign the FisheryProgress Human Rights Code of Conduct.	Effective Nov. 1, 2021	First report after Nov. 1, 2021
1.2 Provide information about the vessels included in the FIP.	Effective May 1, 2022	First report after May 1, 2022
1.3 Undertake best efforts to make fishers aware of their rights.	Effective May 1, 2022	First report after May 1, 2022
1.4 Demonstrate there is a grievance mechanism available to all fishers in the FIP.	Effective May 1, 2022	First report after May 1, 2022
1.5 Complete a self-evaluation against the FisheryProgress criteria for increased risk of forced labor and human trafficking.	Effective Nov. 1, 2021	First report after Nov. 1, 2021

## What happens if a FIP doesn't comply with this policy?

Failure to comply with this policy will result in active FIPs moving to inactive status. This occurs in the following circumstances:

- **Providing initial social performance information (Requirements 1.1-1.5 and 2.1-2.2)**

Active FIPs that do not meet a deadline for completing the requirements 1.1-1.5 and 2.1-2.2 (if applicable) will be provided notice and then moved to inactive status.

- **Reporting and keeping information up to date (Requirement 2.3)**

FIPs meet requirement 2.3 through their existing six-month and annual report schedule. The *six-month report* and *annual report* due dates vary by FIP, based on when they were listed as an active FIP on the site, and are noted on each FIP's overview page. Two consecutive missed reports (including a report that was missed then submitted later) will render the FIP inactive.

- **Lack of progress**

Active FIPs reporting on their risk assessment must demonstrate progress when the risk assessment shows that one or more SRA indicators aligned with the Human Rights Code of Conduct are scored as high-risk (red). Those FIPs that are not able to demonstrate that at least one of these red indicators has improved to medium risk (yellow) within three years will be moved to inactive status.

### Definitions



*Six-month reports:*  
When FIPs report on action progress.

*Annual reports:* When FIPs report on action progress and provide an update on all of the FIP's indicator scores, along with relevant updated documents.

Additional information on grace periods, missed reports, going inactive, and how to reactivate an inactive FIP can be found in the [FIP Review Guidelines](#) and [FIP Social Review Guidelines](#).

## How will FisheryProgress handle allegations of abuses?

The FisheryProgress [Allegations Policy](#) outlines our process for handling allegations of human rights abuses occurring in FIPs reporting on the site. FIPs in which sufficient evidence of an abuse is found will be required to comply with requirements 2.1-2.3 of the policy.

## What is the process for appealing procedural issues or reviewer decisions related to this policy?

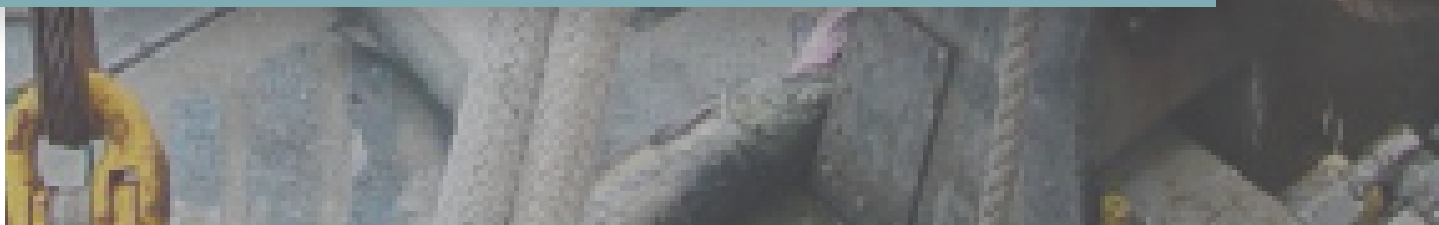
The FisheryProgress appeals process handles concerns about decisions made by FisheryProgress reviewers or procedural issues related to the requirements outlined in this policy and the [Allegations Policy](#). You can read more about the appeals process and the criteria for accepted appeals on the FisheryProgress website [here](#).



# COMPONENT 1



## Requirements for All FIPs



# 1.1 Sign the FisheryProgress Human Rights Code of Conduct.

## 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 their shared commitment to these values by signing the FisheryProgress Human Rights Code of Conduct (“Code of Conduct”) (see [Appendix A](#)).

The Code of Conduct should be signed by the most relevant parties in the FIP. At a minimum, this means either:

- The FIP lead(s) sign the Code of Conduct using the [FisheryProgress Human Rights Code of Conduct template](#) and confirms in writing that they have shared it with all FIP participants in the language(s) they understand; or
- All FIP participants sign the Code of Conduct using the [FisheryProgress Human Rights Code of Conduct template](#). In instances where the FIP lead is not a FIP participant, but acts solely as a consultant, service provider, or administrator, they are not required to sign the Code of Conduct.

By signing the Code of Conduct, signatories commit to improve understanding and mitigation of the human and labor rights risks in their FIP, as defined by the principles detailed in the Code of Conduct and as applicable to their role and the vessels and fishers in the FIP. This commitment endures throughout the time the FIP is active on FisheryProgress.

The FIP lead is responsible for ensuring that all current and future FIP participants are made aware of the Code of Conduct, and the expectation to uphold the values and principles included therein. This includes sharing the Code of Conduct in the language(s) they understand.

### Initial Deadline

FIPs must meet this requirement to be listed as active on FisheryProgress. (See the [Overview of the Policy](#) for phased deadline requirements for FIPs active on FisheryProgress on or before October 31, 2021.)

### Future Deadlines

If there are changes that impact the signatories (e.g., the FIP lead changes and was the signatory, a new FIP participant is added and the participants are the signatories), the FIP must submit the [FisheryProgress Human Rights Code of Conduct template](#) with updated signatories at the next scheduled six-month report.

### FisheryProgress Human Rights Code of Conduct



The FisheryProgress Human Rights Code of Conduct is based on international conventions and labor standards, including the [United Nations’ Universal Declaration of Human Rights](#); the [International Covenant on Civil and Political Rights](#); the [International Covenant on Economic, Social and Cultural Rights](#); the [International Labour Organization’s \(ILO\) fundamental conventions](#); and the [ILO Work in Fishing Convention](#).



### Best Practice

FisheryProgress strongly encourages all FIP participants sign the Code of Conduct as a way to emphasize collective commitment and reinforce shared responsibility. Best practice is to include the Code of Conduct in partnership, financing, and purchasing contracts among FIP participants, including any Memorandum of Understanding signed by FIP participants.



## 1.1.2 RATIONALE

FisheryProgress prioritized the principles included in the Code of Conduct because they align with widely used and respected international standards – the United Nations Universal Declaration of Human Rights, the International Labor Organization Fundamental Conventions, and the ILO Work in Fishing Convention. The Code of Conduct encompasses the international human rights principles and standards that are the most relevant and salient for fisheries.

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. This means that all FIP participants play a role in ensuring that human rights are respected and can commit to doing so by signing the Code of Conduct. Actions taken to uphold the values in the Code of Conduct may vary for different types of actors. For example:

- Retailer/brand participants can update sourcing policies and provide financial and/or technical support to producers.
- Producer participants can improve their company's management, policies, and procedures and provide training to relevant personnel.
- Conservation NGO participants can leverage their insights to highlight potential risks and ensure their own work takes a “do-no-harm” approach.
- Socio-economic 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.
- Government participants can identify gaps in laws, regulation, and enforcement and work to improve them.





## 1.2 Provide information about the vessels or fishers included in the FIP.

### 1.2.1 REQUIREMENT DETAILS

FIPs must provide information about the vessels or fishers included in the FIP using the [FisheryProgress Vessel/Fisher Information template](#), which will be made public on the FIP's profile on FisheryProgress. The information a FIP must provide to comply with this requirement is differentiated for large vessels and those fishing outside their Exclusive Economic Zone (EEZ), small vessels, and non-vessel fishing. FIPs that have a mix of large vessels, small vessels, and/or no vessels must meet the relevant requirements for each part of the fleet, as described below. FIPs may request that individual names provided to meet this requirement remain private.

#### Initial Deadline

FIPs must meet this requirement to be listed as active on FisheryProgress. (See the [Overview of the Policy](#) for phased deadline requirements for FIPs active on FisheryProgress on or before April 30, 2022.)

#### Future Deadlines

FIPs must update their vessel information at least once per year, as part of their annual report.

### 1.2.2 LARGE VESSELS AND VESSELS OF ANY SIZE FISHING OUTSIDE THEIR EEZ

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

1. A list of all vessels in the FIP that includes, for each vessel:
  - a. Vessel name
  - b. Gear type
  - c. Name(s) of the owner(s)
  - d. Name(s) of the operator(s) (if applicable)
  - e. Flag
  - f. International Maritime Organisation number or other Unique Vessel Identifier.
2. A description of how the vessel information was collected (i.e., sources).
3. The date the information was compiled.
4. The FIP lead's confirmation that they have undertaken best efforts to ensure that the information provided is complete and accurate.

#### Definitions



*Large vessels:* Those which weigh 10 GT or more, or are longer than 12 m.

*International Maritime Organisation number:* A permanent number assigned to ships for identification purposes.

*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.

**In very rare cases where the above information cannot be obtained**, the public vessel list requirement for large vessels may be waived. In such cases, the FIP must:

1. Provide an explanation for why the vessel list cannot be obtained and the timeframe for which it is requesting the waiver.
2. Include the development of a vessel list in its workplan, and report on progress during its six-month and annual reports.

Under the waiver, the default vessel scope will be all vessels fishing the species and waters using the gear type(s) listed in the FIP's profile. The [FIP Social Review Guidelines](#) include more guidance on potential cases that would qualify for waivers, and how these waivers will be reviewed.

### 1.2.3 SMALL VESSELS

#### Definition

*Small vessels:* Those which weigh less than 10 GT and are shorter than 12 m. FisheryProgress may consider minor exceptions to these definitions if they are supported by local legal definitions.



FIPs with *small vessels* must provide:

1. Information on all vessels in the FIP, in one of two forms:
  - a. A list of all vessels in the FIP that includes, for each vessel:
    - i. Vessel name
    - ii. Gear type
    - iii. Name(s) of the owner(s)
    - iv. Name(s) of the operator(s) (if applicable)
    - v. Flag (if applicable)
    - vi. National registration number (if available), and
    - vii. Landing site
  - OR
  - b. A description of the fleet that includes:
    - i. The number of vessels
    - ii. Landing sites for the catch
    - iii. Home communities of the fishers
    - iv. Gear type(s).
2. A description of how the information was collected (i.e., source).
3. The date the information was compiled.
4. The FIP lead's confirmation that they have undertaken best efforts to ensure that the information provided is complete and accurate.

## 1.2.4 NO VESSELS

FIPs with no vessels must provide:

1. Information on all fishers in the FIP, in one of two forms:
  - a. The list of individuals fishing in the FIPOR
  - b. A description of the fishers that includes:
    - i. Approximate number of fishers
    - ii. Landing sites for the catch
    - iii. Home communities of the fishers
    - iv. Type of fishing practice.
2. A description of how the vessel information was collected (i.e., sources).
3. The date the information was compiled.
4. The FIP lead's confirmation that they have undertaken best efforts to ensure that the information provided is complete and accurate.



## 1.2.5 RATIONALE

The FIP must know which vessels are included in the FIP in order to educate fishers about the Code of conduct, ensure adequate grievance mechanisms, and conduct an accurate risk assessment. For organizations monitoring human rights conditions in fisheries, they must know whether a vessel 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). We differentiated the requirements by vessel size 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 under this policy, including the FIP’s commitment to improvement under the FisheryProgress Human Rights Code of Conduct and the availability of grievance mechanisms and how to use them. They must ensure that the information is available to fishers throughout the time that the FIP is active on FisheryProgress.

To demonstrate compliance with this requirement, FIPs must provide a description and evidence of their efforts to make fishers aware of their rights.

**Best Practice: Making Fishers Aware of Their Rights**



This may be achieved in a range of ways, for instance posting notices on vessels and at ports, providing trainings, or including in employee hiring materials. Fisher organizations and trade unions are ideal partners for this awareness raising. Making fishers aware of their rights is not the sole responsibility of any one stakeholder. Best practice is that fishers are hearing about their rights regularly and from many sources.

**Initial Deadline**

FIPs must meet this requirement during their first six-month report after being listed as active on FisheryProgress. (See the [Overview of the Policy](#) for phased deadline requirements for FIPs active on FisheryProgress on or before April 30, 2022.)

**Future Deadlines**

FIPs must provide an update on their continuing efforts to make fishers aware of their rights as part of their annual report, beginning with their first annual report after being listed as active on FisheryProgress.

## 1.3.2 RATIONALE

Making sure that fishers are aware of their rights is essential to ensuring that the working environment is safe and healthy, and that human rights are upheld in the workplace. A workforce that understands their rights and the remedies available to them is a constant monitor that can quickly identify issues as they occur, rather than waiting for abuses to be discovered by a buyer or auditor.

# 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 in the FIP to report human rights abuses. Available means fishers must have a way to report abuses at least once every 24 hours, including at-sea during trips longer than 24 hours and when docked in ports outside of their home communities.

This policy does not require the FIP itself to have its own grievance mechanism. Rather, this policy requires the FIP to demonstrate the existence of one or more grievance mechanisms that cover all fishers in the FIP. For example, when there are multiple employers in a FIP, the FIP can submit documentation for each employer’s grievance mechanism. Where fishers are eligible to submit a grievance through a local fishers’ union, the FIP can submit documentation of the union’s mechanism.

### Initial Deadline

FIPs must meet this requirement during their first FIPs must meet this requirement during their first six-month report after being listed as active on FisheryProgress. (See the [Overview of the Policy](#) for phased deadline requirements for FIPs active on FisheryProgress on or before April 30, 2022.)

Any FIP that determines there is no grievance mechanism available to fishers in the FIP must create a social workplan or include in its social workplan activities to work with FIP participants, civil society organizations, and/or other relevant partners to develop a grievance mechanism within one year. The FIP must provide an update on its progress during each future six-month and annual report until it can provide proof that a grievance mechanism is available to all fishers in the scope of the FIP.

### Future Deadlines

FIPs must provide an update on the grievance mechanism(s) available to fishers in the FIP each year as part of their annual report, beginning with their first annual report after being listed as active on FisheryProgress. This update must include a self-evaluation on the effectiveness of the grievance mechanism.

### Definitions



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

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



## Best Practice: 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 FIP misconduct.

## 1.4.2 RATIONALE

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



## 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](#). FIPs that meet one or more of the criteria must complete Component 2 outlined in this policy.

#### Initial Deadline

FIPs must meet this requirement to be listed as active on FisheryProgress. (See the [Overview of the Policy](#) for phased deadline requirements for FIPs active on FisheryProgress on or before October 31, 2021.)

#### Future Deadlines

FIPs must repeat the Self-Evaluation of Risk Criteria each year as part of their annual report.

### 1.5.2 CRITERIA FOR INCREASED RISK OF FORCED LABOR AND HUMAN TRAFFICKING

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 abuse within the past four years.
5. The FIP does not have enough information to determine if it meets any of the above criteria.

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 risk assessment.



### 1.5.3 RATIONALE

Some situational factors, including transshipment, migrant workforce, and extended time at sea are [correlated with an increased risk](#)<sup>1</sup> that forced labor and human trafficking could occur onboard fishing vessels. These criteria aim to identify which FIPs listed on FisheryProgress may face these situational risks.

<sup>1</sup> Walk Free. (2018). Fishing | Global Slavery Index. Global Slavery Index. <https://www.globalslaveryindex.org/2018/findings/importing-risk/fishing/>



## COMPONENT 2

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### Additional Requirements for FIPs that Meet the Risk Criteria

## 2.1 Complete a risk assessment using the Social Responsibility Assessment Tool.

### 2.1.1 REQUIREMENT DETAILS

FIPs that meet one or more of the criteria for increased risk of forced labor and human trafficking outlined above must complete a risk assessment of the Social Responsibility Assessment Tool for the Seafood Sector (SRA) indicators that align with the Human Rights Code of Conduct (referenced as the Code of Conduct indicators in this policy – see [Appendix B](#) for more details):

1. The assessment must be completed using the [FisheryProgress Risk Assessment template](#).
2. The assessment must be completed by an individual or team with the qualifications outlined in [Appendix C](#).
3. The FIP lead must confirm that the assessment was conducted in consultation with fishers and their trade unions or fisher organizations, where these exist. If these do not exist, the FIP lead must confirm that labor rights NGOs or other civil society organizations that represent fishers were consulted.

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



The SRA is a diagnostic, benchmarking, and risk-assessment tool for conducting human rights due diligence in seafood supply chains. The SRA 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 operationalizes “The Monterey Framework,”<sup>2</sup> 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.

#### Initial Deadline

Once a FIP reports meeting one or more criteria for increased risk of forced labor and human trafficking, it has one year to complete the risk assessment.

#### Future Deadlines

The risk assessment must be repeated in accordance with the following:

- **FIPs that score red on any of the indicators** must repeat the risk assessment of those red indicators only every year, and repeat the full risk assessment against all of the elements in the Fishery Progress Human Rights Code of Conduct every three years. FIPs must submit their updated risk assessment as part of their annual reports.
- **FIPs that score in the yellow or green level for all indicators** must repeat the risk assessment against all of the elements in the Fishery Progress Human Rights Code of Conduct every three years during their time listed as an active FIP, and submit it as part of the FIP’s annual report.

<sup>2</sup> 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>

- **If significant changes occur in a FIP in the years between full, three-year risk assessments, the FIP may need to repeat its risk assessment ahead of the next three-year deadline.** Specifically, each year in their annual report FIPs must confirm that:
  1. There have not been any significant changes in the FIP which might change its social performance. Examples of a significant change include but are not limited to:
    - a. Turnover in crew, captains, or vessels, defined as changes or increases of 25% or more
    - b. Vessels are fishing in new countries or EEZs
    - c. A decrease in catch that has significantly affected profitability
    - d. Increases in trip length beyond 90 days.
  - OR
  2. There has been a significant change in the FIP which might change its social performance, but the FIP can demonstrate that relevant actors in the FIP have adequate policies, procedures, and systems in place to ensure that the same or better level of social performance is maintained.

If the FIP is not able to confirm one of these, the FIP must repeat the risk assessment and submit it as part of its next annual report.

### 2.1.2 RATIONALE

FIPs that meet one or more of the criteria in requirement 1.5 face situational factors that increase the risk of forced labor and human trafficking in fisheries, which warrants conducting a comprehensive 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 using the SRA as the foundation for the risk assessment. Equivalency mapping has been developed to allow FIPs to use audit data from other social programs (e.g., the Fair Trade USA Capture Fisheries Standard, the Responsible Fishing Vessel Scheme) to complete the risk assessment.

We recognize that FIPs without these situational factors could still be at risk for human rights violations, and encourage all FIPs to conduct a risk assessment as outlined in this policy.



## 2.2 Create a social workplan to address all red indicators.

### 2.2.1 REQUIREMENT DETAILS

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 must use the [FisheryProgress Social Workplan template](#) to develop their workplan. The workplan must be developed by an individual or team with the qualifications outlined in Appendix C.

#### Initial Deadline

Once a FIP reports meeting one or more criteria for increased risk of forced labor and human trafficking, it has one year to complete the social workplan.

#### Definitions

*Social workplan:* Includes a list of actions the FIP will undertake, either to address deficiencies in meeting the [Human Rights and Social Responsibility Policy](#) requirements, or to address areas of risk identified by the FIP's risk assessment (which must be linked to specific indicators in the Social Responsibility Assessment Tool). The workplan should include a breakdown of specific tasks under each action, organizations or people responsible for completing each action, and a month and year deadline for completing each action.



#### Best Practice: 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.



### 2.2.2 RATIONALE

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 supports FIPs to undertake the actions needed to protect fishers. This is the same approach used to improve FIPs' environmental performance.

## 2.3 Keep social performance data up-to-date, report publicly on action progress, and update indicator scores.

### 2.3.1 REQUIREMENT DETAILS

FIPs must keep social performance data up-to-date and report on social workplan progress by reporting every six months, as part of their existing six-month and annual reports, until their annual risk assessment shows that all red indicators have improved to yellow or green. At that point, the FIP is no longer required to report against a social workplan so long as their risk assessments show indicators are yellow or green (as detailed in requirement 2.1).

FIPs must report the following during their existing six-month and annual reports:

- **Six-month reports.** FIPs must report progress on the actions in their social workplan, and submit evidence for the progress reported.
- **Annual reports.** FIPs must:
  - a. Report progress on the actions in their social workplan, and submit evidence for the progress reported.
  - b. Update the workplan to reflect the most recent indicator scores, when available. In years where the FIP completes a risk assessment (as outlined in requirement 2.1), the FIP must update the indicators in their workplan to match those of their updated risk assessment.
  - c. Provide updated information for Requirements 1.2-1.5 as outlined in those sections above.

Any evidence submitted as part of these reports must not include personally identifiable information or any other confidential information.

### 2.3.2 RATIONALE

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 if a FIP satisfies their sustainable seafood and/or human rights due diligence commitments.





# COMPONENT 3

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## Requirements for Voluntary Reporting on Social Performance

This 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 FIPs may be at high risk of human rights abuses even if they do not meet the risk criteria included in this policy. There are also other social responsibility concerns that extend beyond the core human and labor rights included in the Human Rights Code of Conduct, such as food and livelihood security.

For these reasons, we 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 practice and meeting seafood buyers' human rights due diligence requirements.

**FIPs that do not meet the criteria** for increased risk of forced labor and human trafficking outlined in requirement 1.5 may still choose to complete a risk assessment, develop a social workplan, and report publicly on any or all indicators in the SRA (see [Appendix B](#) for a list of indicators).

**FIPs that do meet the criteria** for increased risk of forced labor and human trafficking may also choose to include additional indicators in their risk assessment beyond the Code of Conduct indicators, and/or incorporate additional actions into their social workplan and progress reporting that address yellow or green scoring indicators.

## 3.1 Voluntary Reporting Requirements

### 3.1.1 REQUIREMENT DETAILS

FIPs choosing to report voluntarily must meet the following requirements:

1. FIPs must use the FisheryProgress Risk Assessment template to report on their SRA indicator score(s), completed by someone with the following expertise:
  - For any of the Code of Conduct indicators: FIPs voluntarily reporting on these indicators are required to provide a risk assessment completed by an individual or team with the qualifications outlined in Appendix C.
  - For the remaining social and economic indicators: FIPs must follow the SRA's guidance for what expertise and experience is best to evaluate each indicator.

The FIP must complete a new risk assessment according to the timing outlined in requirement 2.1. FIPs must have a risk assessment for the relevant indicators if they would like to provide and report on a social workplan.

2. The FIP must develop a workplan to address any red indicators in its risk assessment using the FisheryProgress Social Workplan template. The workplan to address any of the Code of Conduct indicators must be completed by an individual or team with the qualifications outlined in [Appendix C](#).
3. Once the FIP conducts a risk assessment on any subset of indicators, they must report on performance and actions progress on those indicators in accordance with the reporting schedule outlined in requirement 2.3 throughout the time that they are active on FisheryProgress.



### **Initial Deadline**

The risk assessment and the workplan (if applicable) must be submitted at the same time. FIPs are encouraged to submit these materials as part of their annual reports. If a FIP would like to submit information for review between annual report dates, the reviewer will review these requests as availability allows.

### **Future Deadlines**

FIPs must report on action progress every six months for any indicators included in the workplan, and provide evidence to support their performance. See requirement 2.3 for more detail.





# APPENDIX A

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## FisheryProgress Human Rights Code of Conduct



## Purpose

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 their shared commitment to these values by signing the FisheryProgress Human Rights Code of Conduct

By signing the Code of Conduct, signatories commit to improve understanding and mitigation of the human and labor rights risks in their FIP, as defined by the principles detailed in the Code of Conduct and as applicable to their role and the vessels and fishers in the FIP. This commitment endures throughout the time the FIP is active on FisheryProgress.

The FIP lead is responsible for ensuring that all current and future FIP participants are made aware of the Code of Conduct, and the expectation to uphold the values and principles included therein. This includes sharing the Code of Conduct in the language(s) that FIP participants understand.

## Scope and Applicability

FIPs commit to work toward the principles below as applicable to all vessels, fishers, and fisheries observers fishing and transporting catch within a FIP, whether fishing on shore or on a vessel, and whether or not they are formal participants in the FIP. These rights apply regardless of gender.

As explained in the UN Guiding Principles on Human Rights, the responsibility of businesses to respect human rights applies regardless of the size and context of the enterprise. However, FisheryProgress recognizes that small operators may have less capacity and more informal processes for ensuring the Code of Conduct is upheld. Some principles outlined in this Code of Conduct therefore have differentiated requirements based on the size of the vessels in the FIP.

## Definitions

A **fisher** is defined as any person of any age or gender 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.

A **fisheries observer** is an independent specialist authorized by fishery regulatory authorities to collect data to assist in the monitoring of commercial exploitation of marine resources (e.g., species caught and discarded, area fished, gear used). At-sea observers join the vessel during fishing trips but do not normally engage in fishing activities; they observe fishing practices as a third party, and report scientific and regulatory enforcement information to the management authority.

**Large vessels** are those which weigh 10 gross tons or more, or are longer than 12 meters.

**Small vessels** are those which weigh less than 10 gross tons and are shorter than 12 meters.

*Definitions of other key terms in the Code of Conduct can be found in the FisheryProgress Human Rights and Social Responsibility Policy and the Social Responsibility Assessment (SRA) Tool for the Seafood Sector.*

## Principles

The Code of Conduct uses the Social Responsibility Assessment Tool for the Seafood Sector (SRA) as its foundation – the relevant SRA indicator(s) are noted below each principle.

### 1. There is no abuse or harassment.

*For all vessels:*

- There is no corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based violence, sexual harassment, or any other form of harassment, including excessive or abusive disciplinary action.
- Migrant status is not used as a threat or tool of coercion.
- Fishers' families or community members are not threatened by employers, buyers, labor brokers, or organized crime.
- There is no forced drug use; labor and/or product is not compensated for with drugs.
- Fisheries observers are able to conduct duties free from assault, harassment, interference, or bribery.

**Based on SRA indicator: 1.1.1**

### 2. There is no human trafficking or forced labor.

*For large vessels with hired labor, regardless of whether fishers are employed directly by the fishery or indirectly through a recruiter/labor contractor:*

- There are no indicators of forced labor in the fishery, including: abuse of vulnerability, deception, restriction of movement, isolation, physical and sexual violence, intimidation or threats, retention of identity documents, withholding of wages, debt bondage, abusive living and working conditions, and excessive overtime.

**Based on SRA indicator: 1.1.2a**

*For all other vessels:*

- If the fisher is paying off debt to the cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.), they keep most of their income and a smaller percentage is used to pay back their debts.
- If the fisher is paying off debt to the cooperative, association, buyer, or permit holder, their debt has remained stable or decreased over time proportional to their income.
- The fisher is allowed to witness the product being weighed or graded to calculate their income.
- Interest rates charged to fishers are transparent and agreed upon in advance with fishers.

**Based on SRA indicator: 1.1.2b**



### 3. There is no child labor.

*For all vessels:*

- There is no evidence of hazardous child labor, including alongside family members.
- Work done by children is legal and appropriate for their development.
- Children below the legal age of employment are not employed as waged fishers.
- Children below the legal age of employment work alongside family members only if this does not interfere with schooling, and on tasks which do not harm their health, safety or morals.
- Children do not work at night.

**Based on SRA indicator: 1.1.3**

### 4. Freedom of association and the right to collective bargaining are respected.

*For all vessels:*

- Fishers are free to form worker/fisher organizations, including trade unions, to advocate for and protect their rights, and have the right to decide their own structure, policies, programs, priorities, etc., without employer interference. If the country restricts trade union rights, the company/fishery has provided a way for workers/fishers to organize and express grievances.
- Human rights defenders are not actively suppressed and there is no recent record of litigation by employers against human rights defenders.
- There is no discrimination against fishers who are members or leaders of organizations, unions, or cooperatives, and fishers are not dismissed for exercising their right to strike.

**Based on SRA indicator: 1.1.4**

### 5. Earnings and benefits are decent, transparent, and stable.

*For vessels with waged fishers:*

- Wages paid to fishers reflect equal remuneration.
- Wage levels and benefits meet the minimum legal requirements according to applicable labor laws of the workplace.
- Overtime wages are paid in accordance with minimum legal requirements, based on labor laws of the workplace.
- Wages paid to fishers are what was promised at the time of employment, are not withheld as a form of discipline, do not contain illegal deductions, are paid on time or directly to the fisher, and fishers do not go longer than one month without being paid.
- Employers legally contract employees.
- Fishers are aware of how their earnings or deductions are calculated and their rights to benefits, are allowed to witness procedures used to determine earnings (weighing, grading), and only sign contracts they understand with provisions for different languages or illiteracy.
- Fishers receive wage slips with deductions itemized or written receipts.

**Based on SRA indicator: 1.1.5**

*For all other vessels:* Not applicable.

**6. Fishers enjoy adequate rest.***For fishers who are not self-employed:*

- There is a mechanism in place for fishers to record hours worked.
- Working hours meet the legal minimum requirements, and overtime hours are paid at a premium as required by law.
- Fishers have at least 10 hours of rest in a 24-hour period and at least 77 hours in a seven-day period.
- Overtime is voluntary.

**Based on SRA indicator: 1.1.6***For self-employed fishers:* Not applicable.**7. Fishers and observers have an adequate standard of living on board vessels.***For vessels which require live-aboard time:*

- Sleeping quarters have adequate fire prevention and air ventilation, meet legal requirements, and meet reasonable levels of safety, decency, hygiene, and comfort.
- Fisheries observers are provided adequate accommodation appropriate to the size of the monitored entity and equivalent to that of the officers of the monitored entity.
- Sanitary facilities (appropriate to vessel size) with adequate privacy are provided.
- Potable water is accessible to fishers.
- Fishers living on board have access to adequate and sanitary food at fair prices.

**Based on SRA indicator: 1.1.7a***For all other vessels:* Not applicable.**8. The working environment is safe, and there is an adequate medical response for workplace injuries.***For all vessels:*

- Vessels on trips over three days carry a crew list and provide a copy to authorized persons ashore at the time of vessel departure (unless self-employed).
- Fishers and fisheries observers have access to communication equipment, or there is a radio on board for vessels over 24 meters.
- Adequate personal protective equipment (PPE) (i.e., life jackets) is provided on board at no cost (unless self-employed).
- Fishers are trained in health and safety procedures and on proper use of PPE and safe operation of any equipment they use (unless self-employed).
- The vessel complies with local/national safety and health regulations.

**Based on SRA indicator: 1.1.8**

- Adequate medical supplies are available (i.e., there is a first aid kit).
- On large vessels, there is a trained first aid responder.
- On large vessels making trips longer than three days, fishers have a valid medical certificate attesting to their fitness to work.
- Fishers are provided with medical care for workplace injuries and are repatriated if necessary at employer's expense.

**Based on SRA indicator: 1.1.9**

## **9. For fisheries which operate in or near a customary resource use area: rights and access to resources are respected, fairly allocated, and respectful of collective and indigenous rights.**

*For fisheries operating in or near customary use areas:*

- Customary use rights have been mapped out using a participatory stakeholder process.
- The fishery observes the legal and customary rights of local people.
- Fishers are not denied or revoked of fishing rights due to discrimination (e.g., gender, ethnicity, religion, political affiliation) by authorities and/or other communities or entities.
- The fishery is not designated in an area legitimately claimed by communities without their documented Free, Prior, and Informed Consent.
- The fishery understands its impact on customary access to resources, and does not negatively impact adjacent communities, or restrict access to vital community resources without community approval.

**Based on SRA indicator: 1.2.1**

## **10. Fishers have access to effective, fair, and confidential grievance mechanisms.**

*For all vessels:*

- Fishers have knowledge of and access to effective, fair, and confidential grievance mechanisms appropriate for and commensurate with the size and scale of fishery.
- There is no retaliation or prejudice against fishers who submit grievances, including gender-based prejudice or retaliation.

**Based on SRA indicator: 2.1.1**

## **11. There is no discrimination.**

*For all vessels:*

- Fishers receive equal pay for work of equal value.
- There is no discrimination in recruitment promotion, access to training, access to permits, remuneration, allocation of work, termination of employment, retirement, ability to join unions or cooperatives, or other activities.
- There is no discrimination in access to benefits (e.g., health care, savings accounts, insurance, etc.).
- There is no compulsory pregnancy testing for female fishers.

**Based on SRA indicator: 2.2.2**

A large fish, possibly a tuna, is being hoisted by a fisherman on a boat. The scene is set at sunset or sunrise, with a warm, golden light illuminating the sky and the water. The fisherman is silhouetted against the bright light, and the fish is suspended in the air, its body curved. Other boats and fishermen are visible in the background, creating a sense of a busy fishing operation.

# APPENDIX B

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## Alignment of SRA Indicators with the Human Rights Code of Conduct

## Indicators Aligned with the Code of Conduct:

The SRA indicators that align with the 11 principles outlined in the Code of Conduct are highlighted in **blue** and noted with an asterisk (\*) below, and referenced as the Code of Conduct indicators in the policy. Some indicators vary depending on whether the vessels are large or small. Complete details are provided in Appendix A.

## Indicators Not Included in the Code of Conduct:

The SRA indicators that are not included in the Code of Conduct are highlighted in **green** in the table below.

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*
2. Ensure equality and equitable opportunity to benefit	1.2 Access Rights	1.2.1 Customary resource use rights*
		1.2.2 Corporate responsibility and transparency
	2.1 Equality	2.1.1 Grievance reporting and access to remedy*
		2.1.2 Stakeholder participation and collaborative management
	2.2 Equity	2.2.1 Equitable opportunity to benefit
		2.2.2 Discrimination*

3. Improve food, nutrition, and livelihood security	3.1 Food and nutrition security	3.1.1a Food and nutrition security impacts of industrial fisheries
		3.1.1b Food and nutrition security for small-scale fishing communities
		3.1.2 Healthcare
		3.1.3 Education
	3.2 Livelihood security	3.2.1 Benefits to and within community
		3.2.2 Economic value retention
		3.2.3 Long-term profitability and future workforce
		3.2.4 Economic flexibility and autonomy
		3.2.5 Livelihood security
		3.2.6 Fuel resource efficiency





# APPENDIX C

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## Qualifications for Conducting Risk Assessments and Creating Social Workplans

Fishery trade unions, social auditors, or worker rights organizations are the preferred party to lead the risk assessment and social workplan development. However, a technical support organization or nonprofit actor participating in or leading the FIP may undertake the assessment and develop the workplan. The assigned individual or team of individuals that completes the risk assessment of SRA indicators aligned with the Human Rights Code of Conduct and the social workplan must have the following qualifications:

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.

Additional information can be found in [Qualifications for Conducting Risk Assessments and Creating Social Workplans](#).



# APPENDIX D

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## Key Terms and Definitions

The following terms and definitions, cited from the [FisheryProgress Glossary](#), are key concepts for the understanding of this policy and related materials and are included here for reference.

## **Best efforts**

Taking, in good faith, all reasonable steps with the goal and assumption of reaching the desired end. It includes doing everything known to be customary, necessary, and proper for ensuring the success of the endeavor.

## **Fisher**

Any person of any age or gender 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.

## **Fisheries observer**

An independent specialist authorized by fishery regulatory authorities to collect data to assist in the monitoring of commercial exploitation of marine resources (e.g., species caught and discarded, area fished, gear used). At-sea observers join the vessel during fishing trips but do not normally engage in fishing activities; they observe fishing practices as a third party, and report scientific and regulatory enforcement information to the management authority.

## **Grievance mechanisms**

A formal, legal, or non-legal complaint and remediation process that can be used by fishers that are being negatively affected by certain business activities and operations.

## **International Maritime Organisation number**

A permanent number assigned to ships for identification purposes. (Source: IMO).

## **Remediation**

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

## **Remedy**

Actions taken to resolve and prevent future negative human rights consequences resulting from business activities and operations. Actions may take a range of forms such as apologies, restitution, rehabilitation, financial or non-financial compensation, and punitive sanctions (whether criminal or administrative, such as fines), as well as the prevention of harm through, for example, injunctions or guarantees of non-repetition.

## **Risk assessment**

An on-site evaluation of a FIP conducted by a qualified professional of one or more of the indicators in the Social Responsibility Assessment Tool.

## **Skipper**

The fisher having command of a fishing vessel.

## Social workplan

A list of actions the FIP will undertake, either to address deficiencies in meeting the requirements outlined in the FisheryProgress Human Rights and Social Responsibility Policy, or to address areas of risk identified by the FIP's risk assessment. The workplan must include a breakdown of specific tasks under each action, organizations or people responsible for completing each action, and a month and year deadline for completing each action.

## Transshipment

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

## 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. (Source: FAO).

## Vessel

A vehicle used to catch or transport fish or fishers. This includes transshipment vessels. FisheryProgress defines vessels by their size, as outlined below.

**Large vessels** are those which weigh 10 gross tons or more, or are longer than 12 meters.

**Small vessels** are those which weigh less than 10 gross tons and are shorter than 12 meters.

## 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. (Based on the Maritime Labour Convention, 2006 definition for shipowner).

## Vessel owner

The individual or legal entity that appears on the vessel's registration documents. The vessel may be owned by one or several entities, including legal owners and/or beneficial owners that own or control the legal owner.