

# FISHERYPROGRESS.ORG

## FIP Social Review Guidelines

Version 1.0  
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## 1. Introduction

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

The table below outlines the policy requirements - references to requirements throughout this document are based on the numbering of each requirement as noted in the policy.

<b>FisheryProgress Human Rights and Social Responsibility Policy</b>
<p><u>Component 1: Requirements for All FIPs</u> All FIPs reporting on FisheryProgress must:</p> <ol style="list-style-type: none"><li>1.1 Sign the FisheryProgress Human Rights Code of Conduct.</li><li>1.2 Provide information about the vessels or fishers included in the FIP.</li><li>1.3 Undertake best efforts to make fishers aware of their rights.</li><li>1.4 Demonstrate there is a grievance mechanism available to all fishers in the FIP.</li><li>1.5 Complete a self-evaluation against the FisheryProgress criteria for increased risk of forced labor and human trafficking.</li></ol>
<p><u>Component 2: Additional Requirements for FIPs that Meet the Risk Criteria</u> FIPs that meet one or more FisheryProgress criteria for increased risk of forced labor and human trafficking (see Requirement 1.5) must:</p> <ol style="list-style-type: none"><li>2.1 Complete a risk assessment using the Social Responsibility Assessment Tool (SRA).</li><li>2.2 Create a social workplan to address all red indicators in the risk assessment.</li><li>2.3 Report publicly on action progress and update indicator scores.</li></ol>
<p><u>Component 3: Requirements for Voluntary Reporting on Social Performance</u> 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.</p>

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

## 2. Applicability

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

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

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

### **Completed FIPs**

Completed FIPs are not required to continue reporting on their social performance but may do so voluntarily. Completed FIPs that continue to report on their social performance must meet the

requirements outlined in the Human Rights and Social Responsibility Policy, including the six-month and annual reporting requirements, but will be unable to update previous environmental information.

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

### **Prospective FIPs**

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

### **Inactive FIPs**

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

- **The FIP did not meet the initial deadline for completing requirements 1.1-1.5 and 2.1-2.2 (if applicable).** The FIP will be considered out of compliance with the FisheryProgress Human Rights and Social Responsibility Policy if they do not meet the requirements by the end of the calendar month of the original deadline, or, if requested, by the end of the grace period that extends to the 15<sup>th</sup> of the following month. If they fail to do so, they will be moved to inactive status.
- **The FIP did not report regularly as outlined in requirement 2.3.** FIPs meet requirement 2.3 through their existing six-month and annual report schedule, as outlined in these guidelines. According to the [FIP Review Guidelines](#), a report will be considered missed if not completed (including completing required social reporting) by the end of the calendar month of the original deadline, or, if requested, by the end of the grace period that extends to the 15<sup>th</sup> of the following month. Two consecutive missed reports (including a report that was missed then submitted later) will render the FIP inactive.
- **The FIP did not make sufficient progress.** Active FIPs reporting on their risk assessment must demonstrate progress when the risk assessment shows one or more SRA indicators aligned with the Human Rights Code of Conduct are at the high-risk (red) level. Those FIPs that are not able to demonstrate that at least one of these red indicators has improved to a medium risk (yellow) level within three years will be moved to inactive.

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

### 3. Permission and Confidentiality of Reporting Information

It is the FIP’s responsibility to obtain permission to publish on FisheryProgress.org any required documentation that was not created or commissioned by a FIP participant itself.

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

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

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

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

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

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

### 4. Initial Review Process

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

Requirement	Initial Review Timeline
1.1 Code of Conduct 1.2 Vessel/Fisher Information 1.5 Self-Evaluation of Risk Criteria	In order to become active on FisheryProgress
1.3 Fisher Awareness of Rights 1.4 Grievance Mechanism	During the FIP’s first six-month report after becoming active on FisheryProgress
2.1 Risk Assessment 2.2 Social Workplan	During the FIP’s first annual report 12 months after meeting one or more criteria in the Self-Evaluation of Risk Criteria

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

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

#### 4.1. Initial Review for FIPs to Become Active

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

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

##### Requirement 1.1 Code of Conduct

Code of Conduct Field, Social Performance Tab	
Field	Review Process
Documentation  <i>Note: any documentation uploaded in this field will not be made public on the site.</i>	<ul style="list-style-type: none"> <li>● Confirm the FIP has uploaded either:               <ul style="list-style-type: none"> <li>○ A Code of Conduct signed and dated by the FIP lead (additional signatories are optional); OR,</li> <li>○ A Code of Conduct signed and dated by all FIP participants. The Code of Conduct may be signed as a stand-alone document or as integrated into an MOU. The FIP lead is not required to sign in this scenario if they are not a formal FIP participant as defined by the Conservation Alliance FIP Guidelines.</li> </ul> </li> <li>● Confirm that the uploaded document:               <ul style="list-style-type: none"> <li>○ Uses the <a href="#">FisheryProgress Human Rights Code of Conduct template</a>, and the template has not been modified.</li> <li>○ All required sections are fully and correctly completed.</li> <li>○ FIPs that wish to enhance or increase the requirements may do so through a separate addendum.</li> </ul> </li> <li>● Confirm that the full name(s) and organization(s) of the signatory(ies) is(are) clearly legible.</li> </ul>
Date Signed	<ul style="list-style-type: none"> <li>● Matches the date indicated in the uploaded document.</li> </ul>
Details	Provide a description of signatories. Optionally, provide additional detail related to the code not included in the template, which may include: <ul style="list-style-type: none"> <li>● Clarification that the code is integrated into the FIP’s MOU.</li> <li>● Information about how parts of the code are addressed by the FIP, such as they are part of a retailers’ code for suppliers that the FIP follows.</li> </ul>

**Requirement 1.2 Vessel or Fisher Information**

Vessel Information Field, Documents Tab	
Field	Review Process
Documentation	<ul style="list-style-type: none"> <li>● Confirm the FIP has uploaded a document with its vessel or fisher information that:               <ul style="list-style-type: none"> <li>○ Uses the <a href="#">FisheryProgress vessel information template</a>.</li> <li>○ Provides information in all required boxes in the template’s “Overview” tab, and</li> <li>○ Clearly describes all sources. If the source is publicly accessible, a link has been provided.</li> <li>○ Fully completes the template in accordance with the designated category of vessel(s) in the FIP, as outlined below.</li> </ul> </li> <li>● <b>If the FIP indicates it has large vessels<sup>1</sup>:</b> <ul style="list-style-type: none"> <li>○ The FIP provides a list of vessels in the “Vessel List” tab, and completes all required fields for all vessels.</li> </ul> </li> <li>● <b>If the FIP indicates it has small vessels</b>, the FIP either:               <ul style="list-style-type: none"> <li>○ Provides a list of vessels in the “Vessel List” tab, and completes all required fields for all vessels; OR</li> <li>○ Provides a description in the “Overview” tab that includes:                   <ul style="list-style-type: none"> <li>▪ The number of vessels</li> <li>▪ Landing sites for the catch</li> <li>▪ Home communities of the fishers</li> <li>▪ Types of vessels.</li> </ul> </li> </ul> </li> <li>● <b>If the FIP indicates it has shored-based or non-vessel fishers</b>, the FIP either:               <ul style="list-style-type: none"> <li>○ Provides a list of individuals in the “Fisher List” tab, and includes both a given name and a family name for all fishers; OR</li> <li>○ Provides a description in the “Overview” tab that includes:                   <ul style="list-style-type: none"> <li>▪ Approximate number of fishers</li> <li>▪ Landing sites for the catch</li> <li>▪ Home communities of the fishers</li> <li>▪ Type of fishing practice.</li> </ul> </li> </ul> </li> <li>● The information provided in the document aligns with other information provided by the FIP (e.g., the gear type, vessel flags, FIP description, species).</li> <li>● There is no indication that the information is incomplete, inaccurate, or non-exhaustive (i.e. it covers the full scope of the FIP).</li> </ul>
Document Link (Optional)	<ul style="list-style-type: none"> <li>● If filled in, provides a link related to the vessel or fisher information. For example, a link to a public vessel registry.</li> </ul>

<sup>1</sup> Large vessels are those which weigh 10 GT or more, or are longer than 12 m. Those which weigh less than 10 GT and are shorter than 12 m. FisheryProgress may consider minor exceptions to these definitions based on local legal definitions.

Document Creation Date	<ul style="list-style-type: none"> <li>Matches the date indicated in the Overview tab of the uploaded document.</li> </ul>
Document Description (optional)	<p>If filled in, provides detail related to the vessel or fisher information, including:</p> <ul style="list-style-type: none"> <li>The category of vessels or fishers in the FIP (large, small, fishing outside the EEZ, shore-based/non-vessel).</li> </ul>

*Requesting an exemption*

All large vessels are expected to be documented in the FIP’s vessel list. FIPs may request temporary exemption to this requirement by sending an email to [contact@fisheryprogress.org](mailto:contact@fisheryprogress.org) with the following information:

- Motivation for the requested exemption.
- Requested exemption period. Requests of longer than one year will only be granted for exceptional circumstances, for example, in instances where collecting and documenting vessel information is expected to lead to harm to the fishers involved.

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

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

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

Self-Evaluation of Risk Criteria Field, Social Performance tab	
Field	Review Process
Documentation	<ul style="list-style-type: none"> <li>• Confirm the FIP has uploaded a PDF copy of its completed self-evaluation.</li> <li>• Confirm the fishery does not have an instance of forced labor, child labor, or human trafficking within the past four years that is known to FisheryProgress. This includes, but is not limited to: <ul style="list-style-type: none"> <li>○ Verifying none of the vessels on the FIP’s vessel list have been subject to a <a href="#">U.S. Customs &amp; Border Protection Withhold Release Order</a> within the past four years.</li> <li>○ Verifying the fishery and its vessels are not documented in the U.S. Department of Labor <a href="#">List of Goods Produced by Child Labor or Forced Labor</a></li> </ul> </li> </ul>



	<ul style="list-style-type: none"> <li>○ Verifying there is no other public evidence of forced labor, child labor, or human trafficking, including in NGO or media reports with documented worker testimony, and government reports</li> <li>● Confirm the self-evaluation aligns with other information provided on the FIP and with the results of FIPs sharing similar characteristics.</li> </ul>
Date Completed	<ul style="list-style-type: none"> <li>● Matches the date indicated in the uploaded document.</li> </ul>
Details (Optional)	<p>If filled in, provides detail related to the self-evaluation not included in the template, which may include:</p> <ul style="list-style-type: none"> <li>● Sources for the information</li> <li>● Additional detail on any of the responses to the criteria (e.g., to provide detail on why the FIP met a specific criterion).</li> </ul>

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

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

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

**Additional Information (Optional)**

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

Additional Information Field, Social Performance tab	
Field	Review Process
Details	<ul style="list-style-type: none"> <li>● Confirm the information provided is outside the scope of the Human Rights and Social Responsibility Policy or it is not feasible to provide that information through reporting on the other requirements.</li> </ul>
Documents (optional)	<ul style="list-style-type: none"> <li>● The FIP has uploaded evidence to demonstrate the action(s) it has described (see <b>Appendix A</b> for guidance on acceptable evidence and examples).</li> </ul>

**4.2. Initial Review for Requirements 1.3 and 1.4**

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

**Requirement 1.3 Fisher Awareness of Rights**

The FIP must provide a description of its efforts to make fishers aware of their rights under the FisheryProgress Human Rights and Social Responsibility Policy, including the FIP’s commitment to improvement under the Human Rights Code of Conduct and the availability of grievance mechanisms and how to use them as a mechanism for reporting abuses. The description should include:

- A list of action(s)
- The target audience of the action(s) and clarification of how the action(s) cover all fishers in the scope of the FIP
- The date(s) and frequency of the action(s), as applicable
- Result(s) of the action (e.g., number of fishers trained)
- Confirmation that the action(s) were completed in a language fishers understand and that accommodations were made for illiterate fishers.

This information may be provided either as a document or as site text and must be supported by evidence. Additional guidance is below.

Fisher Awareness of Rights Field, Social Performance tab	
Field	Review Process
Details	<p><b>If the FIP provides the description as site text:</b></p> <ul style="list-style-type: none"> <li>● Confirm the description addresses the points noted above.</li> </ul> <p><b>If the FIP uploads the description as a document:</b></p> <ul style="list-style-type: none"> <li>● The FIP may note the update is provided as an upload, or provide other details related to the grievance mechanism.</li> </ul>
Documentation	<p><b>If the FIP uploads the description as a document:</b></p> <ul style="list-style-type: none"> <li>● Confirm the description addresses the points noted above.</li> </ul> <p><b>For other uploaded evidence:</b></p> <ul style="list-style-type: none"> <li>● Confirm the FIP has uploaded evidence to demonstrate the action(s) it has described (see <b>Appendix A</b> for guidance on acceptable evidence and examples).</li> </ul>
Last Updated	<ul style="list-style-type: none"> <li>● Provides the date the information was updated on FisheryProgress.</li> </ul>

**Requirement 1.4 Grievance Mechanism**

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

Grievance Mechanism Field, Social Performance tab	
Field	Review Process
Documentation	<ul style="list-style-type: none"> <li>● Confirm the FIP has uploaded a copy of the grievance mechanism(s) available to fishers in the FIP. The grievance mechanism must outline the full complaint and remedy process, which should include:               <ul style="list-style-type: none"> <li>○ Owner/coordinator of the mechanism.</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>○ Roles/responsibilities of the different parties responsible for implementing the mechanism.</li> <li>○ Scope of the mechanism (i.e., who the mechanism is available to and what kind of grievances are permitted under the mechanism).</li> <li>○ Status of the grievance mechanism (i.e., if the mechanism is currently operational and, if not, when it will be).</li> <li>○ Grievance submission process. Both the on-board and on-shore processes must be described. For fishers where the only access to communication channels is through the skipper and/or immediate supervisor, there is a detailed process for how fishers can safely and transparently access the grievance mechanism to report abuses.</li> <li>○ Grievance review and remedy process.</li> <li>○ Grievance monitoring and recordkeeping, as applicable.</li> <li>● Confirm the grievance mechanism details how it is available to all fishers in the FIP, at least once every 24 hours, including at sea during trips longer than 24 hours and when docked in ports outside of their home communities. If the grievance mechanism does not provide this detail, the FIP provides this detail in the Details section.</li> </ul>
Last Updated	<ul style="list-style-type: none"> <li>● Provides the date the information was updated on FisheryProgress.</li> </ul>
Details (optional)	If filled in, provides detail related to the grievance mechanism.

#### *Requesting an exemption*

All FIPs are expected to meet Requirement 1.4. FIPs may request temporary exemption to this requirement by sending an email to [contact@fisheryprogress.org](mailto:contact@fisheryprogress.org) with the following information:

- Motivation for the requested exemption.
- Requested exemption period, up to 12 months.

This request should be made well in advance of the reporting deadline. Once received, the reviewer will determine if the request is reasonable and justified. If needed, the reviewer will consult with the site's advisory committee(s) for guidance. If the request is approved, the FIP must upload a workplan (see Section 3 for the review process for workplan requirements) that includes action items for the development of one or more grievance mechanisms under SRA indicator 2.1.1 (Grievance reporting and access to remedy) in the [FisheryProgress Social Workplan Template](#). The workplan must be uploaded during the same reporting cycle in which the extension was provided.

### **4.3. Initial Review for Requirements 2.1 and 2.2**

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

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

The reviewer will confirm if the FIP is required to meet Requirement 2.1 by reviewing the FIP's last completed self-evaluation of risk criteria. FIPs that meet one or more of the risk criteria must complete a risk assessment of the SRA indicators aligned with the Code of Conduct. The assessment of all other

SRA indicators is optional. All other FIPs may voluntarily choose to complete a risk assessment of the full set or a subset of the SRA indicators.

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

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

Details (Optional)	<p>If filled in, provides detail related to the risk assessment not included in the template, which may include:</p> <ul style="list-style-type: none"> <li>• A brief summary of the findings of the risk assessment, including the number of red indicators</li> <li>• The use of audit data from a social standard or certification program (e.g., Seafood Task Force, Fair Trade Certified)</li> </ul>
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*FIPs with an existing risk assessment*

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

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

**Requirement 2.2 Social Workplan**

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

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

Social Workplan & Progress Reporting Field, Social Performance Tab	
Field	Review Process
Documentation	<ul style="list-style-type: none"> <li>• Confirm the FIP has uploaded a social workplan document that: <ul style="list-style-type: none"> <li>○ Uses the <a href="#">FisheryProgress social workplan template</a>.</li> <li>○ All required sections in the template have been fully and correctly completed.</li> <li>○ Must have been completed in the past 12 months from the date of submission.</li> </ul> </li> <li>• Confirm: <ul style="list-style-type: none"> <li>○ The described actions and tasks (optional) provide enough detail and clarity for users to understand the fundamentals of what will be completed.</li> <li>○ Timeframes are plausible and adequate based on the actions.</li> <li>○ There are no major concerns or risks to achieving the workplan given the information provided.</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>● <b>If the FIP’s risk assessment shows red SRA indicators</b>, confirm that the workplan: <ul style="list-style-type: none"> <li>○ Includes at least one action for every red-scoring indicator.</li> <li>○ The action(s) described should effectively move the red-scoring indicator(s) to produce the intended result of reaching at least the yellow level within the timeframes noted.</li> </ul> </li> <li>● <b>If the workplan includes activities addressing red SRA indicators that are aligned with the Code of Conduct</b>, confirm that those sections of the workplan were completed by a qualified party (as outlined in the <a href="#">qualifications for conducting risk assessments and creating social workplans</a>).</li> </ul>
Date Completed	<ul style="list-style-type: none"> <li>● Matches the date indicated on the cover page in the uploaded document.</li> </ul>
Details (optional)	<p>If filled in, provides detail related to the social workplan and/or progress reporting not included in the template, which may include:</p> <ul style="list-style-type: none"> <li>● A summary of key actions</li> </ul>

## 5. Evaluating FIP Progress

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

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

### 5.1. Six-Month Report Review

#### Requirement 2.3 Progress Reporting

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

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

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

## 5.2. Annual Report Review

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

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

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

### Requirement 1.2 Vessel or Fisher Information

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

Vessel Information Field, Documents Tab	
Field	Review Process
Documentation	<ul style="list-style-type: none"> <li>● Confirm the FIP has uploaded a document with its vessel or fisher information that:               <ul style="list-style-type: none"> <li>○ Uses the <a href="#">FisheryProgress vessel information template</a>.</li> <li>○ Has been fully completed in accordance with the review process detailed in Section 2.2 above.</li> <li>○ Includes a recent date.</li> <li>○ Note: If there have not been changes to the vessel/fisher information since the last annual report, the FIP only needs to update the date field in the template, and re-upload the document during the annual report.</li> </ul> </li> <li>● If there are major changes in the FIP’s vessel information, the reviewer may follow up to confirm the cause for the changes.</li> </ul>
Document Link (Optional)	If filled in, provides a link related to the vessel or fisher information. For example, a link to a public vessel registry.
Document Creation Date	Matches the date indicated in the Overview tab of the uploaded document.
Document Description (optional)	If filled in, confirm the text provides detail related to the vessel information but not included in the template, which may include: <ul style="list-style-type: none"> <li>● An explanation of changes</li> <li>● Confirmation that no changes were made since the last vessel information was submitted</li> </ul>

### Requirement 1.3 Fisher Awareness of Rights

The FIP must provide an updated description of the FIP’s efforts as part of each annual report, including:

- A list of action(s)
- The target audience of the action and clarification of how the action(s) cover all fishers in the scope of the FIP
- The date(s) and frequency of the action, as applicable
- Result(s) of the action (e.g., number of fishers trained)
- Confirmation that the action(s) were completed in a language fishers understand and that accommodations were made for illiterate fishers
- Evaluation of the activities (e.g., have the activities increased fisher awareness of rights? What are the challenges?)
- If any new fishers have joined the FIP, a description of how they have been informed of their rights.



This information may be provided either as a document or as site text and must be supported by evidence. Additional guidance is below.

<b>Fisher Awareness of Rights Field, Social Performance Tab</b>	
<b>Field</b>	<b>Review Process</b>
Details	<p><b>If the FIP provides the update as site text:</b></p> <ul style="list-style-type: none"> <li>• Confirm the description addresses the points noted above.</li> </ul> <p><b>If the FIP uploads the update as a document:</b></p> <ul style="list-style-type: none"> <li>• The FIP may note the update is provided as an upload, or provide other details related to the effectiveness of its efforts to make fishers aware of their rights.</li> </ul>
Documentation	<p><b>If the FIP uploads the update as a document:</b></p> <ul style="list-style-type: none"> <li>• Confirm the description addresses the points noted above.</li> </ul> <p><b>For other uploaded evidence:</b></p> <ul style="list-style-type: none"> <li>• The FIP has uploaded evidence to demonstrate the action(s) it has described (see <b>Appendix A</b> for guidance on acceptable evidence and examples).</li> </ul>
Last Updated	<ul style="list-style-type: none"> <li>• Provides the date the information was updated on FisheryProgress.</li> </ul>

#### **Requirement 1.4 Grievance Mechanism**

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

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

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

<b>Grievance Mechanism, Social Performance tab</b>	
<b>Field</b>	<b>Review Process</b>
Last Updated	<ul style="list-style-type: none"> <li>• Provides the date the information was updated on FisheryProgress.</li> </ul>
Documentation	<p><b>If the FIP uploads the update as a document:</b></p> <ul style="list-style-type: none"> <li>• Confirm the update addresses the points noted above.</li> </ul> <p><b>If the FIP provides a new grievance mechanism:</b></p> <ul style="list-style-type: none"> <li>• Review the grievance mechanism using the criteria outlined in the initial review section (Section 2.2) of these guidelines.</li> </ul> <p><b>For other uploaded evidence (optional):</b></p> <ul style="list-style-type: none"> <li>• Confirm the uploaded evidence demonstrates the action(s) the FIP has described (see <b>Appendix A</b> for guidance on acceptable evidence and examples).</li> </ul>
Details	<p><b>If the FIP provides the update as site text:</b></p>

	<ul style="list-style-type: none"> <li>• Confirm the description addresses the points noted above.</li> </ul> <p><b>If the FIP uploads the update as a document:</b></p> <ul style="list-style-type: none"> <li>• The FIP may note the update is provided as an upload, or provide other details related to the effectiveness of the grievance mechanism.</li> </ul>
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### Requirement 1.5 Self-Evaluation of Risk Criteria

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

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

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

- **If no changes in status (e.g., did not meet criteria and still does not, or did meet criteria and still does),** no additional steps needed.
- **If there were changes in status, so that the FIP did not meet the criteria and now does,** the FIP will report according to the guidance the “Changes in a FIP” part of Section 4 below. The reviewer will:
  - Update relevant fields in the FIP at a Glance box to note the risk assessment is now required.
  - Update the summary box on the Social Performance tab to reflect the change in status.
  - Confirm directly with the FIP that a risk assessment and workplan (if applicable) will be required during their next annual report.
- **If there were changes in status, so that the FIP previously met the criteria and now does not,** the FIP will report according to the guidance the “Changes in a FIP” part of Section 4 below. The reviewer will:
  - Update relevant fields in the FIP at a Glance box to note the risk assessment is now voluntary.
  - Update the summary box on the Social Performance tab to reflect the change in status.

## Requirement 2.1 Risk Assessment

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

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

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

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

## Requirement 2.3 Progress Reporting

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

- Review the most recent risk assessment against the last one to confirm if any scores have changed.
- Confirm that the FIP has updated any changed scores in its most recent social workplan.
- **If a red indicator becomes yellow or green**, the FIP may stop reporting on any actions and tasks (if applicable) related to the indicator going forward. No additional evidence is required for score changes but the justification for the score change must be properly documented in the most recent risk assessment.
- **If the FIP has a new red indicator (either due to expanding the scope of the risk assessment, or due to a yellow or green indicator becoming red)**, the reviewer will:
  - Confirm that the FIP has updated its workplan to include at least one action for every new red-scoring indicator.
  - Confirm that the new action(s) meet the criteria outlined in the Social Workplan initial review in Section 3.

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

### 6.1. Early Reporting

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

As outlined in the FIP Review Guidelines (pg. 17), if the FIP wants to report progress impacting their social indicator scores they may request an additional progress review outside of the 6- or 12-month timeframe, focused only on social indicators. These reviews will not change the FIPs' 6- and 12-month review deadlines.

### 6.2. Changes in the FIP

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

- **New FIP lead, and the FIP lead was one of the Code of Conduct signatories:** If a FIP lead has changed, ensure the FIP lead has uploaded a new signed Human Rights Code of Conduct. The review of the updated Code of Conduct will follow the process for the initial review as outlined in Section 2.1 above.
- **New FIP participants, and the FIP meets Requirement 1.1 with a Code of Conduct signed by all participants or an MOU signed by the FIP participants:** If FIP participants have been added, ensure the FIP lead has uploaded a new Code of Conduct or MOU that reflects all current participants. The review of the updated Code of Conduct will follow the process for the initial review as outlined in Section 2.1 above.
- **If a FIP that previously met the criteria for increased risk of forced labor and human trafficking no longer does**, it may submit a new self-evaluation against the criteria so that its profile may be updated. The FIP will continue to be required to meet the requirements outlined in 2.1-2.3 as long as its most recent risk assessment shows existing red indicators.
- **If a FIP that previously did not meet the criteria for increased risk of forced labor and human trafficking now does (flagged either by changes in the FIP or an appeal)**, the FIP will be required to reflect that change during its next annual report when it re-completes the self-evaluation against the criteria.

### 6.3. Reactivating an inactive FIP

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

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

## Appendix A: Guidance on Acceptable Evidence and Examples

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

- **Credible evidence.** Evidence must meet the following criteria to be acceptable:
  - Be documented in writing.
  - Have a date.
  - Have a source (e.g., person, organization).
  - Have a contact person who can verify it.
  - Should be publicly available. If not publicly available, it must be able to be made public on FisheryProgress with appropriate anonymizing. Any evidence submitted must not include personally identifiable information or any other confidential information. If the only available evidence for an action or task includes this confidential information, the FIP may contact the reviewer to discuss options for verifying it.
  
- **Evidence for action and task progress** will vary depending on the action/task. The following are examples of different kinds of evidence for action and task progress:
  - Signed agreements with consultants, government agency staff, or other individuals demonstrating progress on specific activities such as research.
  - Meeting or training agendas, notes, and/or participant lists.
  - Letters sent to government agencies, suppliers, or other entities.
  - Credible media articles, blog posts, and/or statements posted on a website.
  - White papers, summary reports, rapid assessments, data analyses, or social impact assessment reports or studies.
  - Data collection protocols, or raw data.
  - Official government laws, regulations, or policies.
  - Evidence of trainings (documented with agendas and participant signatures)
  - Internal or external policies or templates (e.g., handbooks, onboarding materials, worker contracts).
  - Evidence of worker interviews (e.g., a summary report of findings)
  - Links to videos or photos (e.g., demonstrating improvements, new gear, new health and safety equipment, meetings)
  - Signed agreements (e.g., with community members, with service providers)
  
- **Evidence for SRA indicator score change.** For SRA indicators, the only acceptable evidence is an updated risk assessment showing a changed indicator score completed by someone with the relevant expertise, as defined in the [Qualifications for Conducting Risk Assessments and Creating Social Workplans](#).

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

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

### **Recognized Programs**

Several equivalency guides are being developed to map commonly used fishery social programs and certifications to the SRA. Learn more about these guides [here](#).

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

### **Completing the Risk Assessment using a Formal or Informal Audit without Certification**

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

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

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

### **Completing the Risk Assessment using a Formal Audit that resulted in Certification**

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

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