



The Social Responsibility Assessment Tool for the Seafood Sector

Version 2.0

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Executive Summary

Increasingly, governments and private companies are emphasizing the need to implement robust Human Rights Due Diligence (HRDD) in global supply chains across all commodities. HRDD refers to ongoing risk management processes that companies need to follow to identify, prevent, mitigate, and remediate adverse human and labor rights impacts in their supply chains. The framework calls on companies to better understand the potential negative, adverse impacts their business may have on workers at all levels of the supply chains from which they source. Governments are increasingly holding companies accountable to ensure imported goods were not produced in part or wholly through means by which the human and labor rights of workers in those supply chains have been violated. As transparency and traceability into the primary production levels of the seafood supply chain is strengthened due to decades of efforts to manage our fisheries and aquaculture farm resources, there is increasing recognition that the seafood sector, given its global

geographic spread and complex supply chains, is a particularly high-risk sector when it comes to human and labor rights. While companies are increasingly improving and refining purchasing decisions, assessing actual risk at the primary production level remains a challenge.

For HRDD to drive real change on the ground, it should involve direct engagement with workers and their representative organizations throughout the entire process.



The HRDD process is clearly laid out in the [United Nations' Guiding Principles on Business and Human Rights](#) and further defined in the [OECD Due Diligence Guidance for Responsible Business Conduct](#) and can be summarized as the following:

5 Communicate

Communicate how impacts are addressed

4 Track

Track implementation and results



2 Assess

Identify and assess adverse impacts

6 Remediate

Provide for or cooperate in remediation where appropriate

3 Act

Take appropriate action to cease, prevent or mitigate adverse impacts

The Social Responsibility Assessment Tool for the Seafood Sector (SRA) is a risk assessment or benchmarking tool. In the context of the HRDD process, the SRA can be applied to:

- assess social and human rights risks,
- uncover critical information gaps,
- identify areas in need of improvement,
- develop clear actions on how to drive these improvements.

On its own, the SRA does not fulfill the complete HRDD process but informs steps in the framework, including assessing risk and potential or actual adverse impacts, which can inform appropriate actions to cease, prevent, or mitigate those risks or impacts. The Social Responsibility Assessment Tool is not a certification nor a social audit, rather is designed to complement these traditional ‘assurance’-style approaches. The methodology of the SRA focuses on identifying risk rather than verifying compliance. In addition, the purpose of an SRA is not just to identify direct risks, but to understand inherent risks amongst the broader context within which the Unit of Assessment (UoA) and supply chain are operating.

It is important to note that buyers or consumers should not equate low risk scores produced by the SRA as indicating a supply chain free of human or labor rights abuses.

The SRA can be used in myriad ways to answer unique research questions, but overall is encouraged to be used to 1) assess human

and labor rights risks via data collection on key social risk indicators aligned with international guidelines, 2) identify root causes, and 3) engage and collaborate with local rightsholders and stakeholders who are best positioned to support improvements, thereby reducing and/or mitigating risks, for workers at scale. Some examples of SRA implementation include, but are not limited to:

- Regional risk assessments including in direct supply chain sources
- Collaborative regional assessments across multiple industry partners
- Self-assessment of suppliers and vendors to manage their own risks and utilize when reporting to buyers
- Benchmarking multiple sources of existing data (e.g., internal and/or third-party audits, worker surveys, public information, etc.) against the SRA framework to identify trends and design regional or local action plans
- Supporting social reporting requirements for Fishery Improvement Projects (FIPs) on [FisheryProgress.org](https://fisheryprogress.org)
- Leveraging the SRA framework as part of a broader [Human Rights Impact Assessment](#) (HRIA)
- A component of holistic triple impact frameworks designed for working with communities and small-scale fisheries, such as the Community-based Fishery Improvement Project model.
- Provide a meaningful role for unions and worker organizations to verify workplace compliance.



Introduction

Over the past several decades, significant effort has been invested in determining the key elements necessary for environmental sustainability in fisheries and aquaculture, informing the creation of globally recognized standards. However, persistent media revelations about human and labor rights violations in the seafood sector in both developing and developed countries have placed social issues at the forefront of conversations around seafood production. In response, a coalition of academic institutions, industry members, and nonprofit organizations co-created a framework encompassing a shared and comprehensive definition of social responsibility in the seafood sector to align efforts in this space.

This framework, referred to as the Monterey Framework for Social Responsibility (Kittinger et al., 2017), is supported by more than two-dozen businesses and over 25 non-profit organizations and spans issues across human and labor rights, access to resources, equality and equity, and livelihood and food security. It was built on the [UN FAO's Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries](#), incorporating principles from this framework together with a substantive body of social science research from the fields of human and labor rights, natural resource management, and development.





Protect Human Rights, Dignity,
and Access to Resources



Ensure Equability and Equitable Opportunity



Improve food and Livelihood Security



The “Monterey Framework”: From Principles To Practice

While the Monterey Framework provided a definition of socially responsible seafood, there was a need to develop a practical process to support social risk assessments in seafood supply chains. Conservation International partnered with human and labor rights and seafood experts to co-develop a one-of-a-kind diagnostic assessment tool specifically designed to assess risks through primary and secondary data collection. This tool, The Social Responsibility Assessment Tool for the Seafood Sector, or SRA, is built on the Monterey Framework, the UN FAO’s Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries, and the International Labour Organization (ILO) Conventions, and aligns with the ILO’s Decent Work Agenda, which support several Sustainable Development Goals, along with other relevant, existing protocols and frameworks. The SRA is salient across a diversity of contexts, from community oriented small-scale fisheries to industrial fleets recruiting migrant workers, aquaculture farms, and can be further extended to seafood processing facilities.

SRA Format

Each Principle comprises a set of Components, Risk Indicators (Table 1) and Data Collection Points. The Data Collection Points incorporate all data necessary to evaluate the Risk Indicators. The hierarchy of Principles, Components, Risk Indicators and Data Collection Points forms the risk assessment methodology of the Social Responsibility Assessment Tool. Risk levels are assigned at the Risk Indicator level, and it is the combination of data collected against the Data Collection Points that determines whether a Risk Indicator is HIGH, MEDIUM, or LOW risk (i.e., Data Collection Points do not have their own resultant risk level but are analyzed together to assess Risk Indicators).

HIGH risk Data Collection Points are the inverse of MEDIUM risk Data Collection Points. Relevant definitions and guidance for each Data Collection Point can be found next to MEDIUM and LOW risk Data Collection Points. For additional information, refer to the SRA Implementation Guide.

Principle	Component	Risk	Risk Indicators
1 Protect human rights, dignity, and access to resources	1.1 Fundamental human and labor rights and decent working and living conditions	1.1.1	Abuse and harassment
		1.1.2	Forced labor
		1.1.3	Human trafficking and fair recruitment in the workplace
		1.1.4	Debt bondage in small-scale fisheries and smallholder farms
		1.1.5	Child labor
		1.1.6	Freedom of association and collective bargaining
		1.1.7	Earnings and benefits
		1.1.8	Adequate rest
		1.1.9	Access to basic services for worker housing and liveaboard vessels
		1.1.10	Occupational safety
		1.1.11	Medical response
		1.1.12	Observer rights
	1.2 Business conduct and commercial agreements uphold human rights and dignity of workers	1.2.1	Corporate responsibility and transparency
		1.2.2	Economic flexibility and autonomy
2 Ensure equality and equitable opportunity to benefit	2.1 Recognition, voice, and respectful engagement for all groups	2.1.1	Grievance reporting and access to remedy
		2.1.2	Customary rights
		2.1.3a	Participatory governance of fisheries and aquaculture resources
		2.1.3b	Participatory governance within the workforce
	2.2 Equitable opportunities to benefit are ensured to all, throughout the supply chain	2.2.1	Equitable opportunity to benefit from the fishing or aquaculture sector
		2.2.2	Discrimination
3 Improve food, nutrition, and livelihood security	3.1 Health and wellbeing of resource-dependent communities	3.1.1a	Impact of the fishery/farm on food and nutrition security
		3.1.1b	Food and nutrition security for small-scale fishing and smallholder farming communities
		3.1.2	Healthcare
		3.1.3	Education
		3.1.4	Access to basic services for small-scale fishing and smallholder farming communities
	3.2 Livelihood security	3.2.1	Benefits to and within the community
		3.2.2	Livelihood security

Implementing the SRA

This document contains high level information about overall SRA implementation. You can find detailed information about the entire SRA process in the SRA Implementation Guide.

Determining the Unit Of Assessment (UoA)

The Unit of Assessment will vary depending on what aspect of the supply chain is being considered. This could include 1) the production sector, 2) pre-processing sector, 3) processing sector, 4) distribution sector, or any combination. Recognizing the UoA may need to be bound for feasibility and practical reasons (i.e., looking solely at the production sector), it is still important to consider the UoA in the context of the larger supply chain, where other human or labor rights abuses may occur. As such, it should be noted this tool can only elucidate social risks for the specific UoA within its respective supply chain, unless the entire supply chain is assessed for the whole sector or commodity. Since the UoA is the scale at which data are retrieved, the UoA may also vary by Risk Indicator. For example, within this methodology, social data may need to be collected at the scale of a household, vessel, fishery, farm, community, or processing facility. Some Risk Indicators may also exist at regional or country levels (i.e., food security, health care, education).

Best practice for determining the UoA is to first define a clear research question and tailor the UoA to address that question. The scope can always be expanded or reduced in subsequent assessments or in improvement plan activities, but the accuracy of the resultant risk assessment depends on defining a clear research question. For detailed guidance on how to determine the Unit of Assessment, refer to the SRA Implementation Guide.

Applicability of Risk Indicators

Recognizing that industrial and small-scale fisheries, and aquaculture farms face different social issues, some Risk Indicators and related Data Collection Points will not be relevant to certain contexts. Similarly, this framework is intended to be flexible and adaptable for a diversity of situations. As such, we provide a heuristic of potentially relevant indicators for assessing human and labor rights risks based on the characteristics of the UoA. **Note, we do not recommend disregarding Risk Indicators based solely on the characteristics of fishery or farm.** Conditionality of Risk Indicators should be up to the discretion of the expert assessor, in partnership with local rightsholders and stakeholders, based on their in-depth knowledge of the system and the research question that has been defined for the SRA.

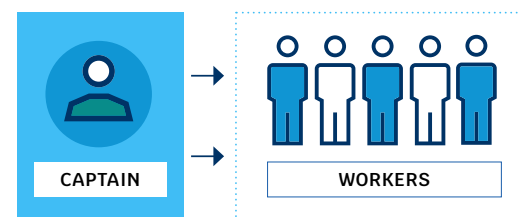
Applicability Definitions

Worker: (*syn: fisher, crew, farmer*) Any full or part-time, permanent or temporary/seasonal individual employed on a fishing vessel, an aquaculture farm, or processing facility, including directly contracted workers, subcontracted workers, and those whose earnings are based on a share of the catch or production, whether or not they have a written contract. In some cases, workers may include fishing vessel captains if captains are employed by a vessel owner or fishing company (**see Figure A below**). Captains employed by a vessel owner or fishing company are also considered crew supervisors, in which case they are both an employee and a supervisor and should be evaluated as such (i.e., assessors should inquire as to their employment terms while also evaluating captains' accountability to uphold crew rights).

Workers may be day laborers who work on different fishing vessels each trip, permanent employees working on the same fishing vessel for a longer period of time, or 'free agents' or 'freelance' workers who are employed on a vessel or at an aquaculture farm for the duration of a specific contract or project. Workers may be hired through a labor contractor, broker, or recruiter. Within the fisheries and aquaculture sectors, workers are often part of the informal employment sector, meaning national policies may lack clear regulations regarding employment terms. Regardless of their classification legally, these individuals are considered workers under the SRA.

Employed: Working for another party for payment of any kind. This includes indirect employment, for instance individuals helping an employed worker contribute to productivity earnings and working for in-kind (non-cash) payment. A child working alongside their relative (paid or unpaid) is indirectly employed if that relative is employed. If the relative is not employed, (i.e., is self-employed), a child working alongside that relative is not considered employed.

Vessel owner = Captain



Vessel owner ≠ Captain

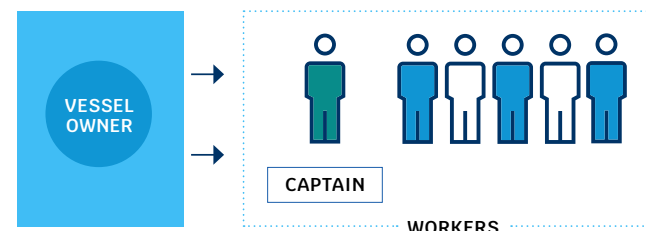


Figure A. Distinction between when a captain is and is not classified as a worker.

Self-employed: A fisher/farmer is considered self-employed if they themselves are making all decisions pertaining to vessel/farm operations. In cases where a vessel owner is not the captain, or property is being leased to a farmer, those individuals are not considered self-employed. The term 'self-employed' will commonly be applied where fishers or farmers own and operate their own vessel or farm. It can be common in fishing cooperatives for multiple self-employed fishers to embark on a fishing trip together as equal partners whereby no employer-employee relationship exists. In this case, both fishers are still considered self-employed.

Captain: (*syn: skipper*) The individual having command of a fishing vessel. The captain may or may not also own the vessel. When they do not own the vessel, captains are considered 'workers', as per the definition in the SRA.

Vessel owner: An individual or entity that holds legal title to the fishing vessel and has the right to operate, sell, or lease the vessel. Vessel owners are responsible for vessel maintenance, compliance with laws and regulations, and associated risks. Vessel owners may or may not also participate in fishing activities on board.

Farm owner: An individual or legal entity who owns, either legally or through customary access rights, the plot of land and/or access rights and is responsible for the conditions of the farm. Farm owners are typically the employer or contractor of any workers hired to work on the farm. In some cases, a farm owner may not hire any labor other than family.

Single-handed vessel: (*syn: self-employed fisher, day boat*): Single-handed vessels are exclusively both owned and operated by an individual (i.e., single-handed vessels do not include crew; see definition of 'worker'). Operators of single-handed vessels are not considered employed workers, nor do they employ anyone directly. Single-handed vessels may or may not be part of a fishing cooperative or association.

Small-scale fishery/smallholder farm: A broad category characterized by low-capital, low-technology, labor-intensive harvesting methods. In wild capture fisheries, trips are typically close to shore, and vessels may include up to 5-6 crew members. On farms, family ownership with no permanent workforce is a typical characteristic.

FAO's 2025 [Illuminating Hidden Harvests](#) report highlights the spectrum of characteristics found within small-scale fisheries. "The small-scale fisheries sector tends to be firmly rooted in local communities, traditions, and values. Many small-scale fishers are self-employed and usually provide fish for direct consumption within their households or communities. Women are significant participants in the sector, particularly in post-harvest and processing activities. It is estimated that about 90% of all people directly dependent on capture fisheries work in the small-scale sector. As such, small-scale fisheries serve as an economic and social engine, providing food and nutrition security, employment and other multiplier effects to local economies while underpinning the livelihoods of riparian communities" (Def. from UN FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries). Exact definitions of small-scale fisheries and smallholder farms vary based on country.

Community: A community may comprise a defined group or multiple groups living in the same place working in the fishing/aquaculture/ seafood processing sectors. However, within the SRA, a community is not only a spatially bound, homogenous, and organized social unit, as many fishing and farming dependent communities are migrant, nomadic, and/ or temporary. Likewise, we recognize the complexity occurring within communities across gender, ethnicity, class, political, and religious status, resulting in differential access to benefits from the fishing and aquaculture sectors.

Customary users: An individual or community who has customary rights.

Customary rights: Refers to patterns of long-standing community land and resource usage in accordance with Indigenous Peoples' and local communities' customary laws, values, customs, and traditions, rather than formal legal title to land and resources issued by the State¹.

¹Definition based on UN-REDD: [Customary rights | UNREDD Programme \(un-redd.org\)](http://un-redd.org)





Applicability Logic

Respond to the questions on the following page to identify Risk Indicators that may or may not be applicable according to the Unit of Assessment. The following indicators are ALWAYS applicable, regardless of the Unit of Assessment definition:

- 1.1.1: Abuse and harassment
- 1.1.5: Child labor
- 1.1.6: Freedom of association and collective bargaining
- 1.1.10: Occupational safety
- 1.1.11: Medical response
- 2.1.1: Grievance reporting and access to remedy
- 3.1.1a: Impact on food and nutrition security

IMPORTANT NOTE: If the questions opposite do not align with the characteristics of your Unit of Assessment, assessors should review all the content of each Risk Indicator for relevance. The goal of the Applicability Decision Tree is to guide assessors as they identify Risk Indicators that are most relevant to the Unit of Assessment, therefore not all possible scenarios may be reflected. As mentioned above, it is encouraged assessors use their expertise and knowledge of the Unit of Assessment, in partnership with local rightsholders and stakeholders, to determine final applicability. This process will be easier following desk research and rightsholder and stakeholder engagement.

As secondary and primary data are collected, it may become clear that a Risk Indicator previously omitted should be assessed. Assessors can collect additional data if time and budget permits, or can mark the omitted Risk Indicator as HIGH risk due to a lack of data and outline a plan to collect data within the improvement plan.

Applicability Logic

APPLICABILITY QUESTION 1

Are there hired workers on vessels/farms/ processing facilities included in scope of the Unit of Assessment?

If no, 1.1.2, 1.1.3, 1.1.7, 1.1.8, 1.1.9 are not applicable.
Move on to sub-question 1a.

Question 1a

If no to question 1, the UoA is comprised of self-employed vessel operators or individual smallholder farm owners that do not employ any form of labor (but may have family member support). Are they organized into a fishing/farm association or cooperative?

If no, 1.2.1, 2.1.3b and 2.2.2 are not applicable.
Regardless of the answer to 1a, move on to question 1c.

1.2.1 will always be applicable if the UoA includes one or more legally recognized management entities, e.g., a company or a cooperative that pays taxes as an organization.

APPLICABILITY QUESTION 2

Were any workers recruited directly by the employer or third-party labor agent (whether domestic or foreign migrant workers)?

If no, 1.1.3 is not applicable.

APPLICABILITY QUESTION 3

Do fishers or farmers sell their own seafood?

If yes, 1.1.4 and 1.2.2 are applicable. If no, go to question 3a.

Question 3a

Assessors should verify if 1.1.4 and 1.2.2 are applicable based on the unique characteristics of the UoA.

A small-scale fishery or fishery/farming cooperative or association may be selling seafood on behalf of its members, but 1.1.4 and 1.2.2 may still be applicable at the level of the cooperative.

The qualifier stems from a combination of factors such as scale, power dynamics, level of sophistication of the operation, etc., which may be unique to any UoA.

APPLICABILITY QUESTION 4

Do the vessels in the Unit of Assessment go out at sea overnight or is there any form of shore-based employer-provided housing?

If no, 1.1.9 is not applicable.

APPLICABILITY QUESTION 5

Is human observer coverage required in the fishery (via national laws or RFMO regulations)?

If no, 1.1.12 is not applicable.

1.1.1, 1.1.2, 1.1.3, 1.1.5, 1.1.6, 1.1.7, 1.1.8, 1.1.9, 1.1.10, and 1.1.11 are always applicable where human observers are present within the fishery.

1.1.12 is not applicable for aquaculture farms or processing facilities.

APPLICABILITY QUESTION 6

Are vessels/farms operating near or adjacent to, or competing for resource with, customary users (such as Indigenous groups or subsistence activities)?

If no, 2.1.2 is not applicable.

2.1.2 is always not applicable if all vessels in the UoA are only fishing in the high seas.

APPLICABILITY QUESTION 7

Is the UoA comprised of small-scale fisheries or smallholder farms?

If no, 3.1.1b, 3.1.2, 3.1.3, 3.1.4, 3.2.1, and 3.2.2 may not be applicable.

Assessors should review the definitions above and the contents of Principle 3 to verify applicability based on the unique characteristics of the UoA.

General Scoring Guidance

Each of the Risk Indicators (RIs) of the Social Responsibility Assessment Tool must be scored following the guidance provided in the SRA Implementation Guide. This body of work describes the best practices to be employed to implement the SRA, including:

- Assessor/assessment team qualifications
- Sampling and assessment scheduling
- Desk research methodology and guidance
- Rightsholder and stakeholder engagement methodology and guidance
- Onsite assessment interview guides, and document and site observation checklists
- Reporting and action plan development

After the assessment team has compiled and analyzed the relevant information available (including primary and secondary sources), they shall indicate whether a Data Collection Point has sufficient evidence to meet the defined best practice.

Data Collection Points are organized into HIGH, MEDIUM, and LOW risk categories. Within the risk categories for each Risk Indicator, there are multiple Data Collection Points. By default, these Data Collection Points are to be treated as 'AND' clauses, where all Data Collection Points within a category must be met

to achieve that risk level. When Data Collection Points are to be treated as 'OR' clauses, the OR will be explicitly mentioned in the scoring category text. For all Risk Indicators, a written rationale for the score must be provided. The resultant risk level assigned to each Risk Indicator is the culmination of responses to each Data Collection Point within that Risk Indicator. The risk level is determined according to the following framework:

- If any of the MEDIUM Data Collection Points are not met, the Unit of Assessment will score HIGH for that Risk Indicator.
- You will notice the HIGH risk Data Collection Points are the exact inverse of the MEDIUM risk Data Collection Points.
- All the MEDIUM Data Collection Points must be met through sufficient evidence in order to score MEDIUM for that Risk Indicator.
- All the MEDIUM and LOW Data Collection Points must be met through sufficient evidence in order to score LOW for that Risk Indicator.
- In alignment with the precautionary approach, a lack of data shall be marked as HIGH risk, with the goal of collecting additional relevant data as part of the resultant action plan.

General Scoring Guidance

Number	Risk Level	Data Collection Point
SRA1.1.1 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA1.1.1 D.0	High	OR - There is no written policy publicly disclosed, posted in all languages with special accommodations for illiteracy, that prohibits physical abuse, bullying, and sexual harassment, or a disciplinary procedure is not in place to address cases of harassment, or discipline is not commensurate to the actions,
SRA1.1.1 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA1.1.1 D.2	Medium	AND - There is a written policy publicly disclosed, posted in all languages with special accommodations for illiteracy, that prohibits physical abuse, bullying, and sexual harassment, a disciplinary procedure is in place to address cases of harassment, and discipline is commensurate to the actions,
SRA1.1.1 D.6	Definitions and guidance	This policy covers all workers who pertain to a business or who are part of a cooperative or association. For a captain or self-employed farm owner who is not organized into a cooperative or association and has hired workers, it is still expected that a policy exists. At a minimum, this should be evident within written contracts where they exist.
	Low	There is a system in place to ensure managers and workers who pertain to a business or who are part of a cooperative or association are aware of and trained on the harassment policy. As part of this system, there is a mechanism to monitor performance against the policy,
	Low	OR - Data collected resulted in a low-risk rating for Risk Indicator 2.1.1.
SRA1.1.1 D.6	Definitions and guidance	Grievance mechanisms: A formal, legal or non-legal (or 'judicial/non-judicial') complaint process that can be used by individuals, workers, communities and/or civil society organizations that are being negatively affected by certain business activities and operations (SOMO).

An 'OR' statement here indicates any evidence of any HIGH risk Data Collection Point results in a HIGH risk score

High Risk

High Risk

Medium Risk

Low Risk

If any MEDIUM risk Data Collection Points are not met, the UoA scores a HIGH risk.

Each of these Data Collection Points must be met to score MEDIUM risk.

Each of these Data Collection Points must be met to score LOW risk.

An 'OR' statement here indicates either of these Data Collection Points can be met to score LOW risk. However, all of the MEDIUM risk Data Collection Points must still be met in order to score LOW risk.

General Scoring Guidance

We do not suggest giving any Risk Indicators disproportionate weight, as all human and labor rights are fundamentally regarded as indivisible, and one right must never be compromised to advance another. Rather, all HIGH risk categories should be met with immediate attention, and when/if criminal activity is detected, the appropriate remediation channels should be activated (see SRA Implementation Guide).

After the risk levels have been determined for each Risk Indicator, assessors will assign an action level. The SRA is intended to be forward thinking, and a primary outcome of each SRA should be the development of an improvement plan to address risks identified during the assessment. Understanding HIGH, MEDIUM, and LOW risks is an important first step in prioritization but does not intuitively consider the nuance of the data collected.

Definitions of action levels can be found in the graphic on this page.

Risk level	Action level	Description	Example
High	Urgent	Data collected suggests an immediate violation of human or labor rights is occurring, or laws are being broken.	Assessors collect direct evidence that migrant workers are in a situation of debt bondage and are unable to seek alternative employment or exit the fishery/farm/facility at their own free will.
	Prioritize	Data collected suggests risk of violation of human or labor rights but may not identify a direct occurrence of a human or labor rights violation or laws being broken.	Lack of a policy on forced labor.
Medium	Prioritize	Data collected suggests an absence of a system to mitigate human or labor rights violations.	Management has not been trained in key human/labor rights policies.
	Improve	Data collected suggests there may be a system in place to mitigate risks, but effectiveness is unknown or questionable.	Management has been trained in policies, but workers still report issues.
Low	Improve	Data collected suggests there is a system in place but may not be regularly validated for effectiveness.	Workers and managers have been trained, but the most recent training was 2+ years prior.
	Maintain	Data collected suggests a system is well-established and effective and has a pre-determined schedule for consistent monitoring; the practice should be maintained as-is.	Workers and managers have been trained in key human/labor rights policies within the past year and are required to attend a training every 12 months. Employee training records are maintained and updated as necessary.

For additional guidance on assigning action levels to Risk Indicators, refer to the SRA Implementation Guide.





Risk Indicators

Principle 1

Protect human rights, dignity,
and access to resources

Component 1.1:

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

Risk indicators in this component

- 1.1.1 Abuse and harassment
- 1.1.2 Forced labor
- 1.1.3 Human trafficking and fair recruitment in the workplace
- 1.1.4 Debt bondage in small-scale fisheries and smallholder farms
- 1.1.5 Child labor
- 1.1.6 Freedom of association and collective bargaining
- 1.1.7 Earnings and benefits
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- 1.1.9 Access to basic services for worker housing and liveaboard vessels
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- 1.1.11 Medical response
- 1.1.12 Observer rights



Indicator 1.1.1: Abuse and harassment²



A core component of decent work is the right to a workplace that is free from abuse and harassment. This Risk Indicator is primarily based on the ILO Violence and Harassment Convention, 2019 (No. 190), and further adapted from social standards in the seafood and non-seafood sectors. Throughout this section, the SRA references several forms of abusive behavior, including but not limited to physical, sexual, verbal, and psychological abuse. The fishing sector in particular includes compounding risk factors, such as long fishing trips with little to no legal oversight or accountability for actions in the high seas. Often, women make up a large portion of the processing workforce and other shore-based labor in both the fishing and aquaculture sectors and may be at heightened risk of sexual harassment in the workforce. Other gender-minority groups, including women, may also face gender-based violence.

While the issues of abuse and harassment are sensitive interview topics, the assessment team is tasked with familiarizing themselves with the overall culture on board the fishing vessel, at farms, or at processing facilities and looking at management systems (in particular disciplinary procedures) and grievance mechanisms in place to ensure workers have access to remedy through legitimate channels. Assessors must also evaluate potential power dynamics between workers and their supervisors (i.e., captains or managers). Assessors will collect data on policies and procedures, training, treatment of workers based on direct interviews, grievance mechanisms, among others, to evaluate the risk of abuse and harassment workers may face while at work.

Note, Indicator 1.1.1 is applicable to human observers where present within the fishery.

Number	Risk Level	Data Collection Point
SRA1.1.1 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR - There is no written policy publicly disclosed, posted in all languages with special accommodations for illiteracy, that prohibits physical abuse, bullying, and sexual harassment, or a disciplinary procedure is not in place to address cases of harassment, or discipline is not commensurate to the actions,
		OR - There are indications of corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based violence, sexual harassment, or any other form of harassment, reproductive coercion, including excessive or abusive disciplinary action,
		OR - There are indications of corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based violence, sexual harassment, or any other form of harassment, reproductive coercion, including excessive or abusive disciplinary action,
		OR - There are indications of workers being threatened by employers, buyers, labor brokers, or organized crime groups,
		OR - There are indications of forced drug use and labor or product is compensated for with drugs.
SRA1.1.1 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,

Number	Risk Level	Data Collection Point
SRA1.1.1 D.2	Medium	AND – There is a written policy publicly disclosed, posted in all languages with special accommodations for illiteracy, that prohibits physical abuse, bullying, and sexual harassment, a disciplinary procedure is in place to address cases of harassment, and discipline is commensurate to the actions,
	Definitions and guidance	This policy covers all workers who pertain to a business or who are part of a cooperative or association. For a captain or self-employed farm owner who is not organized into a cooperative or association and has hired workers, it is still expected that a policy exists. At a minimum, this should be evident within written contracts where they exist. However, if data collected suggest workers are aware of their rights as they relate to abuse and harassment (via key informant interviews), demonstrating effective communication through informal or verbal work agreements, this Data Collection Point can be listed as met.
SRA1.1.1 D.3	Medium	AND – There are no indications of corporal punishment, mental or physical coercion, verbal abuse (significantly different than colloquial banter), gender-based violence, sexual harassment, or any other form of harassment, reproductive coercion, including excessive or abusive disciplinary action,
	Definitions and guidance	Sexual harassment: Behavior, including gestures, language, and physical contact, that is sexually intimidating, abusive, or exploitative. Gender-based violence: Violence directed against a person because of their gender. Any person regardless of gender may experience gender-based violence, however, the majority of victims are women and girls as gender-based violence is often rooted in power inequality between women and men. Reproductive coercion: Behavior that interferes with the autonomous decision-making of a person who can get pregnant, with regards to reproductive health.

Number	Risk Level	Data Collection Point
SRA1.1.1 D.4	Medium	AND – There are no indications of workers being threatened by employers, buyers, labor brokers, or organized crime groups,
	Definitions and guidance	This includes threats to family or community members. Due to safety concerns, in locations where organized crime is present, assessors are unlikely to be notified. Additional health, safety, and governance risks may be present and correlated, however, and desk research to review publicly available resources should be analyzed for relevance here.
SRA1.1.1 D.5	Medium	AND – There are no indications of forced drug use and labor and product is not compensated for with drugs.
	Definitions and guidance	Due to safety concerns, in locations where product is being compensated for with drugs, assessors are unlikely to be notified. Additional health, safety, and governance risks may be present and correlated, however, and desk research to review publicly available resources should be analyzed for relevance here.
SRA1.1.1 D.6	Low	There is a system in place to ensure managers and workers who pertain to a business or who are part of a cooperative or association are aware of and trained on the harassment policy. As part of this system, there is a mechanism to monitor performance against the policy,
	Definitions and guidance	This Data Collection Point is also applicable for cooperatives or associations. Cooperative or association members and their workers should know their rights. Note, this training can be encompassed as part of broader rights awareness training for workers that includes other trainings mentioned throughout the SRA.

Number	Risk Level	Data Collection Point
SRA1.1.1 D.7	Low	AND – Workers have access to effective grievance mechanisms to report harassment and do not face retaliation for using them,
		OR – Data collected resulted in a low-risk rating for Risk Indicator 2.1.1.
	Definitions and guidance	Grievance: A circumstance or condition that constitutes an injustice to the sufferer and gives just ground for complaint. Grievance mechanisms: A formal, legal or non-legal (or ‘judicial/non-judicial’) complaint process that can be used by individuals, workers, communities and/or civil society organizations that are being negatively affected by certain business activities and operations (SOMO). See Risk Indicator 2.1.1 for additional guidance on grievance mechanisms.

Indicator 1.1.2: Forced labor⁴



Occurrences of forced labor conditions in the seafood sector have been documented widely over the past decade, with some of the most egregious violations recorded in the fishing sector. The ILO defines forced labor as “all work or service which is exacted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily”. Forced labor can take many forms, and several indicators can point to forced labor conditions. Many of these indicators are commonplace in the seafood sector, and without close management and clear intentions, workers may fall victim to forced labor conditions. For example, both the fishing and aquaculture sectors require long working hours in potentially dangerous working conditions, and fishing/farming activities can take place in remote places with extreme isolation. Long fishing trips mean restriction of movement, and termination of employment can therefore be complicated. Both the fishing and aquaculture sectors are also often considered ‘informal’ sectors, where workers do not have contracts, meaning governments have little oversight over conditions of employment, and workers have little access to recourse should an issue arise. Payment in the fishing sector can also be

inconsistent due to the nature of fishing trips and alternative payment methods. This Risk Indicator is largely based on the ILO Forced Labour Convention, 1930 (No.29), the ILO Abolition of Forced Labour Convention, 1957 (No. 105), and for activity on vessels, the ILO’s Towards Freedom at Sea: Handbook for the detection of forced labour in commercial fishing (2023). Assessors will collect data on policies and procedures to manage risks of forced labor, worker awareness of their rights and employment terms, and should be qualified in collecting sensitive information via worker interviews to screen for indicators of forced labor.

Note, Indicator 1.1.2 is applicable to human observers where present within the fishery.

⁴Criteria on forced labor are derived from FishSource, ILO C29, ILO C105, ILO 2012, FTUSA, ASC, BSCI, Naturland, RFVS, FISH Standard, IHRB, and the ILO Towards freedom at sea report.

Number	Risk Level	Data Collection Point
SRA1.1.2 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – The farm/fishery/facility does not have a policy prohibiting the use of forced, bonded, indentured, prison labor, slavery or trafficked labor,
		OR – There are indications of deception of workers regarding employment conditions, OR – There are indications of abusive working or living conditions, OR – There are indications workers are subject to excessive, involuntary overtime, OR – There are indications workers are performing work for substandard, or no wages and/or their wages or other promised benefits have been withheld, OR – There are indications of abuse of vulnerability of workers, OR – There are indications of restriction of movement of workers at the workplace or accommodation, OR – There are indications workers have been intentionally physically or socially isolated, OR – There are indications workers have been subject to physical and/or sexual violence, OR – There are indications workers, or their relatives have been subject to intimidation or threats, OR – There are indications workers' identity documents have been retained without access, OR – There are indications workers are subject to debt bondage or manipulation of debt,
		OR – On large vessels, workers do not have written contracts in a language they understand, with additional provisions made for illiteracy, so their rights and terms of recruitment and employment are clearly understood,
		OR – Workers are not free to terminate their employment at any time,
		OR – The fishery/farm/facility employs prisoners.
SRA1.1.2 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,

Number	Risk Level	Data Collection Point
SRA1.1.2 D.2	Medium	AND – The farm/fishery/facility has a policy prohibiting the use of forced, bonded, indentured, prison labor, slavery or trafficked labor,
	Definitions and guidance	This policy covers all workers who pertain to a business or who are part of a cooperative or association. For a captain or self-employed farm owner who is not organized into a cooperative or association and has hired workers, it is still expected that a policy exists. At a minimum, this should be evident within written contracts where they exist. However, if data collected suggest crew/employees are aware of their rights as they relate to forced labor (via key informant interviews with crew), demonstrating effective communication through informal or verbal work agreements, this Data Collection Point can be listed as met. Slavery: The status or condition of a person over whom any or all of the powers attaching to the right of ownership are exercised (1926 Slavery Convention). Forced labor: All work or service which is exacted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily. “Penalty” can imply monetary sanctions, physical punishment, intimidation, or punishment of family members, or the loss of rights and privileges or restriction of movement (e.g., withholding of identity documents) (ILO C29). From: ILO Indicators of Forced Labor The indicators are derived from the ILO’s Special Action Programme to Combat Forced Labour (SAP-FL). They are based upon the definition of forced labor specified in the ILO Forced Labour Convention, 1930 (No. 29). www.ilo.org/wcmsp5/groups/public/---ed_norm/---declaration/documents/publication/wcms_203832.pdf
SRA1.1.2 D.3	Medium	AND – There are no indications of deception of workers regarding employment conditions,
	Definitions and guidance	Deception involves the deliberate failure to deliver what has been promised to the worker either verbally or in writing. This can include false promises regarding working conditions and wages, the type of work, housing and living conditions, etc. This may include, but is not limited to: - Performing a job different in nature from what they agreed to. - Work for other employers that was not agreed to. - Working for longer periods of time than agreed.

Number	Risk Level	Data Collection Point
SRA1.1.2 D.3 Cont.	Medium	OR – There are no indications of abusive working or living conditions,
	Definitions and guidance	This includes situations where workers are forced to endure working and living conditions they did not and would not have freely agreed to. This may include, but is not limited to: - Work performed under conditions that are degrading or hazardous. - Performing work without adequate safety equipment. - Overcrowded living conditions. - Limited or insufficient access to food and water, in extreme cases leading to potential malnutrition (e.g., beriberi) or dehydration. - Lack of privacy.
	Medium	OR – There are no indications workers are subject to excessive, involuntary overtime,
	Definitions and guidance	This includes situations when workers are forced to work in excess of the working hours limits prescribed by national law or collective agreements. The determination of whether or not excessive overtime constitutes forced labor is complex. A useful rule of thumb is that if employees have to work more overtime than is allowed under national law, under some form of threat (e.g., dismissal), or in order to earn at least the minimum wage, this is forced labor. This may include, but is not limited to: - Logging false hours to hide actual hours worked that exceed legal limits. - Denial of breaks and days off.
	Medium	OR – There are no indications workers are performing work for substandard or no wages and/or their wages or other promised benefits have been withheld,

Number	Risk Level	Data Collection Point
SRA1.1.2 D.3 Cont.	Definitions and guidance	This includes situations in which remuneration is below or entirely withheld from workers for reasons they have not agreed to as well as when an employer systematically and deliberately withholds workers' compensation (whether wages, benefits, or other in-kind services) as a means to compel the worker to remain and deny them the opportunity to change employer. This includes but is not limited to: - Underpayment or postponement of paying wages or non-payment of bonuses. - Partial or complete deprivation of wages via illegal deductions (e.g., for food, cigarettes, or access to communication mechanisms). - Payment delayed to the end of a trip so that fishers do not leave once at port. - Promise of bonus that is never paid to workers, for example bonuses used to incentivize payment-share workers to work excessive hours.
	Medium	OR - There are no indications of abuse of vulnerability of workers,
	Definitions and guidance	This is when an employer takes advantage of a worker's vulnerable position. For example, when an individual lacks alternative livelihood options (vulnerability), and an employer imposes excessive working hours or withholds wages (abuse of vulnerability). Risk of abuse of vulnerability increases the more dependent the worker is on the employer (i.e., for food, shelter, etc.). This includes but is not limited to: - Coercion/threat of dismissal - Threat of deportation - Denial of rights or privileges to perform work they would otherwise refuse. Workers may also be vulnerable due to economic needs, lack of formal schooling, distance from urban centers, or ethnic or gender characteristics that make them prone to being dependent on the conditions imposed by other people, among other aspects. When an individual has multiple dependencies on the employer, for example for income and housing, they are especially susceptible to forced labor conditions. For example, recruiting unhoused people into abusive working conditions promising food and shelter in addition to income.

Number	Risk Level	Data Collection Point
SRA1.1.2 D.3 Cont.	Medium	OR – There are no indications of restriction of movement of workers at the workplace or accommodation,
	Definitions and guidance	Workers are not free to enter and exit the workplace or vessel while at port (subject to certain conditions which are considered reasonable, e.g., medically mandated isolation for health and safety, force majeure) or movement is restricted in the workplace or on the vessel (subject to certain conditions which are considered reasonable). This may include, but is not limited to: – Fishers are not allowed to leave the vessel while at port. – Workers are not allowed to freely come and go from employer-provided housing. Force majeure: An event or effect that cannot be reasonably anticipated or controlled (such as natural disasters or the outbreak of hostilities).
	Medium	OR – There are no indications workers have been intentionally physically or socially isolated,
	Definitions and guidance	This refers to when workers do not have contact with the outside world. On a fishing vessel, this may mean that all forms of communication are confiscated to prevent workers from contacting families or asking for help. This may include, but is not limited to: – Fishers are kept at sea for trips longer than they agree to (subject to certain conditions which are considered reasonable, e.g., medically mandated isolation for health and safety, force majeure). – Cell phones or other communication devices are confiscated or withheld from workers. This includes restrictions on access to Wi-Fi at sea in particular on trips longer than 90 days. – Workers are isolated from other people as punishment. Note, in fisheries that use transshipment, the risk of isolation is heightened in connection to how it enables vessels to stay out at sea for longer periods of time.

Number	Risk Level	Data Collection Point
SRA1.1.2 D.3 Cont.	Medium	OR – There are no indications workers have been subject to physical and/or sexual violence,
	Definitions and guidance	Any action intended to cause physical harm, including actions used as a form of punishment or to force workers to undertake tasks that are dangerous or unreasonably outside of their job description. This may include, but is not limited to: - Forcing workers to take drugs as to have greater control over them. - Forced time spent overboard in water. - Physical abduction or kidnapping.
	Medium	OR – There are no indications workers, or their relatives have been subject to intimidation or threats,
	Definitions and guidance	An employer's efforts to manipulate workers when they complain about their working conditions or wish to leave their jobs. This may include, but is not limited to: - Threats of physical violence to workers or to their families. - Threats in the form of loss of wages, access to food, further deterioration of conditions. - Withdrawal of "privileges" such as the right to leave the workplace, or denunciation to immigration authorities. - Constant verbal or psychological abuse is also a form of intimidation.
	Medium	OR – There are no indications workers' identity documents have been retained without access,
	Definitions and guidance	Confiscation by the employer or labor recruiter of workers' identity documents such that workers are not able to gain access to them on demand or are not able to leave their job without risking their loss. Note, identity documents may be stored on behalf of workers, but this should not be held in a manner whereby workers perceive limitations on their freedom. For example, a captain or employer may hold identity documents for safe keeping as agreed upon by workers, however workers must be able to access them at any time.

Number	Risk Level	Data Collection Point
SRA1.1.2 D.3 Cont.	Medium	OR – There are no indications workers are subject to debt bondage or manipulation of debt,
	Definitions and guidance	Debt bondage: Status or condition arising from a pledge by a debtor of their personal services or of those of a person under their control as security for a debt if the value of those services as reasonably assessed is not applied toward the liquidation of the debt or the length and nature of those services are not respectively limited and defined (ILO Supplementary Convention on the Abolition of Slavery, 1956). Workers are working in an attempt to pay off an incurred or inherited debt such that it has the effect of binding a worker to an employer for an unspecified period and reflects an imbalance in power between worker and employer. This may include, but is not limited to, advances on wages with unclear repayment terms. See Indicator 1.1.3 on debt bondage linked to recruitment.
SRA1.1.2 D4	Medium	AND – On large vessels, workers have written contracts in a language they understand, with additional provisions made for illiteracy, so their rights and terms of recruitment and employment are clearly understood,
	Definitions and guidance	Large vessels: Vessels equal to, or greater than 24 meters (ILO 2007). See Indicator 1.1.3 related to recruited workers.
SRA1.1.2 D.5	Medium	AND – Workers are free to terminate their employment at any time,
SRA1.1.2 D.6	Medium	AND – The fishery/farm/facility does not employ prisoners.

Number	Risk Level	Data Collection Point
SRA1.1.2 D.7	Low	There is a system in place to ensure managers and workers are aware of and trained on the forced labor policy with access to effective grievance mechanisms for reporting violations of the policy. As part of this system, there is a mechanism to monitor performance against the policy,
	Definitions and guidance	This policy covers all workers who pertain to a business or who are part of a cooperative or association. Note, this training can be encompassed as part of a broader rights awareness training for workers that includes other trainings mentioned throughout the SRA.
SRA1.1.2 D.8	Low	AND - Workers have written contracts in a language they understand, with additional provisions made for illiteracy, so their rights and terms of recruitment and employment are clearly understood,
	Definitions and guidance	See Indicator 1.1.3 related to recruited workers. Written contracts may not be common in some fisheries or farms, and workers themselves may be hesitant to enter into formal contracts. Should written contracts be instated, workers should also be trained on the contents of their contracts, the purpose of written contracts, and how to use them if issues arise. Terms and conditions that workers experience should match what was outlined in written or verbal contracts, otherwise this may indicate a misunderstanding and/or intentional deception (see Data Collection Point 1.1.2 D.3). Formal, written contracts are not common in small-scale fisheries or on smallholder farms, even if there is a formal cooperative or association in place. Often, terms between a captain/farm owner and hired crew or workers will be discussed at the onset of a voyage or on their first day. In small-scale fisheries or smallholder farms, if no formal, written contracts are in place, this Data Collection Point may be met if the following are true based on worker interviews: - Workers understand the plan for each individual fishing trip and their expected schedule of work (e.g., roughly how many days, where they will be fishing, what they are fishing for, a rough outline) - Workers have been briefed on the vessel/farm operation and know how to conduct their job safely (also related to Indicator 1.1.10). - Workers have been provided with detailed information about how pay is divided on the vessel/farm and how much they can expect to earn (e.g., as a percentage of catch or production, or piece rate). - Workers understand how and when they will be paid. - Workers have voluntarily joined the vessel/farm.

Number	Risk Level	Data Collection Point
SRA1.1.2 D.9	Low	AND - Workers are paid on a regular basis in accordance with national laws, and as agreed upon by workers in contracts which have also been verbally explained to them, and payment terms are clearly understood by workers before beginning employment.
	Definitions and guidance	Best practice is that workers go no longer than one month without being paid.



Indicator 1.1.3:

Indicator 1.1.3: Human trafficking and fair recruitment in the workplace⁵



The fishing and aquaculture sectors both heavily rely on migrant labor, whether domestic or foreign, to fill positions on vessels, farms, and at processing facilities. In many areas, due to the nature of fishing and aquaculture farming as physically demanding and dangerous work, companies may struggle to fill roles with local workers and choose to recruit from other geographies (domestic or foreign), either directly, or through a third-party labor recruiter. While this can present an economic opportunity for workers, migrant workers can be vulnerable to deception and coercion, with recruiters potentially promising terms and conditions that are not met upon job placement. Many workers also must pay recruitment fees and may fall into debt, binding them to their job without the ability to terminate employment. In extreme cases, workers may never pay off those debts. Note that indications of human trafficking go beyond coercive recruitment, and management of recruitment processes in the workplace can reduce risks of human trafficking occurring.

This Risk Indicator was primarily based on the Institute for Human Rights and Business (IHRB) [Dhaka Principles](#) and the ILO General Principle and Operational Guidelines on Fair Recruitment. This section applies to both recruitment that is conducted directly by the employer or through a recruitment agency (i.e., broker, or labor recruiter/agent). Although more common in the industrial sectors for both fishing and aquaculture farming, recruitment in small-scale fisheries and on smallholder aquaculture farms can be substantial. Therefore, this indicator is applicable in any UoA whereby labor is recruited from somewhere else, whether domestic or foreign. Assessors will collect data about how workers are recruited, how third-party recruiters are managed, and training and communication as workers move through the recruitment process, ensuring workers' rights are upheld at each step of the recruitment and employment process.

Note, Indicator 1.1.3 is applicable to human observers where present within the fishery.

⁵Criteria on human trafficking and fair recruitment are derived from ILO C29, ILO C105, ILO General Principles and Operational Guidelines for Fair Recruitment, International Organization for Migration's IRIS Tool, Verite's Fair Hiring Toolkit, FTUSA, ASC, BSCI, Naturland, RFVS, FISH Standard, Clearview, IHRB, LRQA's ERSA, and the ILO

Number	Risk Level	Data Collection Point
SRA1.1.3 D.O	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – The fishery/farm/facility does not have a policy on recruitment. Where third-parties are used, this policy does not include potential risks of working with labor recruiters or does not outline safeguards for workers at every stage of their employment,
		OR – There are indications of human trafficking and on fishing vessels, indications of undocumented crew transfer for job-specific purposes between vessels at sea (including during transshipment events),
		OR – There is no comprehensive list of all labor recruiters used by the employer or all labor recruiters listed are not legally registered,
		OR – All domestic and foreign migrant workers do not have written contracts in a language they understand, with no additional provisions made for illiteracy, so their rights and terms of recruitment and employment are not clearly understood,
		OR – Migrant status is used as a threat or tool of coercion,
		OR – Recruitment fees for workers are leading to debt,
		OR – Employers/labor recruiters do not keep an itemized list of all recruitment fees that specify what the fees are for and who is paying for them (including any fees employers or workers are responsible for),
		OR – Workers are not aware of the recruitment fees for which they are responsible,
		OR – Workers or their representative organizations do not have a direct line of communication to their labor recruiter,
		OR – Migrant workers do not understand their rights to freedom of association throughout the recruitment process,

Number	Risk Level	Data Collection Point
SRA1.1.3 D.0	High	OR – Recruited workers are not able to terminate their employment according to reasonable terms that have been agreed upon in the workers' contract,
		OR – There are indications of retaliation or blacklisting of workers who report abuses in the recruitment process.
SRA1.1.3 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA1.1.3 D.2	Medium	AND – The fishery/farm/facility has a policy on recruitment. Where third-parties are used, this policy includes potential risks of working with labor recruiters and outlines safeguards for workers at every stage of their employment,
	Definitions and guidance	Labor recruiter: Refers to both public employment services and to private employment agencies and all other intermediaries or subagents that offer labor recruitment and placement services.
		Labor recruiters can take many forms, whether for profit or non-profit, or operating within, or outside legal and regulatory frameworks. This policy covers all workers who pertain to a business or who are part of a cooperative or association.
SRA1.1.3 D.3	Medium	AND – There are no indications of human trafficking and on fishing vessels, no indication of undocumented crew transfer for job-specific purposes between vessels at sea (including during transshipment events),
	Definitions and guidance	Note, crew transfer for emergencies, including healthcare, is acceptable, but should still be documented. Human trafficking: The recruitment, transportation, harboring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation (UN Trafficking Protocol 2000).

Number	Risk Level	Data Collection Point
SRA1.1.3 D.4	Medium	AND - There is a comprehensive list of all labor recruiters used by the employer and all labor recruiters listed are legally registered,
	Definitions and guidance	N/A if the employer does not work with third-party recruiters.
SRA1.1.3 D.5	Medium	AND - All domestic and foreign migrant workers have written contracts in a language they understand, with additional provisions made for illiteracy, so their rights and terms of recruitment and employment are clearly understood,
	Definitions and guidance	This contract should clearly state terms of repatriation and provide adequate transparency for the worker at every step of the recruitment process.
SRA1.1.3 D.6	Medium	AND - Migrant status is not used as a threat or tool of coercion,
SRA1.1.3 D.7	Medium	AND - Recruitment fees for workers are not leading to debt,
	Definitions and guidance	Recruitment fees: Any fees or costs incurred in the recruitment process in order for workers to secure employment or placement, regardless of the manner, timing or location of their imposition or collection (ILO Principles and Operational Guidelines for Fair Recruitment, 2019). Note, workers may have paid fees for trainings, visas, or passports required for the job, but there is no evidence that they are paying debt associated with those fees (i.e., they were one off costs incurred by the worker). Workers must be free to terminate employment according to agreed upon terms (i.e., there is no debt tying them to the job). Data Collection Point 1.1.3 D.17 evaluates whether or not the employer/labor recruiter covers all recruitment fees.
SRA1.1.3 D.8	Medium	AND - Employers/labor recruiters keep an itemized list of all recruitment fees that specify what the fees are for and who is paying for them (including any fees employers or workers are responsible for),
SRA1.1.3 D.9	Medium	AND - Workers are aware of the recruitment fees for which they are responsible,

Number	Risk Level	Data Collection Point
SRA1.1.3 D.10	Medium	AND - Workers or their representative organizations have a direct line of communication to their labor recruiter,
	Definitions and guidance	N/A if the employer does not work with third-party recruiters. This means workers or their representative organizations do not need to go through their employer or government agency to get in contact with their labor recruiter should they have immediate questions or concerns.
SRA1.1.3 D.11	Medium	AND - Migrant workers understand their rights to freedom of association throughout the recruitment process,
	Definitions and guidance	One method to protect rights to freedom of association throughout the recruitment process is the presence of worker representatives and/or trade unions who have a direct line of communication with labor recruiters and/or are able to engage with recruited workers before and immediately after they have been hired. If there is no trade union, the labor recruiter should be communicating the workers' rights to freedom of association before they are employed. This is further facilitated through Data Collection Point 1.1.3 D.18. Data Collection Point 1.1.6 D.4, regarding freedom of association, is also applicable to migrant workers.
SRA1.1.3 D.12	Medium	AND - Recruited workers are able to terminate their employment according to reasonable terms that have been agreed upon in the workers' contract,
SRA1.1.3 D.13	Medium	AND - There are no indications of retaliation or blacklisting of workers who report abuses in the recruitment process.
	Definitions and guidance	Blacklisting: Denying people employment for a particular reason, such as political affiliation, involvement in trade union activity, gender, or a history of whistleblowing.
SRA1.1.3 D.14	Low	The fishery/farm/facility has a robust operational system in place to monitor, remediate, and report on the performance against their own recruitment policies and/or compliance of labor recruiters to ensure effective policy implementation. Awareness training for managers and workers is embedded into this system,
	Definitions and guidance	Note, this training can be encompassed as part of a broader rights awareness training for workers that includes other trainings mentioned throughout the SRA.

Number	Risk Level	Data Collection Point
SRA1.1.3 D.15	Low	AND - Workers have a direct line of communication to their labor recruiter, access to effective grievance mechanisms, and appropriate remedy at all stages of the recruitment process (pre-departure, in-transit, on job placement, and upon return) in a language they understand,
		OR - Data collected resulted in a low-risk rating for Risk Indicator 2.1.1.
SRA1.1.3 D.16	Low	AND - Data Collection Point 1.1.3 D.3 is met, and desk research suggests effective or improving enforcement of regulation of human trafficking,
	Definitions and guidance	At a minimum, desk review should refer to the most recent US Department of State Trafficking in Persons report, including the section on prosecution, protection, and prevention for the country/flag state of operation. Other references may be included in this research including national country reports, academic studies, Seafood Social Risk Tool profiles, etc.
SRA1.1.3 D.17	Low	AND - Workers do not pay any recruitment fees,
	Definitions and guidance	This means full implementation of the Employer Pays Principle: “No worker should pay for a job – the costs of recruitment should be borne not by the worker but by the employer” (IHBR). Recruitment fees or related costs should not be collected from workers by an employer, their subsidiaries, labor recruiters, or other third parties providing related services. Fees or related costs should not be collected directly or indirectly, such as through deductions from wages and benefits.
SRA1.1.3 D.18	Low	AND - Workers have received pre-departure training before leaving their home country, including terms and conditions of the contract, expectations about working conditions (e.g., how long each fishing trip will be or what a typical day looks like), and grievance mechanisms they will have access to while away from home.

Indicator 1.1.4:

Indicator 1.1.4: Debt bondage in small-scale fisheries and smallholder farms⁶



The concept of debt bondage is not unique to employer–employee relations, and in the case of small-scale fishing or smallholder farming, can also be an issue between a fisher/farmer and lenders. Lenders are often first buyers that act as middlemen between the fisher/farmer and downstream buyers. This can either be an individual or an entire operation (company or cooperative), and they typically provide loans to cover some form of operational costs to secure product. In many cases, this can be a good thing, as it allows fishers/ farmers to cover operational costs when they need it or invest in more efficient / cost effective advancements that can benefit everyone (e.g., quality control measures for higher product grading). The fisher/farmer will pay back this investment over time to their lender, typically including interest and agreeing upon minimum payments and timelines. In some cases, however, these lenders will exercise their power, where the lender will create a lending agreement whereby the fisher or farmer may never be able to pay off the debt, and will put in place predatory terms that highly restrict the autonomy of the fisher/farmer (e.g., restricting sale of seafood only to them). While this Risk Indicator does have a strong connection to livelihood security (Risk Indicator 3.2.2), it is also a form of forced labor, whereby the fisher/farmer is providing a lender with product while, in some cases, retaining less than half, or none of the earnings as part of their income. When this indicator is applicable, the assessment team will be collecting data to understand if fishers or farmers are paying off any debts at all, and if yes, will look into the lending agreements to understand if the debts are decreasing or stable, and how much of their earnings are going to paying off these debts.

It is possible that Indicators 1.1.2 and 1.1.4 may both be applicable, in particular when working in a small-scale fishery or smallholder farm context. This may occur, for example, if vessel captains or farm owners are selling their own seafood and also hiring workers. In this situation, a worker may be subject to debt bondage as defined in 1.1.2, and the vessel owner or smallholder farm owner may themselves be subject to debt bondage with an intermediary. Both should be evaluated in these contexts. If the vessel owner is not also the captain, assessors are responsible for determining whether or not Indicator 1.1.4 should be evaluated in relation to the vessel owner.

The scope of the Unit of Assessment will need to be clearly defined in order to evaluate this Indicator accurately. For example, if any pre- or post-harvesting activities are included in the Unit of Assessment, any debts pre- or post-harvesting workers hold should also be evaluated, even if they are not conducting direct fishing or farming activities.

Note, this is not applicable to large-scale processing facilities. Some pre- and post-harvest processing undertaken by community members may fall in scope of Indicator 1.1.4 as per the note above, however if an industrial fishery, farm, or processing facility is included in the scope of the Unit of Assessment, it is to be evaluated against Indicator 1.2.1 and not against Indicator 1.1.4.

⁶Criteria on debt bondage in small-scale fisheries are derived from ILO Supplementary Convention on the Abolition of Slavery, 1956.

Number	Risk Level	Data Collection Point
SRA1.1.4 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – The fisher/farmer is paying off debt to a cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.), but most of their income is not kept and a larger percentage is used to pay back their debts,
		OR – The fisher/farmer is paying off debt to a cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.), and their debt has not remained stable or decreased over time proportional to their income,
		OR – The fisher/farmer is not allowed to witness the product being weighed or graded to calculate their income,
		OR – If applicable, interest rates charged to fishers/farmers are not transparent or agreed upon in advance,
		OR – If fishing/farming/processing activities are financed by a cooperative, association, buyer, or permit holder, terms limit fishers/farmers to an exclusive sales agreement beyond reasonable terms, or are not agreed upon by both parties.
		OR – Migrant status is used as a threat or tool of coercion,
SRA1.1.4 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA1.1.4 D.2	Medium	AND – The fisher/farmer is paying off debt to a cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.), but most of their income is kept and a smaller percentage is used to pay back their debts,
SRA1.1.4 D.3	Medium	AND – The fisher/farmer is paying off debt to a cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.), and their debt has remained stable or decreased over time proportional to their income,

Number	Risk Level	Data Collection Point
SRA1.1.4 D.4	Medium	AND – The fisher/farmer is allowed to witness the product being weighed or graded to calculate their income,
SRA1.1.4 D.5	Medium	AND – If applicable, interest rates charged to fishers/farmers are transparent and agreed upon in advance,
SRA1.1.4 D.6	Medium	AND – If fishing/farming/processing activities are financed by a cooperative, association, buyer, or permit holder, terms do not limit fishers/farmers to an exclusive sales agreement beyond reasonable terms, which must be agreed upon by both parties.
	Definitions and guidance	For example, it may be mutually beneficial for a vessel owner or smallholder farm owner to enter into an agreement with an intermediary who provides financial support or provision of capital in exchange for seafood product sales. However, such arrangements should have clearly defined terms and limits and should not preclude vessel owners or smallholder farm owners from selling their seafood elsewhere. In cooperatives or associations, members may receive access to certain benefits for selling product into the cooperative structure, however they should not be punished if product is sold to a buyer outside of the cooperative or association.
SRA1.1.4 D.7	Low	The fisher/farmer is paying off debt to a cooperative, association, buyer, or permit holder (for equipment, permit fees, fuel costs, ice, etc.), but a minimal percentage of their income is used to pay back their debts and their debt has decreased over time proportional to their income.
	Definitions and guidance	If the worker is not paying off debt to a cooperative, association, buyer, or permit holder, this can be marked as N/A in the SRA.

Indicator 1.1.5: Child labor⁷



The institution of fishing or farming is embedded within communities all over the world. Many fishers and farmers themselves grew up supporting their families with the fishery or farm, starting at a young age. This can bring benefits to communities, securing long-term economic benefits that uphold the community by bringing up a new generation of fisher and farmers. However, fishing and aquaculture farming can be very dangerous jobs under any circumstance, especially so for children who should be protected. Furthermore, underage workers may end up in more sophisticated operations as well as employees, which can put children in dangerous situations, without proper supervision. The SRA was developed in alignment with international guidelines such as the ILO Worst Forms of Child Labour Convention, 1999 (No. 182), the ILO Minimum Age Convention, 1973 (No. 138), and the ILO Work in Fishing Convention, 2007 (No. 188) which all outline the protection of children in the workforce. The assessment team will collect data to understand the legal requirements about child labor (e.g., minimum age defined in law), if there are policies (government, company, or cooperative) about age verification before hiring workers and remediation procedures should a child be found working. They will also interview workers asking their age,

what age they started working, and if they themselves have witnessed child labor. If culturally relevant in small-scale fisheries or smallholder farmers, where children help their families with light work, the assessment team will collect data to better understand the scope of activities they undertake in the fishery/farm, and evaluate if there are sufficient protections in place to ensure that these activities do not jeopardize their health, development, or education.

Note, Indicator 1.1.5 is applicable to human observers where present within the fishery.

⁷Criteria on child labor are derived from ILO C182, ILO C138, ILO C188, FTUSA, ASC, BSCI, Naturland, RFVS, Clearview, FOTS, IFFO RS, ASC and GRASP.

Number	Risk Level	Data Collection Point
SRA1.1.5 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – The farm/fishery/facility does not have a policy prohibiting the use of child labor which specifies a commitment to respect minimum age requirements and clear age verification processes, or the policy does not clearly state protections for young workers (under the age of 18),
		OR – There are indications of hazardous child labor, or the worst forms of child labor, or children below the legal age of employment are employed,
		OR – Young workers below the age of 18 are engaged in work that is likely to jeopardize their health, safety, or morals,
		OR – In small-scale fisheries or on smallholder farms where it is customary for children to support direct family members and/or there are government supported programs to encourage learning and development of children in the community, children under legal age for work participate in tasks which harm their health, safety, morals, or education, they work at night, or handle irritable substances (chemicals),
		OR – There are indications of child labor as per Data Collection Point 1.1.5 D.3, AND the fishery/farm/facility does not have a clear remediation process if child labor is uncovered that ensures the best interests of the child and that the child does not end up in a worse form of employment.
SRA1.1.5 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,

Number	Risk Level	Data Collection Point
SRA1.1.5 D.2	Medium	AND – The farm/fishery/facility has a policy prohibiting the use of child labor which specifies a commitment to respect minimum age requirements and clear age verification processes, and the policy clearly states protections for young workers (under the age of 18),
	Definitions and guidance	This policy covers all workers who pertain to a business or who are part of a cooperative or association. Note, in small-scale fisheries or smallholder farming contexts, there may not be a written policy available, but customs and norms should be universally acknowledged in interviews, including a deep-rooted community understanding that children should not be engaged in dangerous work. This should also be coupled with clear definitions by the government as a guiding policy. Child: Every human being below the age of eighteen years unless under the law applicable to the child, majority is attained earlier (UN Convention on the Rights of the Child). Child labor: Work that is inappropriate for a child’s age, affects their education, or, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children (e.g., heavy lifting disproportionate to a person’s body size, operating heavy machinery, using dangerous equipment, night work). Young worker: Any person who has attained the minimum age for employment but is younger than 18 (or the age of legal adulthood as defined by national law, if higher). Young workers may be vulnerable to workplace health and safety risks due to lack of work experience or training.

Number	Risk Level	Data Collection Point
SRA1.1.5 D.3	Medium	AND – There are no indications of hazardous child labor or the worst forms of child labor, and children below the legal age of employment are not employed,
	Definitions and guidance	Hazardous child labor: Work which exposes children to physical, psychological or sexual abuse; work underground, under water, at dangerous heights or in confined spaces; work with dangerous machinery, equipment and tools, or which involves the manual handling or transport of heavy loads; work in an unhealthy environment which may, for example, expose children to hazardous substances, agents or processes, or to temperatures, noise levels, or vibrations damaging to their health; work under particularly difficult conditions such as work for long hours or during the night or work where the child is unreasonably confined to the premises of the employer (ILO C182). Worst forms of child labor: This includes any form of slavery or trafficking, the use of children in armed conflict, illicit activities, prostitution, or work that is likely to harm the health, safety, or morals of the child (ILO C182). Minimum age for employment: – Onshore: 15 years of age, unless local minimum age law stipulates a higher age for work or mandatory schooling, in which case the higher age would apply. If, however, local minimum age law is set at 14 years of age in accordance with developing country exceptions under ILO C138, the lower age applies. – Off-shore: The minimum age for work on board a fishing vessel is 16 years of age, unless the competent authority has authorized a minimum age of 15 for persons who are (a) no longer subject to compulsory schooling as provided by national legislation, and who are engaged in vocational training in fishing or (b) performing light work during school holidays (ILO C188).
SRA1.1.5 D.4	Medium	AND – Young workers below the age of 18 are not engaged in work that is likely to jeopardize their health, safety, or morals,
	Definitions and guidance	This includes, but is not limited to, night work, operating heavy machinery, working without proper PPE or training, handling irritable substances (chemicals), etc. If young workers who are working on vessels, farms, or at processing facilities within the Unit of Assessment are participating in an apprenticeship or training program, they should be under close supervision, continually monitored, and performing activities clearly defined in the program. Assessors should carefully review such programs to ensure due diligence in maintaining a safe work environment for young workers.

Number	Risk Level	Data Collection Point
SRA1.1.5 D.5	Medium	AND – In small-scale fisheries or on smallholder farms where it is customary for children to support direct family members and/or there are government supported programs to encourage learning and development of children in the community, children under legal age for work may participate in tasks which do not harm their health, safety, morals, or education, they do not work at night, and never handle irritable substances (chemicals),
	Definitions and guidance	This is only applicable if the parent or direct family member owns and operates their own vessel or farm, which is most common in small-scale fisheries and smallholder farming contexts. Parental consent should be clearly provided for children participating in government supported programs.
SRA1.1.5 D.6	Medium	AND – There are no indications of child labor as per Data Collection Point 1.1.5 D.3 BUT the fishery/farm/facility does not have a clear remediation process if child labor is uncovered that ensures the best interests of the child and that the child does not end up in a worse form of employment.
	Definitions and guidance	Note, this can be clearly stated in the policy in Data Collection Point 1.1.5 D.2. The fishery/farm/facility must be able to clearly demonstrate what they would do if they identified a child on a vessel or hired to a farm or facility.
SRA1.1.5 D.7	Low	There are no indications of child labor as per Data Collection Point 1.1.5 D.3 AND the fishery/farm/facility does have a clear remediation process if child labor is uncovered that ensures the best interests of the child and that the child does not end up in a worse form of employment,
SRA1.1.5 D.8	Low	AND – The fishery/farm/facility has a system in place to ensure that managers and workers are trained on and aware of the policy. As part of this system, there is a mechanism in place to monitor performance against the child labor policy to measure effectiveness.
	Definitions and guidance	Note, this training can be encompassed as part of a broader rights awareness training for workers that includes other trainings mentioned throughout the SRA.

Indicator 1.1.6: Freedom of association and collective bargaining⁸



A fundamental right at work for any person in the workforce is the right to freedom of association and collective bargaining. This right allows workers to work together to advocate for better conditions at work through democratically elected representatives. It helps to balance concentration of power between employees and employers, and allows for direct resolution of workplace-related issues. Furthermore, workers that are organized can also play a role in advocacy outside of the workplace, advocating for policy changes to protect workers. Regardless of what kind of employment is within scope of and SRA project, workers' rights to organize and advocate as a group should be protected, whether that's in the form of a formally recognized trade union, more informal worker organization group, or in the case of small-scale fishing and smallholder farming, cooperatives and associations. This Risk Indicator is primarily based on the ILO Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87), the ILO Right to Organise and Collective Bargaining Convention, 1949 (No. 98), and the ILO Collective Bargaining Convention, 1981 (No. 154). Assessors will collect data to understand if legislation sets the foundation to recognize these rights, and other underlying policies and commitments of employers to uphold these

rights with their employees. Workers and managers should be trained on their rights and should be able to freely exercise these rights without interference from the employer or fear of retaliation. It is common that although the employer is not actively suppressing these rights, workers are not organized as a result of other barriers, therefore it is the assessment team's job to evaluate these potential systemic barriers as part of the risk assessment process.

Note, Indicator 1.1.6 is applicable to human observers where present within the fishery.

⁸Criteria on freedom of association and collective bargaining are derived from ILO C87, ILO C98, ILO C154, FTUSA, ASC, BSCI, Naturland, RFVS, and Clearview.

Number	Risk Level	Data Collection Point
SRA1.1.6 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – There are no national laws that respect the rights of workers to freedom of association and collective bargaining, (including cooperatives, associations, or trade unions), or the employer does not adhere to laws that exist,
		OR – The employer or association/cooperative does not have a policy or by-laws that respect the rights of workers to freedom of association and collective bargaining,
		OR – Workers (including migrant workers) are restricted from joining worker organizations, including trade unions, to advocate for and protect their rights, or do not have the right to decide their own structure, policies, programs, priorities, etc. without employer interference,
		OR – Human rights defenders are actively suppressed or there is recent record of litigation by employers against human rights defenders or workers (e.g., defamation or libel suits),
		OR – There are indications of discrimination against workers who are members or leaders of unions, cooperatives, or associations or workers are retaliated against or dismissed for exercising their right to organize, bargain collectively, or strike.
SRA1.1.6 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,

Number	Risk Level	Data Collection Point
SRA1.1.6 D.2	Medium	AND – There are national laws that respect the rights of workers to freedom of association and collective bargaining, (including cooperatives, associations, or trade unions) which are upheld and respected, and the employer adheres to those laws,
	Definitions and guidance	Freedom of association: The right to establish and join organizations of one's own choosing without previous authorization, and to draw up constitutions and rules, to elect representatives in full freedom, to organize administration and activities, and to formulate programs, without interference (ILO C87 & C98). Collective bargaining: All negotiations which take place between an employer, a group of employers or one or more employers' organizations, on the one hand, and one or more workers' organizations, on the other, for determining working conditions and terms of employment; and/or regulating relations between employers and workers; and/or regulating relations between employers or their organizations and a workers' organization or workers' organizations (ILO C154). This policy covers all workers who pertain to a business or who are part of a cooperative or association. Assessors should note whether or not the country has ratified ILO C98 and C87 as part of this evaluation. It is also essential to verify if laws in place are applicable to the fishing and aquaculture sectors as these sectors are often exempt from certain legislation. Note, any Unit of Assessment that falls within a country that does not have laws recognizing these rights will default to high risk, as this can act as a direct barrier to workers regardless of other circumstances. However, within a company or in establishing other forms of worker organizations (i.e., whenever a group of workers has come together to advocate for their rights), this can be noted under Risk Indicator 2.1.3b as a means to improve governance in the workforce, but is not a true replacement for union worker representation.
SRA1.1.6 D.3	Medium	AND – The employer or cooperative has a policy or by-laws that respect the rights of workers to freedom of association and collective bargaining,
SRA1.1.6 D.4	Medium	AND – Workers (including migrant workers) are free to form or join worker 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,

Number	Risk Level	Data Collection Point
SRA1.1.6 D.5	Medium	AND – Human rights defenders are not actively suppressed and there is no recent record of litigation by employers against human rights defenders or workers (e.g., defamation or libel suits),
	Definitions and guidance	This Data Collection Point covers all human rights defenders and does not solely pertain to the seafood industry. This Data Collection Point as written does not specify if this is suppression via the Unit of Assessment or in the region, but the intent is to cover both. Assessors should collect secondary data (desk research) that indicates whether or not this is an issue in the country or sector, independent of the site (e.g., government suppression), in addition to the site specifically (e.g., company lawsuit against human rights groups). This may include supporting groups outside of the site that are engaging in these kinds of activities.
SRA1.1.6 D.6	Medium	AND – There are no indications of discrimination against workers who are members or leaders of unions, cooperatives, or associations and workers are not retaliated against or dismissed for exercising their right to organize, bargain collectively, or strike.
	Definitions and guidance	If workers are not part of a union, cooperative, or association at the time of assessment, this can be marked as N/A in the SRA.
SRA1.1.6 D.7	Low	There is a system in place to ensure that managers and workers are trained on policies pertaining to freedom of association and collective bargaining and they are aware of their rights. This system includes a mechanism to measure effective implementation of the policy,
	Definitions and guidance	Note, this training can be encompassed as part of a broader rights awareness training for workers that includes other trainings mentioned throughout the SRA.
SRA1.1.6 D.8	Low	AND – There is an independent, active trade union or worker organization directly available to workers, not controlled by an employer or government agency,
	Definitions and guidance	Assessors should review the efficacy of any groups that are available to workers by inquiring about how the trade union or worker organization operates, and include worker perception questions to evaluate if workers are 1) able to recognize benefits from participation, 2) if they have poor perceptions about how the union is operating, and 3) if workers directly mention issues of corruption or misconduct by the union. Refer to the OR statement below in this case, as these issues may constitute barriers to workers fully accessing their rights.

Number	Risk Level	Data Collection Point
SRA1.1.6 D.8	Low	OR – The fishery/farm/facility has identified barriers to workers accessing their rights to freedom of association and collective bargaining if there is no independent, active trade union or worker organization, and there are measures in place to address those barriers,
	Definitions and guidance	If there is no trade union or worker organization present, assessors should better understand the root cause. When speaking to workers assessors should inquire as to whether or not worker organization is of interest. If assessors can determine that workers have full access to their rights and have decided not to exercise those rights, this Data Collection Point can be marked as met. Note, in distant water fishing fleets, a key barrier to worker organization is lack of access to Wi-Fi or other satellite internet connectivity. Increasingly, this is a key enabling factor for crew on distant water fishing vessels to exercise their rights.
SRA1.1.6 D.9	Low	AND – Where an independent, active trade union exists, a collective bargaining agreement is in place between the trade union and the employer, covering terms of employment,
SRA1.1.6 D.10	Low	AND – Workers are trained by workers’ organizations on their rights to organize and bargain collectively,
	Definitions and guidance	Note, if there is no existing framework within the fisheries or aquaculture sectors, organized workers from other sectors in the country can be brought in for peer-to-peer learning.
SRA1.1.6 D.11	Low	AND – Women and other marginalized gender identities participate in trade unions or cooperatives commensurate with their representation in the workforce.
	Definitions and guidance	Marginalized gender identity: This includes, but is not limited to cisgender women, gender queer individuals, transgender individuals, agender individuals, non-binary individuals, or gender diverse individuals. Refer to the glossary for full definitions for each gender identity listed above. While this Data Collection Point refers to “workforce”, this can be interpreted for small-scale fisheries or smallholder farms in relation to women’s roles in worker organizations, cooperatives, or associations. Many women play a critical role in small-scale fisheries and smallholder farms. Assessors should take note of the role women are playing in the fishery or farm and critically review the leadership structure of worker organizations where present. If women are not represented in the cooperative or association commensurate with their representation in the fishery/farm, this Data Collection Point cannot be met. This is also the case for fisheries where women are undertaking fishing activities as well. If the fishery/farm does not have a cooperative or worker organization at the time of the assessment, this Data Collection Point may be N/A.

Indicator 1.1.7: Earnings and benefits⁹



A fundamental right at work for any person in the workforce is the right to freedom of association and collective bargaining. This right allows workers to work together to advocate for better conditions at work through democratically elected representatives. It helps to balance concentration of power between employees and employers, and allows for direct resolution of workplace-related issues. Furthermore, workers that are organized can also play a role in advocacy outside of the workplace, advocating for policy changes to protect workers. Regardless of what kind of employment is within scope of and SRA project, workers' rights to organize and advocate as a group should be protected, whether that's in the form of a formally recognized trade union, more informal worker organization group, or in the case of small-scale fishing and smallholder farming, cooperatives and associations. This Risk Indicator is primarily based on the ILO Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87), the ILO Right to Organise and Collective Bargaining Convention, 1949 (No. 98), and the ILO Collective Bargaining Convention, 1981 (No. 154). Assessors will collect data to understand if legislation sets the foundation to recognize these rights, and other underlying policies and commitments of employers to uphold these rights with their

employees. Workers and managers should be trained on their rights and should be able to freely exercise these rights without interference from the employer or fear of retaliation. It is common that although the employer is not actively suppressing these rights, workers are not organized as a result of other barriers, therefore it is the assessment team's job to evaluate these potential systemic barriers as part of the risk assessment process.

Note, Indicator 1.1.6 is applicable to human observers where present within the fishery.

⁹Criteria on earnings and benefits are derived from ILO C188, ILO C100, FTUSA, ASC, BSCI, Naturland, RFVS, Clearview, FOTS, IFFO RS, and GRASP.

Number	Risk Level	Data Collection Point
SRA1.1.7 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR - Minimum legal requirements for income and benefits are not properly defined in domestic labor law, including cadence of payment,
		OR - Domestic law may not recognize equal remuneration for work of equal value for men and women, or wages paid to workers do not reflect equal remuneration,
		OR - Payment-share systems are used for workers employed on vessels that are not directly engaged in catching of fish, or are used on aquaculture farms or in processing facilities,
		OR - Wage levels and benefits do not meet the minimum legal requirements according to domestic labor laws of workplace, farm, or country of flagged vessel,
		OR - If there are legal exceptions related to minimum wage in the fisheries or aquaculture sectors, the employer has not defined workers' wages, piece rate, or payment-share terms and benefits and has not paid according to these terms. These terms were not agreed upon at the time of employment (or made prior to departure in the case of vessels), OR the employer cannot demonstrate a concerted effort to align take home pay with legal minimums defined for other sectors,
		OR - Overtime wages are not paid in accordance with minimum legal requirements, based on domestic labor laws of workplace, farm, or country of flagged vessel,
		OR - Wages paid to workers are not what was promised at the time of employment, are withheld as a form of discipline, contain illegal deductions, are not paid on time or directly to the worker, or workers are not paid monthly or other regular payment,
		OR - Employers do not follow legal requirements related to hiring and employment practices,
		OR - Workers are not aware of how their earnings or deductions are calculated and their rights to benefits, are not allowed to witness procedures used to determine earnings (weighing, grading), or if workers have signed written contracts, contracts are not in a language they understand, with additional provisions made for illiteracy,

Number	Risk Level	Data Collection Point
SRA1.1.7 D.0	High	OR – Workers do not receive wage slips with itemized deductions or written receipts,
		OR – On individually operating vessels, workers do not have the choice to sign off on their pay or are not aware they can ask about the details of their pay at any time.
SRA1.1.7 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA1.1.7 D.2	Medium	AND – There are no indications of discrimination against workers who are members or leaders of unions, cooperatives, or associations and workers are not retaliated against or dismissed for exercising their right to organize, bargain collectively, or strike.
	Definitions and guidance	Assessors should validate that local labor laws are applicable to the agriculture and fisheries sectors as these are often an exception.
SRA1.1.7 D.3	Medium	AND – Domestic law may not recognize equal remuneration for work of equal value for men and women, however, wages paid to workers reflect equal remuneration,
	Definitions and guidance	This also includes equal remuneration for other marginalized gender identity groups. Equal remuneration: Rates of remuneration established without discrimination based on gender, where remuneration refers to the ordinary, basic or minimum wage or salary and any additional emoluments whatsoever payable directly or indirectly, whether in cash or in kind, by the employer to the worker and arising out of the worker's employment (ILO C100).
SRA1.1.7 D.4	Medium	AND – Payment-share systems are only used for workers employed on vessels directly engaged in catching of fish, and are not used on aquaculture farms or in processing facilities,
	Definitions and guidance	Payment-share systems: (<i>syn: catch share, share catch</i>) A method commonly used to pay crew on fishing vessels whereby the captain splits the total revenue, after costs, with crew on board based on a percentage of the total catch. This means crew may not know their earnings until after the fishing trip.

Number	Risk Level	Data Collection Point
SRA1.1.7 D.5	Medium	AND – Wage levels and benefits meet the minimum legal requirements according to domestic labor laws of workplace, farm, or country of flagged vessel,
	Definitions and guidance	This includes lawful contributions to social security for employees. Note, legislation may not include benefits for the informal sector, which is how the fisheries and aquaculture sectors are often categorized. If workers are paid by piece rate, rates are set to ensure workers are able to earn at least the legal minimum wage. Piece rate: Workers are paid per unit produced.¹⁰
	Medium	OR – If there are legal exceptions related to minimum wage in the fisheries or aquaculture sectors, the employer has defined workers' wages, piece rate, or payment-share terms and benefits and has paid according to these terms. These terms are agreed upon at the time of employment (or made prior to departure in the case of vessels), AND the employer can demonstrate a concerted effort to align take home pay with legal minimums defined for other sectors,
	Definitions and guidance	Methods such as piece rate should enable workers to earn legal minimums according to a regular work week (defined as 48 hours). Payment-share is common for wild capture operations across all scales. Piece rate is common for aquaculture farms and processing facilities. Typical hourly wages are more common in larger industrial fisheries, aquaculture farms, and processing facilities.
SRA1.1.7 D.6	Medium	AND – Overtime wages are paid in accordance with minimum legal requirements, based on domestic labor laws of workplace, farm, or country of flagged vessel,
	Definitions and guidance	Note , if there is no overtime defined in law, there can be no violation here. This Data Collection Point is only specific to where laws exist, which is more common in land-based facilities, but may be applicable to the fishing and aquaculture sectors. Assessors should review national laws to confirm applicability of any and all overtime laws.

¹⁰Definition of piece rate adapted from the [ILO Minimum Wage Policy Guide \(2015\) section 1.7.](#)

Number	Risk Level	Data Collection Point
SRA1.1.7 D.7	Medium	AND – Wages paid to workers 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 worker, and workers are paid monthly or other regular payment,
	Definitions and guidance	“Other regular payment” means paid in accordance with national laws and as agreed upon by workers in agreements clearly explained to them, and payment terms are clearly understood by workers before beginning employment.
SRA1.1.7 D.8	Medium	AND – Employers follow legal requirements related to hiring and employment practices,
	Definitions and guidance	This includes lawful contributions to social security for employees. Note, legislation may not include benefits for the informal sector, which is how the fisheries and aquaculture sectors are often categorized. This includes situations whereby employers do not hire permanent positions to avoid providing benefits to eligible workers. As best practice, full-time positions should be staffed with full-time employees. Furthermore, terms and conditions within contracts should be aligned with local law (e.g., wages should reflect at least minimum wage in the sector, benefits and deductions, such as tax withholdings, should be lawful, etc.) and written contracts should be provided if required by law.
SRA1.1.7 D.9	Medium	AND – Workers 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 if workers have signed written contracts, contracts are in a language they understand, with additional provisions made for illiteracy,
	Definitions and guidance	Workers can be made aware either through written or verbal agreements. The terms they agreed upon before starting their job and these terms match what was agreed upon before beginning employment. Refer to Indicator 1.1.4 for weighing and grading related to small-scale fisheries and smallholder farms.

Number	Risk Level	Data Collection Point
SRA1.1.7 D.10	Medium	AND – Workers receive wage slips with itemized deductions or written receipts,
	Definitions and guidance	Wage slips or receipts may be provided in digital format if workers have clear access (e.g., if workers need internet connectivity to view wage slips but are not provided with access, they should be receiving hard copies). Other methods to demonstrate workers have received confirmation of their pay may be accepted, and assessors should evaluate based on the unique characteristics of the fishery/farm/facility (e.g., sophistication of the operation).
	Medium	OR – On individually operating vessels, workers have the choice to sign off on their pay or are aware they can ask about the details of their pay at any time.
	Definitions and guidance	Individually operating vessels: Vessels that are not part of a larger business operation. Decisions made on these types of vessels will only apply to crew on board. Note this is distinct from single-handed vessels (refer to definition in Glossary).
SRA1.1.7 D.11	Low	Employed individuals, whether in the informal or formal sector, are able to contribute to and access social security benefits,
	Definitions and guidance	This includes captains and farm managers if they are employed by a vessel owner or farm owner. See Indicator 3.2.2 regarding broader community access for single-handed vessel owners and smallholder farm owners in community-based Units of Assessment.
SRA1.1.7 D.12	Low	AND – Wages or earnings are higher than minimum legal wages or meet living wage levels (includes being able to provide for family, save, or invest), and benefits are provided beyond legal minimums,
	Definitions and guidance	Living wage: Remuneration received for a standard work week by a worker in a particular place sufficient to afford a decent standard of living for the worker and their family. Elements of a decent standard of living include food, water, housing, education, health care, transport, clothing, and other essential needs, including provision for unexpected events.
SRA1.1.7 D.13	Low	AND – Both domestic law and practices and policies of the fishery/farm/facility uphold the principles of equal remuneration for men and women,
SRA1.1.7 D.14	Low	AND – The fishery/farm/facility has a policy that clearly defines pathways to increase pay according to job role, experience, or third-party accreditation/certifications, among others, and workers are aware of steps they can take to increase their pay. Any differences in pay between employees can be justified by this policy,

Number	Risk Level	Data Collection Point
SRA1.1.7 D.15	Low	AND - If the employer hires workers directly, they do so on a permanent basis where possible,
	Definitions and guidance	If the employer hires workers repeatedly over long periods of time, they should conduct an evaluation of whether or not they can be hiring workers under permanent status. Assessors should be looking for situations whereby workers are essentially hired year-round but on time-limited contracts which may be an effort by the employer to avoid paying benefits.
	Low	OR - The employer implements policies to hire the same seasonal or contract workers year over year whenever possible.
SRA1.1.7 D.16	Low	AND - The employer and workers discuss how they can improve wages and productivity in mutually beneficial ways,
	Definitions and guidance	In interviews with workers, assessors should ask whether the captain or employer is receptive to feedback about pay and/or if workers have a mechanism to discuss payment terms. How this looks in small-scale fisheries or on smallholder farms may differ greatly. Generally, a centralized employer for this type of engagement does not exist in small-scale fisheries or on smallholder farms, although these discussions may occur on vessels or within cooperatives or associations. Within small-scale fishing cooperatives or associations, assessors can verify if there are mechanisms for fishers to bring forward issues and suggestions about payment share and/or for captains to discuss ways to improve payment share terms.
	Low	AND - There are written contracts between the employer and employees in a language employees understand, with additional provisions made for illiteracy.
SRA1.1.7 D.17	Low	AND - There are written contracts between the employer and employees in a language employees understand, with additional provisions made for illiteracy.
	Definitions and guidance	Written contracts may not be common in some fisheries or farms, and workers themselves may be hesitant to enter into formal contracts. Should written contracts be instated, workers should also be trained in the contents of their contracts, the purpose of written contracts, and how to use them if issues arise. Terms and conditions that workers experience should match what was outlined in written or verbal contracts, otherwise this may indicate a misunderstanding and/or intentional deception (see Data Collection Point 1.1.2 D.3). Refer to Data Collection Point 1.1.2 D.8 for guidance on contracts in small-scale fisheries and on smallholder farms.
	Low	

Indicator 1.1.8:

Indicator 1.1.8: Adequate rest¹¹



Fishing, farming, and seafood processing operations have very dynamic workplaces, with there being many time-sensitive activities that are essential to make it to market. This often entails highly variable work hours, and potentially excessively long hours that could be harmful to workers if not managed well. Despite the variability of working hours in the sector, it is essential that workers are well-rested and able to perform their job safely. This Risk Indicator is based on the ILO Hours of Work (Industry) Convention, 1919 (No. 1), however this is not typically applicable to fishing and farming sectors, therefore additional inputs such as the ILO Work in Fishing Convention, 2007 (No. 188) and other international guidelines and best practices in the fishing and aquaculture sector were used to develop this section on adequate rest. Assessors should first and foremost be collecting data to try to uncover what a typical workday looks like and how many hours of work versus rest workers are getting in a day and over a week. It is important to identify if there are tracking systems that can help monitor and verify working hours more closely, and what the legal requirements say about lawful working hours and overtime in the region and in the sector.

Note, this section is not applicable for single-handed vessels with no hired crew, nor smallholder farmers who have no hired workers. However, Indicator 3.2.2 refers to cases whereby workers are working excessive hours to meet minimum levels of income to sustain their livelihoods (e.g., fishing further out for longer periods of time due to stock decline). Additionally Indicator 1.1.8 is applicable to human observers where present within the fishery.

¹¹Criteria on adequate rest are derived from FTUSA, ASC, BSCI, Naturland, RFVS, Clearview, GRASP, ILO C188, ILO C001, and ILRF 2018.

Number	Risk Level	Data Collection Point
SRA1.1.8 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – There is no mechanism in place for workers to record hours of work or hours of rest,
		OR – Working hours do not meet the domestic legal minimum requirements, or overtime hours are not paid at a premium as required by law,
		OR – Workers on vessels do not have at least 10 hours of rest in a 24-hour period or at least 77 hours of rest in a 7-day period,
		OR – Overtime is not voluntary.
		OR – Workers have not been made aware of expected working hours before beginning employment, or hours worked do not match what was expected at the time of employment.
SRA1.1.8 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA1.1.8 D.2	Medium	AND – There is a mechanism in place for workers to record hours of work or hours of rest,
	Definitions and guidance	Workers should be aware of these tracking mechanisms if they exist. In most cases, workers should be recording their own hours or signing off on them directly. Furthermore, if records exist, assessors should validate against other data sources to evaluate legitimacy of records available.
SRA1.1.8 D.3	Medium	AND – Working hours meet the domestic legal minimum requirements, and overtime hours are paid at a premium as required by law,
	Definitions and guidance	Assessors should validate that local labor laws are applicable to the agriculture and fisheries sectors as these are often an exception. If not defined by law, this can be marked as N/A specifying no such laws exist that could be broken.

Number	Risk Level	Data Collection Point
SRA1.1.8 D.4	Medium	AND – Workers on vessels have at least 10 hours of rest in a 24-hour period and at least 77 hours of rest in a 7-day period,
	Definitions and guidance	This is in alignment with ILO C188. This is not applicable to aquaculture farms or other onshore facilities (see Data Collection Point 1.1.8 D.8).
SRA1.1.8 D.5	Medium	AND – Overtime is voluntary.
	Definitions and guidance	In cases where overtime is not defined by law, any hours of work that entail fewer hours of rest than those defined in ILO C188 should be voluntary. For work onshore, this is applicable for any hours worked above 48 hours a week.
SRA1.1.8 D.6	Medium	AND – Workers have been made aware of expected working hours before beginning employment, and hours worked match what was expected at the time of employment.
	Definitions and guidance	This applies regardless of whether terms are defined in signed, written contracts, or agreed upon via verbal agreements.
SRA1.1.8 D.7	Low	There is an independent, third-party oversight mechanism for verification of working hours,
	Definitions and guidance	This can be in the form of a social audit, labor inspection, or other validation process but must involve someone outside of the Unit of Assessment verifying working hours.

Number	Risk Level	Data Collection Point
SRA1.1.8 D.8	Low	AND – Onshore workers do not work more than 48 hours per week even if the law permits more, and do not work more than 6 days per week,
	Definitions and guidance	This includes aquaculture farms, processing facilities, and work performed at landing sites. This refers to 48 hours per week, not including overtime. Note, this is based on ILO C001 which is not specific to fisheries and aquaculture. Aquaculture often falls under ‘agriculture’, and ILO C184 does not recommend working hours in the agriculture sectors, leaving it up to the states. This is where the minimum benchmark is set, however, the OR statement below allows for some flexibility in the approach to working hours.
	Low	OR – If workers are regularly working in excess of 48 hours per week and 6 days per week, management has analyzed the root causes resulting in excessive working hours and is implementing actions to reduce working hours to meet international best practices,
	Definitions and guidance	This includes aquaculture farms, processing facilities, and work performed at landing sites. In alignment with ILO C001, work should not exceed 56 hours per week on average. The analysis of root causes should at a minimum review: - Wages: Are workers compelled to work longer hours to earn more because wages are insufficient? Does overtime present the opportunity for premium pay (e.g., 1.5x wages for hours over 48 hours per week)? - Safety provisions: Is exhaustion exacerbating occupational risk? - Work agreements: Have workers agreed to work hours greater than 48 hours per week? Are they able to refuse work over 48 hours per week?
SRA1.1.8 D.9	Low	AND – Systems are in place to anticipate peak production needs and seasonal variation to ensure that excessive overtime is not required,

Number	Risk Level	Data Collection Point
SRA1.1.8 D.10	Low	AND - The workplace has paid pre- and post-natal maternity/paternity leave with adequate compensation for all permanent employees.
	Definitions and guidance	Permanent employee: An individual that is hired on an ongoing, year-round basis or has a contract lasting 12 months or more. See Data Collection Point 1.1.7 D.15 above regarding hiring the same workers year over year.

Indicator 1.1.9:

Access to basic services for worker housing and liveaboard vessels¹²



In many cases, working in the fishing sector requires long fishing trips, with crew living out at sea for days, weeks, and even months at a time. Farms and processing sites can also be found in remote rural areas and recruit labor from other places, providing housing to their workers to ensure they have a place to live while working at these sites. In both of these cases, an employer is providing living arrangements for their workers, and these conditions should be safe, clean, hygienic, and provide sufficient space, privacy and facilities to be appropriate to keep workers safe and serve as a workers' home away from home. Workers should also be provided with food that is safe to eat, meets nutritional needs, and accommodates dietary restrictions (e.g., allergies) or cultural preferences. This Risk Indicator was based on the ILO Work in Fishing Convention, 2007 (No. 188) for fishing vessels and other international best practices and guidelines for land-based, worker-provided housing. Assessors will collect data to observe the living conditions and interview workers about their experience living on vessels or in employer-provided housing. Safety, privacy, and reasonable levels of comfort should be met, and the vessel or kitchens/canteens should be reasonably well maintained to provide workers with food that's safe to eat. Sanitary facilities should be provided and potable

water accessible. It is worth noting that there will be broad variability in the conditions on vessels based on size, fishing trip length, among other characteristics, and it is the assessor's job to evaluate the adequacy of the accommodations according to the unique characteristics within the UoA, as well as workers' perception about the living environment on the vessel, and their ability to report issues and suggest improvements.

Note, Indicator 1.1.9 is not applicable for vessels that do not require overnight trips, or employers that do not provide land-based housing. It is applicable to human observers where present within the fishery.

¹²Criteria on access to basic services are derived from FTUSA, BSCI, Naturland, RFVS, Clearview, GRASP, and ILO C188.

Number	Risk Level	Data Collection Point
SRA1.1.9 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – Housing and sleeping quarters do not have adequate fire prevention and air ventilation, do not meet legal requirements, or do not meet basic standards of safety, decency, hygiene, and comfort,
		OR – On liveaboard vessels, there are not enough bunks for each crew member to have their own,
		OR – Sanitary facilities (appropriate to vessel or based on the number of residents) with adequate privacy are not provided,
		OR – Sleeping quarters, sanitation facilities, and employer-provided housing exits can be locked from the outside, or workers' freedom of movement is restricted,
		OR – Workers living in employer-provided housing or on board do not have access to adequate and sanitary food at fair prices,
		OR – Potable water is not accessible to workers,
		OR – Vessel owners and captains do not abide by flag state legislation that defines the frequency with which vessels must come into port.
SRA1.1.9 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,

Number	Risk Level	Data Collection Point
SRA1.1.9 D.2	Medium	AND – Housing and sleeping quarters have adequate fire prevention and air ventilation, meet legal requirements, and meet basic standards of safety, decency, hygiene, and comfort,
	Definitions and guidance	Basic standards: Accommodation on board fishing vessels that fly its flag shall be of sufficient size and quality and appropriately equipped for the service of the vessel and the length of time fishers live on board. In particular, such measures shall address, as appropriate, the following issues: (a) approval of plans for the construction or modification of fishing vessels in respect of accommodation; (b) maintenance of accommodation and galley spaces with due regard to hygiene and overall safe, healthy and comfortable conditions; (c) ventilation, heating, cooling and lighting; (d) mitigation of excessive noise and vibration; (e) location, size, construction materials, furnishing and equipping of sleeping rooms, mess rooms and other accommodation spaces; (f) sanitary facilities, including toilets and washing facilities with adequate privacy, and supply of sufficient hot and cold water; and (g) procedures for responding to complaints concerning accommodation that does not meet the requirements of this Convention (ILO 2007). On vessels, these conditions should be adequate according to trip length. Vessels that are at sea for extended periods of time (e.g., in excess of 3 months) serve as a long-term home for workers and should be suitable to maintain levels of safety, decency, hygiene, and comfort that do not deteriorate throughout the duration of the trip.
SRA1.1.9 D.3	Medium	AND – On liveaboard vessels, there are enough bunks for each crew member to have their own,
	Definitions and guidance	Liveaboard vessels: Vessels that engage in fishing trips that last 24 hours or longer and require sleep accommodation according to ILO recommended hours of rest. This can be marked as N/A for land-based employer-provided housing.
SRA1.1.9 D.4	Medium	AND – Sanitary facilities (appropriate to vessel or based on the number of residents) with adequate privacy are provided,
SRA1.1.9 D.5	Medium	AND – Sleeping quarters, sanitation facilities, and employer-provided housing exits cannot be locked from the outside, and workers' freedom of movement is not restricted,
	Definitions and guidance	Note, this can present a risk to workers' safety in emergency situations, as it is essential to ensure no restrictions to workers' freedom of movement, and for vessels is aligned with Article 25 of ILO C188.

Number	Risk Level	Data Collection Point
SRA1.1.9 D.6	Medium	AND – Workers living in employer-provided housing or on board have access to adequate and sanitary food at fair prices,
	Definitions and guidance	Adequacy of food provided should be evaluated by assessors according to the unique aspects of the Unit of Assessment. For example, food should be available in sufficient quantity and quality to meet workers' dietary needs and food preferences. Workers reporting any kind of illness (e.g., beriberi) or severe weight loss as a result of lack of access to sufficient, nutritious food should be flagged and evaluated in accordance with Indicator 1.1.2 as potential risk of forced labor conditions.
SRA1.1.9 D.7	Medium	AND – Potable water is accessible to workers,
SRA1.1.9 D.8	Medium	AND – Vessel owners and captains abide by flag state legislation that defines the frequency with which vessels must come into port.
	Definitions and guidance	N/A for land-based housing and if no such legislation exists for the classification of vessel. Although captains are often considered workers, in this case, as they are the ones in control of vessel movement, captains are ultimately responsible for bringing the vessel into port. Note, legislation may not require vessels return to flag state ports and may land in other port states. Captains must be able to demonstrate they are meeting minimum expectations.
SRA1.1.9 D.9	Low	There are separate sanitary facilities for men and women, or sanitary facilities can be locked from the inside,
SRA1.1.9 D.10	Low	AND – There are separate sleeping quarters for men and women,
	Definitions and guidance	The only exception is whereby employer-provided housing is also hosting families.
SRA1.1.9 D.11	Low	AND – Workers or their representatives and vessel owners/management meet regularly to discuss vessel or housing improvements,

Number	Risk Level	Data Collection Point
SRA1.1.9 D.12	Low	AND - When liveaboard vessels are docked at port, workers are provided adequate housing accommodation on shore wherever feasible under national law,
	Definitions and guidance	Workers employed under visas should be made aware of their legal protections and rights. This includes understanding allowances or restrictions regarding workers' ability to leave fishing vessels when docked at foreign ports.
SRA1.1.9 D.13	Low	AND - Where families of workers are hosted in worker-provided housing, the fishery/farm/facility provides childcare.



Indicator 1.1.10: Occupational safety¹³



Fishing is one of the most dangerous occupations globally, and aquaculture and processing can also require workers to undertake dangerous tasks. Injuries are common and death is a possibility. A fundamental right of workers in the workplace is the right to a safe working environment. It is the employer's responsibility to ensure that workers have the protection and training needed to keep themselves safe at work. Employers should also be undertaking ongoing due diligence to identify and mitigate risks before they happen.

This indicator was based on the ILO Occupational Safety and Health Convention, 1981 (No. 155) and for fishing vessels, the ILO Work in Fishing Convention, 2007 (No. 188), as well as other international best practices and guidelines. The assessor will observe the working conditions and safety equipment available to evaluate if the vessel or workplace is well equipped to manage occupational risks. They will research local regulations, including required certifications and inspections, and verify these are being met. Interviews with workers should uncover if workers feel safe in the workplace, if they have been trained on safety procedures, and if they have been provided with personal protective equipment free of charge. The assessor will also evaluate occupational health and safety policies in place and uncover the extent to which workers are engaged in the development of these policies.

DISCLAIMER: The SRA is primarily focused on the experience of the worker and their ability to do their job safely. While it does require the Unit of Assessment to demonstrate compliance with legal requirements and certifications, it is not within scope of the assessment to do an in-depth review of conditions specifically relating to building/structure safety or vessel seaworthiness. For vessels, this is based on ILO C188, and for aquaculture farms and processing facilities, there are also provisions from ILO C155 – Occupational Safety and Health Convention, 1981 (No. 155).

Note, Indicator 1.1.10 is applicable to human observers where present within the fishery.

¹³Criteria on occupational safety are derived from FTUSA, ASC, BSCI, Naturland, RFVS, Clearview, GRASP, FOTS, IFFO RS, ILO C188, ILO C155 and the FAO Guidance on Social Responsibility in the Fisheries and Aquaculture Value Chains Small-Scale Fishing Section (2024, draft).

Number	Risk Level	Data Collection Point
SRA1.1.10 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – On vessels conducting fishing trips longer than 3 days, vessels do not carry a crew list or do not provide a copy to authorized persons ashore at the time of vessel departure,
		OR – Workers do not have access to communication equipment on board that can be used for emergencies or safety purposes or do not understand how to use it; this includes a radio on board large vessels,
		OR – Adequate personal protective equipment (PPE) (i.e., life jackets, gloves) is not provided on board or in the workplace at no cost (unless on a single-handed vessel or self-employed farmer with no employees),
		OR – Workplace does not have a properly implemented health and safety policy,
		OR – Workers and managers are not trained in health and safety procedures, on proper use of PPE, or safe operation of any equipment they use (unless on a single-handed vessel or self-employed farmer with no employees),
		OR – Workplace does not comply with all applicable local/national safety and health regulations,
		OR – Workers do not have access to potable water during working hours without penalty,
		OR – There are consequences to workers for removing themselves from imminent danger.
SRA1.1.10 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA1.1.10 D.2	Medium	AND – On vessels conducting fishing trips longer than 3 days, vessels carry a crew list and provide a copy to authorized persons ashore at the time of vessel departure,

Number	Risk Level	Data Collection Point
SRA1.1.10 D.3	Medium	AND – Workers have access to communication equipment on board that can be used for emergencies or safety purposes and understand how to use it; this includes a radio on board large vessels,
	Definitions and guidance	Large vessels: Vessels equal to, or greater than 24 meters (ILO 2007). This is applicable to smallholder and industrial farms as written. Vessels smaller than 24 meters should have some form of functional communication equipment and vessels 24 meters or more must have a formal radio that works. Data Collection Point 1.1.10 D.10 below extends this requirement to vessels under 24 meters.
SRA1.1.10 D.4	Medium	AND – Adequate personal protective equipment (PPE) (i.e., life jackets, gloves) is provided on board or in the workplace at no cost (unless on a single-handed vessel or self-employed farmer with no employees),
	Definitions and guidance	Personal protective equipment: Equipment worn to minimize exposure to workplace injuries and illnesses that may result from contact with chemical, radiological, physical, electrical, mechanical, or other workplace hazards (Source: US Department of Labor). It includes any item a worker needs to wear for their own protection. PPE may include but is not limited to clothing, footwear, eye protection, ear protection, gloves, masks, and personal flotation devices (FTUSA). This includes PPE specific to the safe handling of chemicals as prescribed in Material Safety Data Sheet (MSDS). This also should include special provisions for dive fisheries. Single-handed vessel: (<i>syn: self-employed fisher, day boat</i>): Single-handed vessels are exclusively both owned and operated by an individual (i.e., single-handed vessels do not include crew; see definition of ‘worker’). Operators of single-handed vessels are not considered employed workers, nor do they employ anyone directly. Single-handed vessels may or may not be part of a fishing cooperative or association.
SRA1.1.10 D.5	Medium	AND – Workplace has a properly implemented health and safety policy,
	Definitions and guidance	This policy covers all workers who pertain to a business or who are part of a cooperative or association.

Number	Risk Level	Data Collection Point
SRA1.1.10 D.6	Medium	AND – Workers and managers are trained in health and safety procedures, on proper use of PPE, and safe operation of any equipment they use (unless on a single-handed vessel or self-employed farmer with no employees),
	Definitions and guidance	This includes safe operating procedures for dive fisheries, including dive certifications and training.
SRA1.1.10 D.7	Medium	AND – The workplace complies with all applicable local/national safety and health regulations (including the use of AIS/VMS),
	Definitions and guidance	Applicability may vary for different scales of operation, i.e., small-scale fisheries or smallholder farms. Automatic identification system (AIS): transmits a vessel's position mainly for safety purposes, such as other vessels being aware of its position for safe navigation. The International Maritime Organization (IMO) requires large ships, including many commercial fishing vessels, to use AIS to avoid collisions (Global Fishing Watch). Vessel monitoring system (VMS): tracks vessels by broadcasting positions at set intervals indicating vessel locations. Commonly restricted for use by government regulators which are not always publicly available (Global Fishing Watch). If regulations stipulate that vessels must log when they turn off VMS/AIS, these logs should be compliant with minimum expectations. For example, under IMO requirements, AIS may be turned off if broadcasting its positioning could compromise the safety of the vessel or where security incidents are imminent, but must be logged. See the SRA Implementation Guide with more information on how to collect data on this Data Collection Point leveraging information from Global Fishing Watch.
SRA1.1.10 D.8	Medium	AND – Workers have access to potable water during working hours without penalty,
SRA1.1.10 D.9	Medium	AND – There are no consequences for workers for removing themselves from imminent danger.
	Definitions and guidance	This may be explicitly stated in a written policy, however assessors should ask workers if they feel they can remove themselves from danger and are not pressured to do work that is unsafe.

Number	Risk Level	Data Collection Point
SRA1.1.10 D.10	Low	On small vessels (<24 meters), workers have access to communication equipment on board that can be used for emergencies or safety purposes and understand how to use it (e.g., a working radio, or a cellular device if signal is consistent during the fishing trip),
	Definitions and guidance	This is N/A for smallholder aquaculture farms as they fall under Data Collection Point 1.1.8 D.3 above.
SRA1.1.10 D.11	Low	AND – Single-handed vessels and self-employed farmers with no employees are trained in health and safety procedures, on proper use of PPE, and safe operation of any equipment they use,
	Definitions and guidance	This includes safe operating procedures for dive fisheries, including dive certifications and training. In small-scale fisheries or smallholder aquaculture farm communities, efforts to train workers on health and safety protocols are a shared responsibility within the broader value chain. The aim is to build capacity and awareness. This is especially important when there is no centralized cooperative or association.
SRA1.1.10 D.12	Low	AND – Workplace risks and risk areas are identified in relevant languages, with additional provisions made for illiteracy,
	Definitions and guidance	This also includes determination of risks associated with work processes and exposure to substances or agents that may be harmful.

Number	Risk Level	Data Collection Point
SRA1.1.10 D.13	Low	AND – Vessels, aquaculture farms, and processing facilities keep records of all accidents sustained by workers while at work,
	Definitions and guidance	Analysis of accident records should inform the adequacy of the health and safety policy in Data Collection Point 1.1.10 D.5 (e.g., PPE essential to minimize common accidents). This is applicable in small-scale fisheries where fishers are organized into a cooperative or association. The cooperative should keep track of incidents to identify where spending on safety provisions may be important for members. For small-scale fishers who are not part of a cooperation or association, it is recommended they report injuries to the relevant authority, but is considered best practice, and this can be marked as N/A. This is applicable to smallholder farms whether or not workers are organized into a cooperative or association. The sophistication of record keeping should be appropriate to the size of the farm and number of employees. For example, a simple ledger of incidents, specifying the accident, who was injured, and the date of occurrence will suffice in the smallholder farm context. Where present, accident records should be used to inform adequacy of available medical supplies (see Data Collection Point 1.1.11 D.2).
SRA1.1.10 D.14	Low	AND – The workplace, cooperative, or association has a structure or mechanism in place (i.e., occupational health and safety committee), with formal channels of established communication, to discuss and implement protection of workplace health and safety and/or promote occupational health and safety best practices; feedback acquired through these channels is incorporated into the health and safety policy,
	Definitions and guidance	Not applicable for single-handed vessels or self-employed farmers with no employees who are not organized into a cooperative or association. Industrial operations are expected to have more sophisticated systems than small-scale operations in fisheries, on aquaculture farms, and at processing facilities. In small-scale operations, this type of communication can occur at the vessel/individual farm level before being brought to a broader group. For larger companies, having a direct point of engagement between workers and managers onshore is recommended, as typically this kind of engagement is only passive and informal through the captain. Active and regular attempts to engage with workers on this topic are recommended for any scale or operation.

Number	Risk Level	Data Collection Point
SRA1.1.10 D.15	Low	AND – There are special protections for young, pregnant, or other vulnerable workers.
	Low	AND – Large vessels have AIS installed and it is turned on.
SRA1.1.10 D.16	Definitions and guidance	N/A for aquaculture farms and processing facilities. Large vessels: Vessels equal to, or greater than 24 meters (ILO 2007). Regardless of regulations, large vessels use AIS and log when AIS is turned off, including the time and reason for the gap. See the <i>SRA Implementation Guide</i> with more information on how to collect data on this Data Collection Point leveraging information from Global Fishing Watch.

Indicator 1.1.11: Medical response¹⁴

As mentioned above, seafood production can be a very dangerous job, and while there should be mechanisms and protections in place to reduce the likelihood of an accident occurring, even if there are rigorous safety provisions in place, accidents can still happen. As such, a contributing factor to the safety of the work environment is the readiness of response to a medical emergency. Because vessels, farms, and even processing facilities are often found in remote locations, first response in the case of an injury is essential and can be the difference between life and death. This Risk Indicator is based on the ILO Work in Fishing Convention, 2007 (No. 188) with regards to vessels, and additional internationally recognized best practices and guidance on medical response. Assessors will evaluate the medical supplies available on vessels and at workplaces to ensure they are adequate based on the number of workers, the types of injuries anticipated, and legal requirements. Workers should not have to pay for any medical care for an injury sustained at work, and whetherby government or the employer, workers should also be provided with workers' compensation for time lost as a result of a workplace injury. Furthermore, there should be someone at the workplace trained in first aid, and all workers should be provided with emergency response training to ensure that workers know what to do and where to go in case of an emergency.

Note, Indicator 1.1.11 is applicable to human observers where present within the fishery.

¹⁴Criteria on medical response are derived from FTUSA, RFVS, GRASP, and ILO C188.



Number	Risk Level	Data Collection Point
SRA1.1.11 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – Adequate medical supplies are not available (i.e., there is no first aid kit),
		OR – On aquaculture farms, at processing facilities, or on large vessels, there is no trained first aid responder,
		OR – On large vessels, making long trips, not all workers have a valid medical certificate attesting to their fitness to work,
		OR – Workers are not provided with medical care for workplace injuries and are not repatriated, if necessary, at employer's expense.
SRA1.1.11 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA1.1.11 D.2	Medium	AND – Adequate medical supplies are available (i.e., there is a first aid kit),
	Definitions and guidance	The adequacy of medical supplies should be justifiable based on expected injuries. If the site has been recording workplace accidents, this should be used as a key input to determine adequacy. If not recorded, assessors should inquire as to the types and frequency of accidents that have occurred and whether or not the first aid kit was effectively used to determine adequacy of medical supplies.
SRA1.1.11 D.3	Medium	AND – On aquaculture farms, at processing facilities, or on large vessels, there is a trained first aid responder,
	Definitions and guidance	Large vessels: Vessels equal to, or greater than 24 meters (ILO 2007).

Number	Risk Level	Data Collection Point
SRA1.1.11 D.4	Medium	AND – On large vessels, making long trips, all workers have a valid medical certificate attesting to their fitness to work,
	Definitions and guidance	Long trips: Trips at sea for more than three days (ILO 2007). Not applicable for smallholder farms or processing facilities.
SRA1.1.11 D.5	Medium	AND – Workers are provided with medical care for workplace injuries and are repatriated, if necessary, at employer's expense.
SRA1.1.11 D.6	Low	Workers are provided with workers' compensation, lost time pay, and payment of medical expenses for injuries sustained in the course of work either by law, or their employer,
SRA1.1.11 D.7	Low	AND – Workers have received training in emergency response and general first aid.
	Definitions and guidance	Whereas Data Collection Point 1.1.11 D.3 refers to a specific individual trained in first aid, this refers to training for all relevant individuals on emergency preparedness.

Indicator 1.1.12: Observer rights¹⁵



In the fishing sector, it is common that on board observers are assigned to fishing vessels as a fisheries management provision, tasked with collecting data on the catch to support in stock assessment and to monitor for illegal fishing practices. Observers themselves may also report human rights concerns or violations, as they are integrated with the crew, typically experience the same working and living conditions, and may witness violations against other crew. Observers are in a unique position on the vessel, as they are not typically employed by the same employer as the crew or captain, and are in a position whereby they are monitoring compliance of the captain and crew with fisheries management regulations, which may cause tension. As they can occupy a contentious role on the vessel, they can be vulnerable to abuse and harassment and may face challenges while on board the vessel. This indicator was based on the International Observer Bill of Rights (2013) which outlines protections for observers working on vessels. They should be provided with adequate living and working conditions, should be able to perform their job without interference or abuse, and should be provided with similar training as other workers on safety and emergency response. Furthermore, they should have access to communication equipment and there should be clear mechanisms

for them to report issues sustained during the fishing trip, and should be well supported by the observer program, especially while on assignment.

This indicator should only be marked as N/A if there is no required human observer coverage stipulated by national laws or Regional Fisheries Management Organizations (RFMOs). Refer to the SRA Implementation Guide for more information about data collection regarding this Indicator.

Note, Indicators 1.1.1, 1.1.2, 1.1.3, 1.1.5, 1.1.6, 1.1.7, 1.1.8, 1.1.9, 1.1.10, and 1.1.11 are also applicable to human observers on board fishing vessels.

¹⁵Criteria on observer rights are derived from the IOBR (2013) and Human Rights at Sea https://www.humanrightsatsea.org/sites/default/files/media-files/2021-12/HRAS_Fisheries_Observer_Infographic1.0.pdf

Number	Risk Level	Data Collection Point
SRA1.1.12 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – There are indications observers are unable to conduct duties free from assault, harassment, interference, or bribery,
		OR – Observers are not recognized as part of the formal sector or do not have signed written contracts in a language they understand, so their rights and terms of recruitment and employment are not clearly understood,
		OR – Observers are not provided adequate accommodation appropriate to the size of the monitored entity or equivalent to that of the officers on board the monitored entity,
		OR – Observers are not aware of vessel communication protocols or the emergency action plan,
		OR – Observers do not have regular access to independent communication equipment,
		OR – Observers are not aware of or do not have access to effective grievance mechanisms to report issues at no cost or are not able to report issues while at sea,
		OR – Observers are not provided appropriate observer program support, including adequate training, field equipment, and field support.
SRA1.1.12 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA1.1.12 D.2	Medium	AND – There are no indications observers are unable to conduct duties free from assault, harassment, interference, or bribery,

Number	Risk Level	Data Collection Point
SRA1.1.12 D.3	Medium	AND – Observers are recognized as part of the formal sector and have signed written contracts in a language they understand, so their rights and terms of recruitment and employment are clearly understood,
	Definitions and guidance	Being part of the ‘formal’ sector typically protects workers’ rights under the law and enables them to access social security.
SRA1.1.12 D.4	Medium	AND – Observers are provided adequate accommodation appropriate to the size of the monitored entity and equivalent to that of the officers on board the monitored entity,
SRA1.1.12 D.5	Medium	AND – Observers are aware of vessel communication protocols and the emergency action plan,
SRA1.1.12 D.6	Medium	AND – Observers have regular access to independent communication equipment,
SRA1.1.12 D.7	Medium	AND – Observers are aware of and have access to effective grievance mechanisms to report issues at no cost and are able to report issues while at sea,
SRA1.1.12 D.8	Medium	AND – Observers are provided appropriate observer program support, including adequate training, field equipment, and field support.
SRA1.1.12 D.9	Low	Observers have proof of insurance and insurance policy with their name provided before every vessel boarding,
SRA1.1.12 D.10	Low	AND – Observers are allowed full access to all vessel facilities and equipment and all vessel records according to national laws and/or the observer contract,
SRA1.1.12 D.11	Low	AND – Observers are covered under national whistleblower protection laws to ensure protection against threats or actions of retribution or reprisal by the employer or fishing vessel captain or workers.

Component 1.2

Business conduct and commercial agreements uphold human rights and dignity of workers.

Risk indicators in this component

- 1.2.1 Corporate responsibility and transparency
- 1.2.2 Economic flexibility and autonomy



Indicator 1.2.1: **Corporate responsibility and transparency**¹⁶

The success of social responsibility within a company, cooperative, or association is largely dependent on commitments and accountability from the top levels of an organization. An organization that has embedded social responsibility as a priority area demonstrates stewardship of good practices and can lead to positive outcomes for workers. This section is largely based on principles within the United Nations Guiding Principles on Business and Human Rights (2011), as well as emerging best practices on corporate responsibility and transparency. If there is a company, a cooperative/association, or other form of taxable enterprise(s) that are part of the UoA, the assessor will evaluate business integrity through licensing and compliance with tax and labor laws, and will dig into commitments to uphold human and labor rights in their workforce. They will also look at the level of transparency of the company or cooperative/association, what resources, information, and progress reporting they make public on social responsibility efforts in their operation, and how they integrate the concepts of social responsibility into day-to-day operations.

¹⁶Criteria on corporate responsibility and transparency are derived from BSCI, IFFO RS, ASC, and UNGP 2011.



Number	Risk Level	Data Collection Point
SRA1.2.1 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – The fishery/farm/facility cannot demonstrate compliance with all tax laws,
		OR – There are indications that owners, managers, or workers pay bribes to public servants to gain access to resources or to avoid compliance with local business regulations,
		OR – The fishery/farm/facility does not have a human rights policy in place to uphold the rights of workers (appropriate to their size and circumstances), or cannot demonstrate evidentiary compliance with their policy,
		OR – A company, cooperative, or association within the Unit of Assessment has been the subject of allegations of human and/or labor rights abuses within the past two years, they cannot demonstrate they have undertaken activities to investigate, remediate, and have not publicly responded to the allegations.
SRA1.2.1 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA1.2.1 D.2	Medium	AND – The fishery/farm/facility can demonstrate compliance with all tax laws,
SRA1.2.1 D.3	Medium	AND – There are no indications that owners, managers, or workers pay bribes to public servants to gain access to resources or to avoid compliance with local business regulations,
	Definitions and guidance	Desk research should be leveraged in this case to identify any public sources of information on the company or sector. Assessors should apply a risk-based approach onsite when inquiring about these issues, and rightsholder and stakeholder engagement with entities outside of the Unit of Assessment is recommended.

Number	Risk Level	Data Collection Point
SRA1.2.1 D.4	Medium	AND – The fishery/farm/facility has a human rights policy in place to uphold the rights of workers (appropriate to their size and circumstances), and can demonstrate evidentiary compliance with their policy,
	Definitions and guidance	For small-scale fishing and smallholder farm or processing operations, there may be a policy or commitment via a cooperative or association (through by-laws, for example), or national commitments. Either of these can be used as evidence of alignment with this Data Collection Point as long as there are indications the policy is being followed.
SRA1.2.1 D.5	Medium	AND – If any company, cooperative, or association within the Unit of Assessment has been the subject of allegations of human and/or labor rights abuses within the past two years, they can demonstrate they have undertaken activities to investigate, remediate, and publicly respond to the allegations.
SRA1.2.1 D.6	Low	The fishery/farm/facility publicly discloses their social, economic, and environmental performance on a regular basis,
	Definitions and guidance	Regularity can be commensurate of the size and sophistication of the management entity but it is recommended to be on an annual basis.
SRA1.2.1 D.7	Low	AND – The fishery/farm/facility is engaged in multi-stakeholder, worker-centered initiatives aiming to improve social performance across the industry,
SRA1.2.1 D.8	Low	AND – Financial accounts are regularly reviewed by independent third-party auditors,

Number	Risk Level	Data Collection Point
SRA1.2.1 D.9	Low	AND – The fishery/farm/facility has published human rights and environmental policies to uphold the rights of workers and the natural environment,
	Definitions and guidance	For small-scale fishing and smallholder farm or processing operations, this Data Collection Point can be met if community members have access to information about the fishing/farm/facility’s human rights and environmental responsibility.
SRA1.2.1 D.10	Low	AND – The human rights policy is communicated, and training is provided in a language or medium understandable to all workers and other relevant individuals who assume the responsibility or duties of the fishery/farm/facility or its workers, including on board observers.
SRA1.2.1 D.11	Low	AND – Implementation of the fishery/farm/facility’s human rights policies is financially feasible, or there is a time-bound plan in place to ensure full policy implementation, including ongoing monitoring.
	Definitions and guidance	For example, operations that cite an inability to meet basic standards of human rights outlined in their policies due to financial restrictions should be actively evaluating their business model to identify pathways to ensure minimum standards of decent work for all employees (e.g., provision of PPE needed to keep workers safe). Data collection should focus on the potential unintended negative impacts commercial activities may have on decent work outcomes for employees. For example, a company that is going bankrupt or holds debt may not have the financial capital needed to meet minimum standards of decent work. Assessors should evaluate if the root cause of risks identified in other Indicators is a lack of financial capacity and mark any deficiencies in this Data Collection Point. See Indicator 1.2.2 for relevant information related to vessel owners operating single-handed vessels and smallholder farm owners who are not organized into cooperatives or associations.

Indicator 1.2.2: **Economic flexibility and autonomy**¹⁷



This Risk Indicator is really digging into the fundamentals of trade between a fishery/farm and buyers. Assessors will need to take into consideration the unique characteristics of the Unit of Assessment to determine if Indicator 1.2.2 is applicable. Typically, if there are small-scale vessel owners who also serve as captains on their vessels, or smallholder farm owners who sell their own seafood, this Indicator will be applicable. There may also be cases whereby a vessel owner or farm owner is not involved in the seafood harvest directly and is responsible for selling seafood, in which case this Indicator may still be applicable. For fisheries, it may make sense to include both pre- and post-harvesting activities, and the individuals undertaking those activities, within the Unit of Assessment.

Seafood supply chains can be complex, with multiple supply chain actors playing a role in moving and transforming products from vessel or farm to export. This is critical especially in small-scale fisheries and smallholder farms as this will have a direct effect on their livelihoods and ability to earn income, and in any operation the conditions of trade will trickle down to any workers on board vessels and on farms, as the ability of a fisher or farm owner to pay

their workers will also be dependent on these trade relations. This indicator is largely based on the Fair Trade USA Capture Fisheries Standard, a certification program dedicated to empowering fishers and farmers in supply chains and enabling them to retain more of the benefits of trade. This is a critical component of social responsibility and ensuring that fishers and farmers have economic flexibility and autonomy is critical to ensure trade relations do not contribute to or directly impose negative impacts on worker wellbeing.

¹⁷Criteria on economic flexibility and autonomy are derived from FTUSA.

Number	Risk Level	Data Collection Point
SRA1.2.2 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR - If applicable, interest rates charged to fishers/farmers are not transparent or agreed upon in advance,
		OR - There is only one local seafood buyer, or fishers/farmers are not free to sell to whomever they wish without retribution,
		OR - There are indications of price collusion among local buyers,
		OR - Fishers/farmers do not know the quality expected of the product, how the price is calculated, or when they will be paid via verbal contract with buyers.
SRA1.2.2 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA1.2.2 D.2	Medium	AND - If applicable, interest rates charged to fishers/farmers are transparent and agreed upon in advance,
SRA1.2.2 D.3	Medium	AND - There is more than one local seafood buyer, and fishers/farmers are free to sell to whomever they wish without retribution,
SRA1.2.2 D.4	Medium	AND - There are no indications of price collusion among local buyers,
SRA1.2.2 D.5	Medium	AND - Fishers/farmers know the quality expected of the product, how the price is calculated, and when they will be paid via verbal contract with buyers.

Number	Risk Level	Data Collection Point
SRA1.2.2 D.6	Low	If applicable, fishers/farmers can access loans from at least two types of lenders,
SRA1.2.2 D.7	Low	AND - If applicable, interest rates do not exceed government rates or lender's borrowing rates,
SRA1.2.2 D.8	Low	AND - Fishers/farmers have access to financial literacy training,
SRA1.2.2 D.9	Low	AND - Fishers/farmers are organized into groups to better negotiate with buyers and fishers/farmers may be price setters,
SRA1.2.2 D.10	Low	AND - Fishers/farmers know the quality expected of the product, how the price is calculated, and when they will be paid via written contract with buyers (in a language understood or with additional provisions made for illiteracy),
SRA1.2.2 D.11	Low	AND - When applicable, buyers support fishers/farmers through sharing costs of certification and training,
SRA1.2.2 D.12	Low	AND - Fishers/farmers have access to competitive credit markets or are recipients of investment opportunities.

Principle 2

Ensure Equality and Equitable
Opportunity to Benefit



Component 2.1:

Recognition, voice, and respectful engagement for all groups, including customary users, irrespective of gender, ethnicity, culture, political, or socioeconomic status.

Risk indicators in this component

- 2.1.1 Grievance reporting and access to remedy
- 2.1.2 Customary rights
- 2.1.3a Participatory governance of fisheries and aquaculture resources
- 2.1.3b Participatory governance within the workforce



Indicator 2.1.1: Grievance reporting and access to remedy¹⁸



A fundamental right of workers in the workplace is access to remedy in the case they have experienced illegal or inappropriate conduct in the workplace. To gain access to remedy, workers must have a mechanism to report issues, often referred to as grievance mechanisms. In order to ensure their effectiveness, grievance mechanisms must be legitimate, accessible, predictable, equitable, transparent, rights-compatible, a source of continuous learning, and based on engagement and dialogue. A grievance mechanism can only serve its purpose if the people it is intended to serve, know about it, trust it, and are able to use it. This Risk Indicator is based on the United Nations Guiding Principles on Businesses and Human Rights (2011, Articles 25–31).

To make it possible for grievances to be addressed early, and remediated directly, businesses should establish or participate in effective operational-level grievance mechanisms for individuals and communities who may be adversely impacted (UN Guiding Principles on Businesses and Human Rights, Articles 29).

- Legitimate: enabling trust from the rightsholder and stakeholder groups for whose use they are intended, and being accountable for the fair conduct of grievance processes.
- Accessible: being known to all rightsholder and stakeholder groups for whose use they are intended, and providing adequate assistance for those who may face particular barriers to access.
- Predictable: providing a clear and known procedure with an indicative time frame for each stage, and clarity on the types of process and outcome available and means of monitoring implementation.
- Equitable: seeking to ensure that aggrieved parties have reasonable access to sources of information, advice, and expertise necessary to engage in a grievance process on fair, informed, and respectful terms.
- Transparent: keeping parties to a grievance informed about its progress, and providing sufficient information about the mechanism's performance to build confidence in its effectiveness and meet any public interest at stake.
- Rights-compatible: ensuring that outcomes and remedies accord with internationally recognized human rights.
- As a source of continuous learning: drawing on relevant measures to identify lessons for improving the mechanism and preventing future grievances and harms.
- Operational-level mechanisms should be based on engagement and dialogue: consulting the rightsholder and stakeholder groups for whose use they are intended on their design and performance, and focusing on dialogue as the means to address and resolve grievances.

¹⁸Criteria on grievance reporting and access to remedy are derived from the UN Guiding Principles on Businesses and Human Rights, Articles 25–31, ILRF 2018, IFFO RS, ASC, GRASP, and Clearview. For worker hotline and grievance reporting services see: Issara Institute and Clear Voice.

Number	Risk Level	Data Collection Point
SRA2.1.1 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – Workers do not have knowledge of, or access to, fair or confidential grievance mechanisms appropriate for, and commensurate with, size and scale of the fishery/farm, in a language they understand, with additional provisions made for illiteracy,
		OR – Workers have not been trained in available grievance mechanisms,
		OR – There are indications of retaliation or prejudice against workers who submit grievances, including gender-based prejudice or retaliation,
		OR – Workers do not have regular access to internet or cellular service as needed to adequately access available grievance mechanisms.
SRA2.1.1 D.1	Low	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,

Number	Risk Level	Data Collection Point
SRA2.1.1 D.2	Medium	AND – Workers have knowledge of, and access to, fair and confidential grievance mechanisms appropriate for, and commensurate with, size and scale of the fishery/farm, in a language they understand, with additional provisions made for illiteracy,
	Definitions and guidance	Grievance: A circumstance or condition that constitutes an injustice to the sufferer and gives just ground for complaint. Grievance mechanisms: A formal, legal or non-legal (or ‘judicial/non-judicial’) complaint process that can be used by individuals, workers, communities and/or civil society organizations that are being negatively affected by certain business activities and operations (SOMO). Note that in this Data Collection Point, assessors are looking for the existence of a grievance mechanism and evaluating its accessibility and worker awareness of the mechanism. In Data Collection Point 2.1.1 D.6, the assessor is evaluating effectiveness in more detail. Assessors should be collecting data and assessing risk based on the appropriateness of the grievance mechanism to achieve what is outlined in this Data Collection Point. A large farm should have a robust, documented system that may be sophisticated. A small-scale fishery or smallholder farm with only a small number of workers may have a more informal system. For a cooperative, a documented system is highly recommended and ideally built into cooperative by-laws. For small-scale fisheries or smallholder farms and cooperative contexts, assessors should also look for more informal systems of reporting grievances and make an assessment of how well these systems are able to capture and address grievances of those in the Unit of Assessment. Assessors should also assess this in correlation to Data Collection Point 1.2.1 D.9 to ensure workers fully understand their rights. An informal system can act as evidence here if workers understand their rights (Data Collection Point 1.2.1 D.9 is met), know they can come forward to the farm owner or cooperative leadership if they have an issue, and feel confident their issue will be resolved.
SRA2.1.1 D.3	Medium	AND – Workers have been trained in available grievance mechanisms,
	Definitions and guidance	This includes vessel/farm owners and captains/managers and pertains to private companies, cooperatives, and associations.
SRA2.1.1 D.4	Low	AND – There are no indications of retaliation or prejudice against workers who submit grievances, including gender-based prejudice or retaliation,

Number	Risk Level	Data Collection Point
SRA2.1.1 D.5	Medium	AND – Workers have regular access to internet or cellular service as needed to adequately access available grievance mechanisms.
	Definitions and guidance	This includes universally accessible Wi-Fi as best practice, especially for vessels at sea in excess of 3 months. Refer to the Global Labour Justice's Model Operational Guidelines for Wi-Fi Access and Fishers' Rights on Distant Water Fishing Vessels for best practices on Wi-Fi access for workers.
SRA2.1.1 D.6	Low	Grievance mechanisms are both procedurally and substantively effective at remediation of conflicts and complaints in a time-bound manner with no reoccurring grievances,
	Definitions and guidance	This means the grievance mechanism is routinely evaluated according to the eight characteristics of an effective grievance mechanism: legitimate, accessible, predictable, equitable, transparent, rights-compatible, a source of continuous learning, and based on engagement and dialogue.
SRA1.1.1 D.7	Low	AND – Remediation processes (i.e., corrective action plans) are publicly disclosed (while maintaining anonymity and confidentiality of the person experiencing the injustice and/or submitting the grievance),
	Definitions and guidance	Public disclosure does not entail sharing intimate details of every case submitted. Instead, parties should be providing information that assures users of the effectiveness of the mechanism to build confidence and trust in the system.
SRA2.1.1 D.8	Low	AND – Grievance mechanisms evolve according to direct engagement with users,
	Definitions and guidance	A key component to an effective grievance mechanism is worker trust, and workers are more likely to trust a system they had a part in designing. Furthermore, if workers are not using the system or are not aware of it, this represents a need to adapt the system to better suit workers' needs. Therefore, direct input from workers should be included in the design of the grievance mechanism, and should be engaged on a regular basis to ensure effectiveness.
SRA2.1.1 D.9	Low	AND – The grievance procedure includes special consideration for vulnerable populations (e.g., migrant workers, women, ethnic minorities),
	Definitions and guidance	Vulnerable groups should be actively consulted on available grievance mechanisms as an input to measure effectiveness (as per Data Collection Point 2.1.1 D.6).

Number	Risk Level	Data Collection Point
SRA2.1.1 D.10	Low	AND – Workers have free and secure access to safe and confidential communication systems beyond what is minimally needed to access grievance mechanisms,
	Definitions and guidance	This includes Wi-Fi on fishing vessels. For small-scale fishing vessels and smallholder farms, this should be assessed based on financial and physical feasibility and commensurate with the size and scale of the fishery/farm (e.g., if there is consistent cell service on fishing trips, this can serve as the primary communication system for workers).
SRA2.1.1 D.11	Low	AND – Workers have access to third party independent organizations or a local/customary governance body that can address grievances and ensure effective representation.



Indicator 2.1.2: Customary rights¹⁹

The seafood sector is entirely dependent on the natural environment, whether wild fish stocks, use of the marine environment, or use of land. In many cases, these are shared resources, that are typically managed by the government, but have a long history of use by a variety of customary users that can have conflicting views on how the resource should be managed. Customary rights refers to patterns of long-standing community land and resource usage in accordance with Indigenous Peoples' and local communities' customary laws, values, customs, and traditions, rather than formal legal title to land and resources issued by the State²⁰. Customary users are the individuals or communities who have customary rights. As there can be conflicting views between customary users and how the resource should be managed as a whole, it is essential that the Unit of Assessment respects customary users, and is not violating their rights. The assessment team will gain an understanding of the underlying customary use issues in the fishery or farm community through desk review, including the legal framework and consultation processes that were undertaken in resource management. Indicator 2.1.2 may apply to groups within or outside the Unit of Assessment, meaning that the assessor will collect relevant data according to the characteristics of the Unit of Assessment and

how they relate to customary users. The intent is to evaluate whether there are systems in place to ensure the rights of customary users are respected, regardless of whether or not the Unit of Assessment includes or affects customary users.

¹⁹Criteria on customary resource use rights are derived from FTUSA, ASC, MSC, BAP, Thai GAP, UN Declaration on the Rights of Indigenous Peoples 2007, and FAO Guidance on Social Responsibility in the Fisheries and Aquaculture Value Chains Small-Scale Fishing Section (2024, draft).

²⁰Definition based on UN-REDD: [Customary rights | UNREDD Programme \(un-redd.org\)](https://www.un-redd.org/customary-rights)

Number	Risk Level	Data Collection Point
SRA2.1.2 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – Customary rights have not been identified or recorded using a participatory process. This includes existing legally recognized rights and any unresolved claims by rights holders,
		OR – The fishery/farm does violates the legal or customary rights of local people,
		OR – Customary users are denied or revoked of access rights due to discrimination (e.g., gender, ethnicity, religion, political affiliation) by authorities and/or other communities or entities,
		OR – The fishery/farm is designated in an area legitimately claimed by communities without their documented Free, Prior, and Informed Consent,
		OR – The fishery/farm does not understand its impact on customary access to resources or negatively impacts adjacent communities, land, and/or water, or restricts access to vital community resources without community approval.
SRA2.1.2 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA2.1.2 D.2	Medium	AND – Customary rights have been identified and recorded using a participatory process. This includes existing legally recognized rights and any unresolved claims by rights holders,
	Definitions and guidance	In small-scale fisheries and smallholder farms, government and other value chain actors beyond the vessel/farm level should also be involved in this process, and the burden should not solely rest on small-scale fishers or farmers.
SRA2.1.2 D.3	Medium	AND – The fishery/farm observes the legal and customary rights of local people,
SRA2.1.2 D.4	Medium	AND – Customary users are not denied or revoked of access rights due to discrimination (e.g., gender, ethnicity, religion, political affiliation) by authorities and/or other communities or entities,

Number	Risk Level	Data Collection Point
SRA2.1.2 D.5	Medium	AND – The fishery/farm is not designated in an area legitimately claimed by communities without their documented Free, Prior, and Informed Consent,
SRA2.1.2 D.6	Medium	AND – The fishery/farm understands its impact on customary access to resources and does not negatively impact adjacent communities, land, and/or water, or restrict access to vital community resources without community approval.
SRA2.1.2 D.7	Low	There is an active process to establish a protocol agreement, or there is a protocol agreement in place, with Indigenous communities, or communities with customary use rights, using Free, Prior, and Informed Consent,
	Definitions and guidance	Free, Prior, and Informed Consent: (Declaration on the Rights of Indigenous Peoples 2007) Free: There is no coercion, duress, fraud, bribery, intimidation or manipulation. Prior: Consent is to be sought sufficiently in advance of any significant planning, authorization or commencement of activities, and each decision-making stage, and respect is shown to time requirements of Indigenous consultation/consensus processes. Informed: Information is provided, in appropriate language and format, that covers a range of aspects, including the nature, size, pace, reversibility and scope of any proposed project or activity; the purpose of the project as well as its duration; locality and areas affected; a preliminary assessment of the likely economic, social, cultural and environmental impact, including potential risks; personnel likely to be involved in the execution of the project; procedures the project may entail; and Indigenous rights under domestic and national law. All information must be provided free from external manipulation and with sufficient time for review and decision-making in accordance with the laws and customs of the affected Indigenous people. This process may include the option of withholding consent. Communities must be allowed to withhold consent. Consultation and participation are crucial components of a consent process.
SRA2.1.2 D.8	Low	AND – Customary resource users are aware of their rights, are protected under law, and can seek recourse within the legal system,
SRA2.1.2 D.9	Low	AND – The fishery/farm is actively mitigating any impacts or conflicts on access to resources for customary users,

Number	Risk Level	Data Collection Point
SRA2.1.2 D.10	Low	AND – Communities or people with claims to a public resource are strongly involved in management of the resource, and traditional practices and knowledge are incorporated into resource management,
	Definitions and guidance	In aquaculture, even if the farm has been established for years, if the establishment of that farm did not follow Free, Prior, and Informed Consent and there are groups that have laid claims to that land, efforts should be made to resolve these issues.
SRA2.1.2 D.11	Low	AND – Special attention is paid to ensure women or other marginalized gender identities or demographic groups are included in consultation.



Indicator 2.1.3:

Participatory governance of fisheries, aquaculture farms, and the workforce²¹



Governance encompasses the process by which decisions are made by a group, whether that's government, a company, or a cooperative or association. From a collective standpoint, how decisions are made can greatly affect outcomes for workers, and if workers are not well engaged as part of the governance structure, decisions may be made on their behalf that may have negative impacts. The inclusion of workers in this process is referred to as inclusive governance, which is the process by which an organization, institution, business, or government meaningfully involves all demographic groups who may be affected by the decisions it makes or in other governance activities (e.g., decision making, monitoring, enforcement, conflict resolution). In order to protect workers at the main rightsholders (see definition in Data Collection Point 2.1.3a D.2 below), there needs to be incorporation of a worker-driven approach to both fishery and aquaculture governance and supply chain governance. This entails broad stakeholder engagement in resource management, and the democratic participation of workers and their representatives in supply chain governance in both workplace and transnational levels (when relevant). Engagement and representation at the transnational level is critical for globally traded and highly consolidated commodities such

as seafood.²² The assessment team will collect data to gain an understanding of how decisions are made at different levels of management, including resource management and/or at the company or cooperative/association level.

This Risk Indicator is split up into two sub-indicators:

- Indicator 2.1.3a: Participatory governance of fisheries and aquaculture farms
- Indicator 2.1.3b: Participatory governance within the workforce

²¹Criteria on stakeholder participation and collaborative management are derived from SFW, ASC, MSC, Thai GAP, IFFO RS, BAP, FishSource, FTUSA, and GALS. ²²Definition adapted from Reinecke, J., & Donaghey, J. (2021). Towards worker-driven supply chain governance: developing decent work through democratic worker participation. *Journal of Supply Chain Management*, 57(2), 14–28. Chicago.

Indicator 2.1.3a: **Participatory governance of fisheries and aquaculture resources**

Indicator 2.1.3a is meant to determine how the Unit of Assessment is engaged on decisions made about management of the resource, whether regarding regulations pertaining to fisheries management, or legislation that may affect aquaculture farm operations. In the context of small-scale fisheries or smallholder farms, this includes the extent to which individual operators are engaged, however this can also refer to cooperatives or associations if present in the Unit of Assessment.



Number	Risk Level	Data Collection Point
SRA2.1.3a D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR - There is no mechanism for participatory engagement of all affected and relevant stakeholders (including rightsholders) in governance decisions regarding the right to access, harvest, manage, or exclude activities related to natural resources within the managed area (e.g., co-management agreement),
		OR - All affected and relevant stakeholders (including rightsholders) are not represented, or stakeholder groups are excluded based on status, class, gender, ethnicity, etc.,
		OR - All affected and relevant stakeholder input (including input from rightsholders) is not considered or integrated into fishery management/aquaculture production decision-making.
SRA2.1.3a D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA2.1.3a D.2	Medium	AND - There is a mechanism for participatory engagement of all affected and relevant stakeholders (including rightsholders) in governance decisions regarding the right to access, harvest, manage, or exclude activities related to natural resources within the managed area (e.g., co-management agreement),
	Definitions and guidance	Relevant stakeholder: Anyone who has a stake in the decision made (government, businesses, NGOs). Affected stakeholder: Someone who will experience consequences by the decision made (fisher/farmer/worker, community member, women, minorities, etc.). Rightsholder: A specific type of relevant stakeholder who has claims over or rights to the resource, lands, or waters in question. Co-management: A partnership arrangement in which government, the community of fishers or farmers, external agents (non-governmental organizations, research institutions), and sometimes other resource stakeholders (vessel owners, fish traders, credit agencies or money lenders, tourism industry, etc.) share the responsibility and authority for decision-making over the management of a fishery (FTUSA). Stakeholder participation: The process by which an organization involves all people who may be affected by the decisions it makes.

Number	Risk Level	Data Collection Point
SRA2.1.3a D.3	Medium	AND – All affected and relevant stakeholders (including rightsholders) are represented, and no stakeholder groups are excluded based on status, class, gender, ethnicity, etc.,
SRA2.1.3a D.4	Medium	AND – All affected and relevant stakeholder input (including input from rightsholders) is considered and integrated into fishery management/aquaculture production decision-making.
	Definitions and guidance	Consideration and integration of stakeholder input can be evaluated according to the decision-making processes outlined. This could either be through inclusion of stakeholders as part of a democratic voting mechanism, or a clear outline for how stakeholder outreach is analyzed and incorporated into decision-making processes. Note this will vary greatly between UoAs, therefore secondary desk research is essential in advance of the onsite assessment to evaluate what systems may already be in place to ensure interview questions can specifically reference these protocols to ensure interviewees are aware of these processes.
SRA2.1.3a D.5	Low	Decisions are publicly communicated, promoted, and transparent,
	Definitions and guidance	‘Public’ refers primarily to relevant stakeholders but may include the public more broadly as decisions relate to management of the resource.
SRA2.1.3a D.6	Low	AND – Decision-making processes consider disadvantaged and vulnerable groups (i.e., migrant workers, women, ethnic minorities), so that input from affected stakeholders is considered and integrated on equal terms,
SRA2.1.3a D.7	Low	AND – All affected and relevant stakeholders (including rightsholders) are free to engage in all aspects of fishery/aquaculture production governance including decision-making, monitoring, enforcement, and conflict resolution,
SRA2.1.3a D.8	Low	AND – Participation and collaborative management between local rightsholders and stakeholders and government are fostered and reinforced by civil society organizations working to protect the interests of relevant stakeholders.

Indicator 2.1.3b:

Participatory governance within the workforce



Indicator 2.1.3b pertains to participation of affected stakeholders (including rightsholders), specifically fishers, crew, farmers, and workers, within the Unit of Assessment. This includes, but is not limited to, employees (temporary or permanent) pertaining to a farm or processing facility, crew members on an individually operating vessel, or hired labor workers at a fishing company or processing facility. This also pertains to the function of a fishing or aquaculture farm cooperative or association concerning how members are engaged in decision-making. Many decisions made at the top levels of a company, cooperative, or association have direct impacts on workers, and can often be made without any input from the workers themselves. This Risk Indicator is really focused on the use of social dialogue to foster a worker-driven approach within the workforce. Social dialogue includes all types of negotiation, consultation, or exchange of information among or between representatives of governments, workers, and employers on issues of common interest pertaining to social topics. The assessment team will be evaluating the extent to which employers or cooperative/association leaders are actively engaging with workers (not just captains) on the business decisions that directly affect them. Workers do not necessarily need to be engaged on all business decisions,

but those that have direct and potentially adverse impacts should be a topic subject to social dialogue. This can include decisions regarding pay, schedules, training, safety equipment, new production lines that require specialized training, benefits, among others. When workers have input into decision-making about the conditions of their work, it can lead to better outcomes. This indicator is closely linked with Risk Indicator 1.1.6: Freedom of association and collective bargaining, as a well-functioning union would serve a similar purpose, but in the potential of the absence of any such group, this indicator evaluates how employers are actively engaging with employees on decision-making that directly affects them.

Number	Risk Level	Data Collection Point
SRA2.1.3b D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – There is no mechanism to engage workers on decisions regarding fishing/farm operations,
		OR – Workers are excluded in decision-making processes based on status, class, gender, ethnicity, etc.,
		OR – Worker input is not considered or integrated into fishing/farm decision-making.
SRA2.1.3b D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA2.1.3b D.2	Medium	AND – There is a mechanism to engage workers on decisions regarding fishing/farm operations,
	Definitions and guidance	If there is an established union for which workers within the Unit of Assessment are members, union representatives should be directly engaged.
SRA2.1.3b D.3	Medium	AND – Workers are not excluded in decision-making processes based on status, class, gender, ethnicity, etc.,
	Definitions and guidance	This includes discrimination of any kind in joining a cooperative or association.
SRA2.1.3b D.4	Medium	AND – Worker input is considered and integrated into fishing/farm decision-making.

Number	Risk Level	Data Collection Point
SRA2.1.3b D.5	Low	Decisions are publicly communicated, promoted, and transparent,
	Definitions and guidance	Decisions of a private company, cooperative, or association need not be made public to external parties unless decisions made affect the public more broadly. Decisions about topics such as altering shifts, new production processes, new policies, etc., are examples of decisions that can be kept internal, but should be shared with all employees or members.
SRA2.1.3b D.6	Low	AND - Decision-making processes consider disadvantaged and vulnerable groups (i.e., migrant workers, women, ethnic minorities), so that decisions are made by workers on equal terms,
SRA2.1.3b D.7	Low	AND - Workers who are part of a cooperative or association are free to engage in all aspects of governance pertaining to decision-making, monitoring, enforcement, and conflict resolution.

Component 2.2:

Equitable opportunities to benefit are ensured to all, throughout the supply chain.

Risk indicators in this component

- 2.2.1 Equitable opportunity to benefit from the fishing or aquaculture sector
- 2.2.2 Discrimination



Indicator 2.2.1: Equitable opportunity to benefit from the fishing or aquaculture sector²³

Once there is an underlying understanding of the process by which customary users are engaged and decisions are made regarding fishery and aquaculture resources, it is imperative to then dig into who is benefiting economically from the resource according to the decisions made. Fisheries management and land use management both entail a division of resources, and this allocation can often benefit some groups more than others. In this sense, evaluating the equality and equity with which resources are allocated is essential to overall outcomes for communities, as the seafood sector can be a major economic driver, driving livelihoods for workers and has the potential to build communities out of poverty. Equality refers to the same status, rights, and responsibilities for all members of a society, group, or family; giving everyone the same resources regardless of their relative ability to benefit. Equity refers to an equal opportunity to benefit; giving everyone the resources they need to derive the same benefits, dependent on their relative ability to benefit.

In Indicator 2.2.1 the assessor will evaluate which stakeholders have access to economic benefits of the fishing or aquaculture sector. Indicator 2.2.2 identifies risks of discrimination within the Unit of Assessment. For fisheries, it may make sense to include both pre- and post-harvesting activities, and the individuals undertaking those activities, within the Unit of Assessment.

²³Criteria on equitable opportunity to benefit are derived from FTUSA, Human Rights at Sea 2015, FAO Illuminating Hidden Harvests, and ILO 2010 GEMS.



Number	Risk Level	Data Collection Point
SRA2.2.1 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – There is no equal access or opportunity to benefit from the fishery/farm regardless of gender, ethnicity, religion, sexual orientation, class, migrant status, political affiliation, etc.,
		OR – There is no equal access or opportunity to benefit from the fishery/farm, and a strategy or policy to address inequity is not in place,
		OR – Both the productive and reproductive roles of women are not identified in the fishery/farm or women have not been directly engaged in the mapping process,
SRA2.2.1 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA2.2.1 D.2	Medium	AND – There is equal access or opportunity to benefit from the fishery/farm regardless of gender, ethnicity, religion, sexual orientation, class, migrant status, political affiliation, etc.,
	Definitions and guidance	Benefits: Benefits in fisheries or aquaculture supply chains may include access to fishing rights, profits, medical care, social security, markets, loans, credits, subsidies, and social protection measures, among other things.
	Medium	OR – There is not equal access or opportunity to benefit from the fishery/farm, but a strategy or policy to address inequity is in place,
SRA2.2.1 D.3	Medium	AND – Both the productive and reproductive roles of women are identified in the fishery/farm and women have been directly engaged in the mapping process,
	Definitions and guidance	This includes identification of paid and unpaid roles, as well as productive (activities related to the production of goods for consumption or trade and income generation) and reproductive (activities associated with the maintenance and reproduction of labor and continuity of the family and community) roles . The main research mode for this Data Collection Point will be secondary data, however, secondary data should be validated via primary data collection while onsite.²⁴

Number	Risk Level	Data Collection Point
SRA2.2.1 D.4	Low	There is evidence of equal access to or opportunity to benefit from the fishery/farm, and marginalized groups are in leadership positions or positions of power.
	Definitions and guidance	Marginalized group: Historically marginalized groups are communities or populations that have been systematically excluded, oppressed, or disadvantaged due to factors such as race, ethnicity, gender, socioeconomic status, religion, disability, or sexual orientation. These groups often face structural barriers to equal opportunities in areas such as education, employment, healthcare, and political representation. ²⁵

²⁴This Data Collection Point was derived from the ILO Gender Sensitive Approach to Value Chain Development (2022), the FAO Illuminating Hidden Harvests (2023), and the IGWG Gender Integration Continuum Categories (2017).

²⁵Definition from the Oxford Review: <https://oxford-review.com/the-oxford-review-dei-diversity-equity-and-inclusion-dictionary/historically-marginalised-groups-definition-and-explanation/>



Indicator 2.2.2: **Discrimination**²⁶

A fundamental right at work is to be treated fairly, regardless of an individual's race, color, gender, religion, political opinion, immigration status, national extraction, disability, family responsibilities, sexual orientation, HIV/AIDS status, trade union membership, trade union activities, or social origin. Decisions about worker pay, promotion, job assignment, access to training, hiring, termination, etc., should only be made according to impartial policies that are applied equally to all workers. This Risk Indicator in the SRA is based primarily on the ILO Discrimination (Employment and Occupation) Convention, 1958 (No. 111) and the ILO Equal Remuneration Convention, 1951 (No. 100). The assessor will collect data on policies and procedures the company or cooperative/association holds regarding terms and conditions of work or membership and will also speak with workers or member fishers and farmers about their experience with the company or cooperative/association to evaluate whether discriminatory practices are adversely impacting certain groups of workers.

²⁶Criteria on discrimination are derived from FTUSA, ASC, BSCI, Clearview, Naturland, RFVS, ILO C100, and ILO C111.



Number	Risk Level	Data Collection Point
SRA2.2.2 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – Equal remuneration for men and women is not protected by law, or workers do not receive equal pay for work of equal value,
		OR – There is discrimination in recruitment promotion, access to training, access to permits, remuneration, allocation of work, termination of employment, retirement, ability to join unions or cooperatives/associations, disciplinary measures, access to services (including communication tools such as Wi-Fi), or other activities,
		OR – There is discrimination in access to benefits (e.g., health care, savings accounts, insurance, etc.),
		OR – There is compulsory pregnancy testing for workers who can get pregnant or there are indications workers have been dismissed due to pregnancy status or maternity/paternity leave,
		OR – There are no data available that can identify asymmetries in decent work or access to benefits based on gender.
SRA2.2.2 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA2.2.2 D.2	Medium	AND –Equal remuneration for men and women is protected by law, and workers receive equal pay for work of equal value,
SRA2.2.2 D.3	Medium	AND – 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/associations, disciplinary measures, access to services (including communication tools such as Wi-Fi), or other activities,
	Definitions and guidance	Discrimination: Any distinction, exclusion, or preference made on the basis of race, color, gender, religion, political opinion, immigration status, national extraction, disability, family responsibilities, sexual orientation, HIV/AIDS status, trade union membership, trade union activities, or social origin, which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation.

Number	Risk Level	Data Collection Point
SRA2.2.2 D.4	Medium	AND – There is no discrimination in access to benefits (e.g., health care, savings accounts, insurance, etc.),
SRA2.2.2 D.5	Medium	AND – There is no compulsory pregnancy testing for workers who can get pregnant, and there are no indications workers have been dismissed due to pregnancy status or maternity/paternity leave,
SRA2.2.2 D.6	Medium	AND – There are data available that can identify asymmetries in decent work and access to benefits based on gender.
	Definitions and guidance	This includes: - Sex-disaggregated data - Analysis of gender roles Sex: Refers to a person's biological characteristics as assigned at birth. Gender: Refers to socially constructed norms and roles along a continuum.
SRA2.2.2 D.7	Low	There is a comprehensive and proactive anti-discrimination policy for the fishery/farm. The policy is implemented through procedures and practices, posted in all languages and visible to all workers,
SRA2.2.2 D.8	Low	AND – Managers and workers are aware of and trained in the antidiscrimination policy,

Number	Risk Level	Data Collection Point
SRA2.2.2 D.9	Low	AND – There are gender transformative policies and research programs in place and the fishery/farm is actively measuring progress in implementing gender transformative policies.
	Definitions and guidance	The policies should be informed by the data collected in Data Collection Point 2.2.2 D.6. Gender transformative: An approach or practice where gender equality, the shared control of resources and decision-making, and women’s empowerment are central to the intervention. Gender transformative programming: Policies and programs that seek to transform gender relations to promote equality. This approach attempts to promote gender equality by: 1) Fostering critical examination of inequalities and gender roles, norms and dynamics, 2) Recognizing and strengthening positive norms that support equality and an enabling environment, 3) Promoting the relative position of women, girls and marginalized groups, and transforming the underlying social structures, policies and broadly held social norms that perpetuate gender inequalities.



Principle 3

Improve Food, Nutrition, and
Livelihood Security

Component 3.1

The health and wellbeing of resource-dependent communities is maintained or improved.

Risk indicators in this component

- 3.1.1a Impact of the fishery/farm on food and nutrition security
- 3.1.1b Food and nutrition security for small-scale fishing and smallholder farming communities
- 3.1.2 Healthcare
- 3.1.3 Education
- 3.1.4 Access to basic services for small-scale fishing and smallholder farming communities



Indicator 3.1.1: Food and nutrition security²⁷



Food and nutrition security refers to when all people at all times have physical, social, and economic access to food, which is consumed in sufficient quantity and quality to meet their dietary needs and food preferences, and is supported by an environment of adequate sanitation, health services and care, allowing for a healthy and active life (FAO 2013), in consideration of differences in nutritional requirements for women and children. When it comes to fisheries and aquaculture resources and the communities from which they originate, there are two main components of food security impacts: the affect the seafood production may affect local food security due to competition of resources, and the level of food security of those working in the seafood production sector. Many fisheries and aquaculture resources are also resources consumed by the local community as a critical source of protein, and as export markets continue to develop, this may divert resources that are traditionally retained locally to export to foreign markets. When conducting an SRA, the assessment team will look at both the potential impacts the Unit of Assessment may have on local food security, but when the Unit of Assessment itself comprises members of the local community, the assessment team should gain an if and how the individuals in scope of the assessment may be affected by competition for resources.

There are two sub-indicators in Risk Indicator 3.1.1:

- 3.1.1a: Impact of the fishery/farm on food and nutrition security
- 3.1.1b: Food and nutrition security for small-scale fishing or smallholder farming communities

While 3.1.1a should always be evaluated as part of an SRA, 3.1.1b is only applicable when the individuals within scope of the assessment comprise a defined local community.

²⁷Criteria on food and nutrition security are derived from FTUSA, RSB 2012, and UN FAO (relevant links included).

Indicator 3.1.1a:

Impact of the fishery/farm on food and nutrition security



Number	Risk Level	Data Collection Point
SRA3.1.1a D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – The fishery/farm operates near a resource-dependent community or is competing for or interacting with a shared resource (upon which the local community is dependent, either directly or indirectly), and active measures are not being taken to address these impacts of competition for the resources,
		OR – The majority of the seafood produced by the fishery/farm is not retained for local consumption, or the country or community in question is food/nutrition insecure (i.e., based on the percentage of the population undernourished or FIES, respectively), and active measures are not being taken to address these impacts.

Number	Risk Level	Data Collection Point
SRA3.1.1a D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
	Definitions and guidance	If there is no publicly available data on food security in the region, assessors should collect these data by including the FIES questions in interviews with adjacent communities.
SRA3.1.1a D.2	Medium	AND – The fishery/farm operates near a resource-dependent community or is competing for or interacting with a shared resource (upon which the local community is dependent, either directly or indirectly), but active measures are being taken to address these impacts of competition for the resources,
	Definitions and guidance	If there is no publicly available data on food security in the region, assessors should collect these data by including the FIES questions in interviews with adjacent communities. The fishery/farm is considering “interacting” with the same resource if the operation creates a limit on access to a shared resource, even if they are not directly utilizing that shared good. - For fishing operations, this may mean fishing on the same stock(s) either intentionally as target species or unintentionally as by catch species, fishing that impacts a shared habitat or ecosystem (e.g., through destructive gear or ecosystem impacts of overfishing), or fishing that physically displaces the resource-dependent community (e.g., through gear destruction or occupation of physical space). - For marine aquaculture (coastal or offshore), this may mean impacts on a wild species, habitat, or ecosystem (e.g., escapees introducing disease, mating, or competing with wild species, effluents and pollutants impacting nearby habitats and ecosystems). - For inshore aquaculture operations, this may mean activities that indirectly affect shared goods outside the farm itself (e.g., negative impacts on the watershed including downstream marine ecosystems).

Number	Risk Level	Data Collection Point
SRA3.1.1a D.2	Medium	OR – The majority of the seafood produced by the fishery/farm is not retained for local consumption, or the country or community in question is food/nutrition insecure (i.e., based on the percentage of the population undernourished or FIES, respectively), but active measures are being taken to address these impacts.
	Definitions and guidance	Food insecure country: A country with a Serious, Alarming, or Extremely Alarming rating on the International Food Policy Research Institute's Global Health Index. Country-level food and nutrition insecurity indicator (Undernourishment Indicator): Measures the share of the population which has a caloric (dietary energy) intake which is insufficient to meet the minimum energy requirements defined as necessary for a given population (UN FAO State of Food Security and Nutrition in the World: www.fao.org/state-of-food-security-nutrition/en). Community-level food and nutrition insecurity indicator (Food Insecurity Experience Scale (FIES)): A list of eight questions referring to the experiences of an individual or household associated with ncreasing difficulties in accessing food due to resource constraints (UN FAO: www.fao.org/in-action/voices-of-the-hungry/fies/en). During the last 12 months, was there a time when, because of lack of money or other resources: 1. You were worried you would not have enough food to eat? 2. You were unable to eat healthy and nutritious food? 3. You ate only a few kinds of foods? 4. You had to skip a meal? 5. You ate less than you thought you should? 6. Your household ran out of food? 7. You were hungry but did not eat? 8. You went without eating for a whole day?
SRA3.1.1a D.3	Low	The fishery/farm is not operating near a resource-dependent community or competing for or interacting with a shared resource (upon which the local community is dependent, either directly or indirectly), OR – The majority of the seafood produced by the fishery/farm is retained for local consumption, and the country or community in question is not food/nutrition insecure (i.e., based on percentage of the population undernourished or FIES, respectively).

Indicator 3.1.1b:

Food and nutrition security for small-scale fishing and smallholder farming communities



Number	Risk Level	Data Collection Point
SRA3.1.1b D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR - The country is food/nutrition insecure (i.e., based on percentage of the population undernourished), or a recent participatory local food and nutrition security assessment has found moderate to high risk of food/nutrition insecurity,
		OR - International or export trade agreements which affect the fishery/farm have resulted in food/nutrition insecurity for workers, their families, or community members,
		OR - A participatory local food and nutrition security assessment (i.e., FIES or MDDI-W) has found food/nutrition insecurity impacts due to the fishery/farm (i.e., lack of access to shared resources for subsistence purposes) and active measures are not being taken to address these impacts.
SRA3.1.1b D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
	Definitions and guidance	If there are no publicly available data on food security in the region, assessors should collect these data by including the FIES questions in interviews with workers and members of their community.

Number	Risk Level	Data Collection Point
SRA3.1.1b D.2	Medium	AND – The country is food/nutrition secure (i.e., based on percentage of the population undernourished), or a recent participatory local food and nutrition security assessment has found low to moderate risk of food/nutrition insecurity,
	Definitions and guidance	Assessors should initially look for secondary research regarding food security in the country, ideally with specifications regarding rural communities compared to urban, and in some cases, regional evaluations may be available. From there, if there is a lack of data in the communities from which the fishers/farmers in scope of the assessment reside, the assessor should plan to collect primary data on food security. See the SRA Implementation Guide for examples of questions to include in interviews regarding food security.
SRA3.1.1b D.3	Medium	AND – International or export trade agreements which affect the fishery/farm have not resulted in food/nutrition insecurity for workers, their families, or community members,
	Definitions and guidance	Assessors should be reviewing potential impact on workers within the Unit of Assessment.
	Medium	OR – A participatory local food and nutrition security assessment (i.e., FIES or MDDI-W) has found food/nutrition insecurity impacts due to the fishery/farm (i.e., lack of access to shared resources for subsistence purposes) but active measures are being taken to address these impacts.
	Definitions and guidance	See Data Collection Point 3.1.1a D.2 for guidance on FIES. Gender-specific food and nutrition insecurity indicator (Minimum Dietary Diversity Indicator for Women of Reproductive Age (MDDI-W)): A food group diversity indicator that has been shown to reflect micronutrient adequacy, summarized across 11 micronutrients, for women of reproductive age who are often nutritionally vulnerable because of the physiological demands of pregnancy and lactation (UN FAO: www.fao.org/3/a-i5486e.pdf).

Number	Risk Level	Data Collection Point
SRA3.1.1b D.4	Low	There is no food/nutrition insecurity among workers and their families, nor among community members adjacent to a fishery/farm (i.e., based on FIES or MDDI-W),
		OR - Where food/nutrition insecurity has been found among resource-dependent communities (i.e., based on FIES or MDDI-W), local data show improving food/nutrition security factors (i.e., increasing access to shared resources for subsistence purposes),
	Definitions and guidance	If there are no secondary data sources that can demonstrate improvements to food and nutrition security, the assessor should collect data during the assessment to evaluate within the UoA (under Data Collection Point 3.1.1b D.2), however, that would imply there is a lack of data to conclude whether or not food and nutrition security had improved, therefore until a subsequent assessment, this should be marked as not met. If included in an action plan, the assessor should devise a plan to re-evaluate on a regular basis to evaluate if improvements are being made.
SRA3.1.1b D.5	Low	AND - There are programs in place to ensure international or export trade agreements which affect the fishery/farm do not result in food/nutrition insecurity for workers, their families, or community members.
	Definitions and guidance	Assessors should be reviewing potential impact on workers within the Unit of Assessment.

Indicator 3.1.2: Healthcare²⁹

When looking into the potential impacts production has on workers and their communities, it is important to better understand broader effects that may be connected directly and indirectly. Access to healthcare is a critical component to the wellbeing of those included in the Unit of Assessment and their communities which are reliant on the fishing and aquaculture sector. This Risk Indicator is inherently linked to Risk Indicator 1.1.11: Medical response, as beyond what is provided in the workplace, the accessibility and quality of medical care in the community is also going to improve outcomes for workers, but also their families. Desk research serves and the initial data collection input for this indicator, whereby assessors will evaluate government policies and programs to address healthcare issues in the communities and will also review available data on the quality and accessibility of healthcare. Onsite, the assessment team will seek to understand how the contextual information relates to the Unit of Assessment, and whether or not the fishing or farming communities are facing unique healthcare needs.

²⁹Criteria on healthcare are derived from FTUSA, SFP 2016, and the World Health Organization (WHO).



Number	Risk Level	Data Collection Point
SRA3.1.2 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – The community’s (adjacent to fishery/farm) healthcare needs have not been assessed,
		OR – There are no indications resources are being invested to address any needs identified.
SRA3.1.2 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA3.1.2 D.2	Medium	AND – The community’s (adjacent to fishery/farm) healthcare needs have been assessed,
	Definitions and guidance	The needs here should also be assessed in conjunction with medical response (Indicator 1.1.11). In small-scale fishing communities or smallholder farms, it is common that medical response can be far away and/or inadequate to handle medical emergencies. Often this is a broader community issue. Assessors should evaluate topics such as ambulance response times, distance of emergency units from landing sites or farms, and the degree of sophistication of the closest healthcare facilities to validate if they are suited for accidents sustained at work (e.g., a hyperbaric chamber for dive fishers) or elsewhere. It is recommended to review materials provided by local governments on healthcare needs as this can be met if there are governmental programs supporting healthcare needs.
SRA3.1.2 D.3	Medium	AND – There are indications resources are being invested to address any needs identified.
	Definitions and guidance	This can be evaluated at the governmental level, and includes project implementation documents such as contracts, receipts, and financial records.

Number	Risk Level	Data Collection Point
SRA3.1.2 D.4	Low	The community's (adjacent to fishery/farm) healthcare needs have been assessed, and resources are being invested to address any needs uncovered,
	Definitions and guidance	It is recommended to review materials provided by local governments on healthcare needs as this can be met if there are governmental programs supporting healthcare needs.
SRA3.1.2 D.5	Low	AND - Women have adequate access to reproductive healthcare including family planning, pre- and post-natal, and maternal care,
	Definitions and guidance	This can be validated according to governmental programs; however, it is also essential to collect primary data with female fishers/farmers/workers and community members.
SRA3.1.2 D.6	Low	AND - Local data show improving healthcare or healthcare needs are being met.

Indicator 3.1.3: Education³⁰

Similar to the Risk Indicator on healthcare, understanding a community's educational needs is an important factor to consider. First, education can unlock outcomes for children to either seek economic benefits elsewhere and reinvest in the community or develop the knowledge to address community needs on their own and contribute to the local economy. Most importantly, however, accessibility of education in a community can have a correlation to child labor, as those that struggle to access the educational system may be drawn to entering the workforce prematurely. Desk review will serve as the first point of data collection for this indicator, with the assessment team reviewing government policies and programs regarding education and reviewing available data regarding enrollment rates and literacy rates between boys and girls. Onsite, the assessment team will collect data to understand the accessibility of education within the fishing or farming community and identify any barriers that may affect enrollment and completion of compulsory education.

³⁰Criteria on education are derived from FTUSA, SFP 2016, and UNESCO Education Indicators.



Number	Risk Level	Data Collection Point
SRA3.1.3 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR - Children in the community that comprises the Unit of Assessment do not have access to commensurate standard education through secondary level education,
		OR - The community lacks sufficient access to standard education, and access needs have not been identified,
		OR - Girls and boys have different rates of educational attainment.
SRA3.1.3 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA3.1.3 D.2	Medium	AND - Children in the community that comprises the Unit of Assessment have access to commensurate standard education through secondary level education,
	Definitions and guidance	OR - The community lacks sufficient access to standard education, but access needs have been identified, It is important for an assessor to evaluate this Indicator along with Indicator 1.1.5. Children may be lacking access to education because they are working due to financial circumstances in the community or their family. If there is evidence of child labor, this should be considered as an access issue related to education.
SRA3.1.3 D.3	Medium	AND - The community (adjacent to fishery/farm) has adequate literacy (literacy rate among youth aged 15-24 is 90% or more) and schooling rates (less than 10% of primary school-age children are out of school),
	Definitions and guidance	Secondary data should be collected for the country, and if the community is in a rural area, data should be validated for rural settings (e.g., UNICEF data are available online). To validate within the fishing/farming community, fishers/farmers who are interviewed should be asked about their children's education and literacy, and community interviews should serve to validate this information. While the SRA is not intended to be a wholistic study on literacy rates, it is important to capture data during the onsite assessment.

Number	Risk Level	Data Collection Point
SRA3.1.3 D.4	Medium	AND – Girls and boys do not have different rates of educational attainment.
SRA3.1.3 D.5	Low	Community access needs for standard education have been identified, and resources are being invested to address any needs uncovered,
SRA3.1.3 D.6	Low	AND – There is universal access to standard education for children through secondary school, via remote learning where relevant, or voluntary access to a technical school, or university.
	Definitions and guidance	Secondary school typically covers mid-level grades, commonly grades 6–9, and can also include high school, grades 9–12. This is not universal, and each country has their own specifications. Note, not all secondary schooling is considered compulsory education and it is common that compulsory schooling ends by age 14–16. Compulsory education is the number of years that children are legally required to be in school (UNESCO). This data point is understanding the availability of voluntary higher education for children of community members.

Indicator 3.1.4:

Access to basic services for small - scale fishing and smallholder

The overall wellbeing of the individuals within the Unit of Assessment and the communities from which they are from will be reflective of their overall access to services within the community. Potable water, electricity, sewage, and waste management are all signs of a developing community, and can be an indicator that the benefits of the economy generated by the Unit of Assessment are being held within the community to invest in these basic services. The assessment team will collect data mainly through interviews with workers about their communities, but will also collect data via direct observation, visiting the local community and talking to other community members.



Number	Risk Level	Data Collection Point
SRA3.1.4 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR - There is no access to potable water in the community,
		OR - There is no access to electricity intermittently,
		OR - There is no access to sewage disposal (i.e., sewage containers),
		OR - There is no access to waste disposal (i.e., community dump).
SRA3.1.4 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA3.1.4 D.2	Medium	AND - There is access to potable water in the community,
SRA3.1.4 D.3	Medium	AND - There is access to electricity intermittently,
SRA3.1.4 D.4	Medium	AND - There is access to sewage disposal (i.e., sewage containers),
SRA3.1.4 D.5	Medium	AND - There is access to waste disposal (i.e., community dump).

Number	Risk Level	Data Collection Point
SRA3.1.4 D.6	Low	There is access to potable water in each household,
SRA3.1.4 D.7	Low	AND – There is continuous access to electricity,
SRA3.1.4 D.8	Low	AND – There is access to sewage treatment (i.e., community treatment systems),
SRA3.1.4 D.9	Low	AND – There is access to a waste management system (i.e., garbage collection and sorting of recycled materials).

Component 3.2

Livelihood opportunities are secured or improved, including fair access to markets and capabilities to maintain income generation.

Risk indicators in this component

- 3.2.1 Benefits to and within the community
- 3.2.2 Livelihood security



Indicator 3.2.1: Benefits to and within the community³¹

In 2022, the fishing and aquaculture sectors generated 452 billion dollars at the point of first sale, 38% of which enters the international market ([FAO 2024](#)). Fisheries and aquaculture farms lie at the very beginning of the supply chain and are the main economic driver for many coastal communities, with the sectors employing an estimated 62.8 billion people at the primary production level alone (FAO 2024). That does not include secondary and ancillary economic benefits generated from seafood production, which can bring even more employment opportunities and economic benefits to these communities. However, in some regions, the presence of increasing export markets and accelerated development from foreign investors can mean that although seafood production is generating benefits, very little may be retained locally, and the increased economic activity may actually have negative impacts on local communities. Under the SRA, the assessment team will collect data to understand the economic effects of the seafood sector on a community, and whether it drives development and economic benefits for local communities, or if those benefits are retained elsewhere, leaving potential negative impact on the communities.

³¹Criteria on benefits to and within communities are derived from FTUSA, Thai GAP, and IPNLF.



Number	Risk Level	Data Collection Point
SRA3.2.1 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR – People from within the community do not hold use rights (e.g., fishing license, quota, concession or land tenure) and cannot own and/or access assets (e.g., infrastructure, including vessels, farms, and processing facilities),
		OR – Consideration is not paid to hiring the local workforce. In the case of industrial fisheries/farms/processing facilities, a portion of the labor positions are not occupied by the local workforce.
SRA3.2.1 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA3.2.1 D.2	Medium	AND – People from within the community hold at least some use rights (e.g., fishing license, quota, concession or land tenure) and own and/or can access assets (e.g., infrastructure, including vessels, farms, and processing facilities),
SRA3.2.1 D.3	Medium	AND – Consideration is paid to hiring the local workforce. In the case of industrial fisheries/farms/processing facilities, a portion of the labor positions are occupied by the local workforce.
SRA3.2.1 D.4	Low	The majority of labor positions (pre-harvest, harvest, and post-harvest activities) are comprised of the local workforce,
SRA3.2.1 D.5	Low	AND – The majority of people from within the community hold use rights (e.g., fishing license, quota, concession or land tenure) and own and/or can access assets (e.g., infrastructure, including vessels, farms, and processing facilities),
SRA3.2.1 D.6	Low	AND – Majority of livelihoods and economic benefits from fishery/farm/facility are distributed and retained locally,
SRA3.2.1 D.7	Low	AND – There are high employment rates of women in local jobs created by fishery/farm/facility,
SRA3.2.1 D.8	Low	AND – If fishing or aquaculture production is an economic driver for the community, there are capacity building opportunities for community members to participate in fishing or aquaculture activities, including women.

Indicator 3.2.2: **Livelihood security**

A livelihood comprises the capabilities, assets (including both material and social resources, such as access to healthcare and education), and activities required for a means of living. A livelihood is considered sustainable when it can cope with and recover from stressors and shocks and maintain or enhance its capabilities and assets both now and in the future, without undermining the natural resources on which it relies. Livelihood security refers to the absence of objective threats to livelihood preservation and/or subjective fears that livelihood preservation may be undermined. It requires maintaining the conditions under which each livelihood group can live from their activities. Fishing and aquaculture are the primary source of income of many communities, creating an inherent link between the earning potential of the fishery or farm, and the income of fishers and farmers. There can be many issues that can affect the ability for fishers and farmers to earn from fishing and farming, including competition with industrial and foreign actors, depleting resources, volatility, lack of licenses, registration, or land title, and limited access to affordable production inputs. Furthermore, seafood production can in many cases be the main driver for income flowing into the community as a contributor to healthcare, education, and basic services, therefore ensuring the long-term viability of the sector for future generations, as well as identifying alternative livelihoods, are critical to uphold these communities in the long term.



Number	Risk Level	Data Collection Point
SRA3.2.2 D.0	High	There are no reliable and transparent data available, or the assessment team is not able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
		OR - Workers do not operate under a license(s), are not recognized as part of the formal sector, or do not hold legally recognized land tenure/access rights,
		OR - Workers do not have harvesting access (formally or informally) to more than one species/species group,
		OR - Workers do not have access to fishing/farming gear needed to fulfill livelihood responsibilities (e.g., ice, engines, boats, gear, fuel, bait, etc.),
		OR - Workers, or someone in their household, do not have alternative livelihoods outside of the fishery/farm,
		OR - The average age of workers does not align with the average age of the overall workforce within the country, or new fishers/farmers/workers are not joining the workforce,
		OR - Workers have to work excessive hours that may compromise their safety.
SRA3.2.2 D.1	Medium	There are reliable and transparent data available, or the assessment team is able to collect primary data through observation, surveys, document review and/or interviews in a manner safe for the assessment team or affected workers,
SRA3.2.2 D.2	Medium	AND - Workers operate under a license(s), are recognized as part of the formal sector, or hold legally recognized land tenure/access rights,
	Definitions and guidance	Being part of the 'formal' sector typically protects workers' rights under the law and enables them to access social security. In small-scale fisheries and on smallholder farms, it is common that these workers fall out of scope of the formal sector and are not guaranteed pay rates or protections under the law.

Number	Risk Level	Data Collection Point
SRA3.2.2 D.3	Medium	AND - Workers have harvesting access (formally or informally) to more than one species/species group,
	Definitions and guidance	This may not be applicable to aquaculture operations where additional species represent more of a cost than a benefit. Formal harvest access may be in the form of licensing, registration, quotas, or other legislated harvest control measures. Informal harvest access may include customary use claims or physical access to ports/landing sites.
SRA3.2.2 D.4	Medium	AND - Workers have access to fishing/farming gear needed to fulfill livelihood responsibilities (e.g., ice, engines, boats, gear, fuel, bait, etc.),
SRA3.2.2 D.5	Medium	AND - Workers, or someone in their household, have alternative livelihoods outside of the fishery/farm,
SRA3.2.2 D.6	Medium	AND - The average age of workers aligns with the average age of the overall workforce within the country, and new fishers/farmers/workers are joining the workforce,
SRA3.2.2 D.7	Medium	AND - Workers do not have to work excessive hours that may compromise their safety.
	Definitions and guidance	In the fishing sector, due to depleted stocks, fishers may cite having to fish for longer hours or venture further out to sea to catch enough to bring home sufficient income for their families. This poses a safety risk, especially on single-handed vessels. Catch per unit effort may be useful to review to look at changes over time. In the aquaculture sector, farms that are barely meeting production costs may choose to cut costs on labor and/or safety equipment, causing farm owners or workers to work longer hours and do riskier work, compromising their safety.

Number	Risk Level	Data Collection Point
SRA3.2.2 D.8	Low	Male and female workers have formal (legal) access to a portfolio of species/species groups and gear types.
	Definitions and guidance	This may not be applicable to aquaculture operations where additional species represent more of a cost than a benefit. This includes access for any gender minority groups.
SRA3.2.2 D.9	Low	AND – Formalized training is provided to fishers/farmers on how to add value to their product,
SRA3.2.2 D.10	Low	AND – Male and female workers have ownership over their fishing/aquaculture gear (e.g., ice, engines, boats, gear, fuel, bait etc.), or have legally recognized land tenure needed to fulfill livelihood responsibilities,
	Definitions and guidance	This includes access for any gender minority groups.
SRA3.2.2 D.11	Low	AND – New workers including women are being recruited into the workforce,
SRA3.2.2 D.12	Low	AND – Women are increasingly taking leadership roles in the supply chain and fishing/aquaculture communities,
SRA3.2.2 D.13	Low	AND – Workers have access to professional development training or capacity building either inside the fishery/farm or outside (in alternative livelihoods).
	Definitions and guidance	This can include value-add processes, financial literacy, negotiation/business, etc.

Glossary

Affected stakeholder: Someone who will experience consequences by the decision made (fisher/farmer/worker, community member, women, minorities, etc.).

Audit: A formal examination to verify an activity, process, or system, either on its own or as a means to achieve a certification. Typically conducted by an independent third-party, the methodology often includes a checklist of minimum standards that must be upheld in order to ‘pass’ and thus lead to either a certificate and/or ability to use accompanying claims.

Automatic identification system (AIS): transmits a vessel’s position mainly for safety purposes, such as other vessels being aware of its position for safe navigation. The International Maritime Organization (IMO) requires large ships, including many commercial fishing vessels, to use AIS to avoid collisions (Global Fishing Watch).

Basic standards: Accommodation on board fishing vessels that fly its flag shall be of sufficient size and quality and appropriately equipped for the service of the vessel and the length of time fishers live on board. In particular, such measures shall address, as appropriate, the following issues: (a) approval of plans for the construction or modification of fishing vessels in respect of accommodation; (b) maintenance of accommodation and galley spaces with due regard to hygiene and overall safe, healthy and comfortable conditions; (c) ventilation, heating, cooling and lighting; (d) mitigation of excessive noise and vibration; (e) location, size, construction materials, furnishing and equipping of sleeping rooms, mess rooms and other accommodation spaces; (f) sanitary facilities, including toilets and washing facilities with adequate privacy, and supply of sufficient hot and cold water; and (g) procedures for responding to

complaints concerning accommodation that does not meet the requirements of this Convention (ILO 2007).

Benefits: Benefits in fisheries or aquaculture supply chains may include access to rights, profits, medical care, social security, markets, loans, credits, subsidies, and social protection measures, among other things.

Blacklisting: Denying people employment for a particular reason, such as political affiliation, involvement in trade union activity, or a history of whistleblowing.

Captain: (*syn: skipper*) The individual having command of a fishing vessel. The captain may or may not also own the vessel. When they do not own the vessel, captains are considered ‘workers’, as per the definition in the SRA.

Child: Every human being below the age of eighteen years unless under the law applicable to the child, majority is attained earlier (UN Convention on the Rights of the Child).

Child labor: Work that is inappropriate for a child’s age, affects their education, or, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children (e.g., heavy lifting disproportionate to a person’s body size, operating heavy machinery, using dangerous equipment, night work).

Collective bargaining: All negotiations which take place between an employer, a group of employers or one or more employers’ organizations,

on the one hand, and one or more workers' organizations, on the other, for determining working conditions and terms of employment; and/or regulating relations between employers and workers; and/or regulating relations between employers or their organizations and a workers' organization or workers' organizations (ILO C154).

Co-management: A partnership arrangement in which government, the community of fishermen, external agents (non-governmental organizations, research institutions), and sometimes other fisheries and coastal resource stakeholders (vessel owners, fish traders, credit agencies or money lenders, tourism industry, etc.) share the responsibility and authority for decision-making over the management of a fishery (FTUSA).

Community: A community may comprise a defined group or multiple groups living in the same place working in the fishing/aquaculture/seafood processing sectors. However, within the SRA, a community is not only a spatially bound, homogenous, and organized social unit, as many fishing and farming dependent communities are migrant, nomadic, and/or temporary. Likewise, we recognize the complexity occurring within communities across gender, ethnicity, class, political, and religious status, resulting in differential access to benefits from the fishing and aquaculture sectors.

Customary rights: Refers to patterns of long-standing community land and resource usage in accordance with Indigenous Peoples' and local communities' customary laws, values, customs, and traditions, rather than formal legal title to land and resources issued by the State³².

Customary users: An individual or community who has customary rights.

Debt bondage: Status or condition arising from a pledge by a debtor of their personal services or of those of a person under their control as security for a debt if the value of those services as reasonably assessed is not applied toward

the liquidation of the debt or the length and nature of those services are not respectively limited and defined (ILO Supplementary Convention on the Abolition of Slavery, 1956).

Discrimination: Any distinction, exclusion, or preference made on the basis of race, color, gender, religion, political opinion, immigration status, national extraction, disability, family responsibilities, sexual orientation, HIV/AIDS status, trade union membership, trade union activities, or social origin, which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation.

Employed: Working for another party for payment of any kind. This includes indirect employment, for instance individuals helping an employed worker contribute to productivity earnings and working for in-kind (non-cash) payment. A child working alongside their relative (paid or unpaid) is indirectly employed if that relative is employed. If the relative is not employed, (i.e., is self-employed), a child working alongside that relative is not considered employed.

Employer Pays Principle: No worker should pay for a job – the costs of recruitment should be borne not by the worker but by the employer (IHBR).

Equal remuneration: Rates of remuneration established without discrimination based on gender, where remuneration refers to the ordinary, basic or minimum wage or salary and any additional emoluments whatsoever payable directly or indirectly, whether in cash or in kind, by the employer to the worker and arising out of the worker's employment (ILO C100).

Equality: The same status, rights, and responsibilities for all members of a society, group, or family; giving everyone the same resources regardless of their relative ability to benefit.

³²Definition based on UN-REDD: [Customary rights | UNREDD Programme \(un-redd.org\)](https://www.un-redd.org/)

Equity: An equal opportunity to benefit; giving everyone the resources they need to derive the same benefits, dependent on their relative ability to benefit.

Farm owner: An individual or legal entity who owns, either legally or through customary access rights, the plot of land and/or access rights and is responsible for the conditions of the farm. Farm owners are typically the employer or contractor of any workers hired to work on the farm. In some cases, a farm owner may not hire any labor other than family.

Fish: A collective term that includes any species or sub-species of aquatic (marine, freshwater and estuarine) animal or plant. Does not include mammals, seabirds, or reptiles (FTUSA).

Food and nutrition security: When all people at all times have physical, social and economic access to food, which is consumed in sufficient quantity and quality to meet their dietary needs and food preferences, and is supported by an environment of adequate sanitation, health services and care, allowing for a healthy and active life (FAO 2013), in consideration of differences in nutritional requirements for women and children.

Suggested indicators used to complete this assessment:

Country-level food and nutrition insecurity indicator

(Undernourishment Indicator): Measures the share of the population which has a caloric (dietary energy) intake which is insufficient to meet the minimum energy requirements defined as necessary for a given population (UN FAO State of Food Security and Nutrition in the World: www.fao.org/state-of-food-security-nutrition/en).

Community-level food and nutrition insecurity indicator (Food Insecurity

Experience Scale (FIES)): A list of eight questions referring to the experiences of an individual or household associated with increasing difficulties in accessing food due to resource constraints

(UN FAO: www.fao.org/inaction/voices-of-the-hungry/fies/en). During the last 12 months, was there a time when, because of lack of money or other resources:

1. You were worried you would not have enough food to eat?
2. You were unable to eat healthy and nutritious food?
3. You ate only a few kinds of foods?
4. You had to skip a meal?
5. You ate less than you thought you should?
6. Your household ran out of food?
7. You were hungry but did not eat?
8. You went without eating for a whole day?

Gender-specific food and nutrition insecurity indicator (Minimum Dietary Diversity Indicator for Women of Reproductive Age (MDDI-W)): A food group diversity indicator that has been shown to reflect micronutrient adequacy, summarized across 11 micronutrients, for women of reproductive age who are often nutritionally vulnerable because of the physiological demands of pregnancy and lactation (UN FAO: www.fao.org/3/a-i5486e.pdf)

Food insecure country: A country with a Serious, Alarming, or Extremely Alarming rating on the International Food Policy Research Institute's Global Health Index.

Forced labor: (syn: compulsory labor) All work or service which is exacted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily. "Penalty" can imply monetary sanctions, physical punishment, intimidation, or punishment of family members, or the loss of rights and privileges or restriction of movement (e.g., withholding of identity documents) (ILO C29).

Force majeure: An event or effect that cannot be reasonably anticipated or controlled (such as natural disasters or the outbreak of hostilities).

Freedom of association: The right to establish and join organizations of one's own choosing without previous authorization, and to draw up constitutions and rules, to elect representatives in full freedom, to organize administration and activities, and to formulate programs, without interference (ILO C87 & C98).

Free, Prior, and Informed Consent: (Declaration on the Rights of Indigenous Peoples 2007)

Free: There is no coercion, duress, fraud, bribery, intimidation or manipulation.

Prior: Consent is to be sought sufficiently in advance of any significant planning, authorization or commencement of activities, and each decision-making stage, and respect is shown to time requirements of Indigenous consultation/consensus processes.

Informed: Information is provided, in appropriate language and format, that covers a range of aspects, including the nature, size, pace, reversibility and scope of any proposed project or activity; the purpose of the project as well as its duration; locality and areas affected; a preliminary assessment of the likely economic, social, cultural and environmental impact, including potential risks; personnel likely to be involved in the execution of the project; procedures the project may entail; and Indigenous rights under domestic and national law. All information must be provided free from external manipulation and with sufficient time for review and decision-making in accordance with the laws and customs of the affected Indigenous people. This process may include the option of withholding consent. Communities must be allowed to withhold consent. Consultation and participation are crucial components of a consent process.

Gender: Refers to socially constructed norms and roles along a continuum.

Gender-based violence: Violence directed against a person because of their gender. Any person regardless of gender may experience gender-based violence, however, the majority of victims are women and girls as gender-based violence is often rooted in power inequality between women and men.

Gender transformative: An approach or practice where gender equality—the shared control of resources and decision-making—and women's empowerment are central to the intervention.

Gender transformative programming: Policies and programs that seek to transform gender relations to promote equality. This approach attempts to promote gender equality by:

- 1) fostering critical examination of inequalities and gender roles, norms and dynamics,
- 2) recognizing and strengthening positive norms that support equality and an enabling environment,
- 3) promoting the relative position of women, girls and marginalized groups, and transforming the underlying social structures, policies and broadly held social norms that perpetuate gender inequalities.

Governance: The process by which decisions are made by a group, whether that's government, a company, or a cooperative or association

Grievance: A circumstance or condition that constitutes an injustice to the sufferer and gives just ground for complaint.

Grievance mechanism: A formal, legal or non-legal (or 'judicial/non-judicial') complaint process that can be used by individuals, workers, communities and/or civil society organizations that are being negatively affected by certain business activities and operations (SOMO).

Hazardous child labor: Work which exposes children to physical, psychological or sexual abuse; work underground, under water, at dangerous heights or in confined spaces; work with dangerous machinery, equipment and tools, or which involves the manual handling or transport of heavy loads; work in an unhealthy environment which may, for example, expose children to hazardous substances, agents or processes, or to temperatures, noise levels, or vibrations damaging to their health; work under particularly difficult conditions such as work for long hours or during the night or work where the child is unreasonably confined to the premises of the employer (ILO C182).

Human trafficking: The recruitment, transportation, harboring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation (UN Trafficking Protocol 2000).

Inclusive governance: The process by which an organization, institution, business, or government meaningfully involves all demographic groups who may be affected by the decisions it makes or in other governance activities (e.g., decision making, monitoring, enforcement, conflict resolution).

Individually operating vessels: Vessels that are not part of a larger business operation. Decisions made on these types of vessels will only apply to crew on board. Note this is distinct from single-handed vessels.

Labor recruiter: Refers to both public employment services and to private employment agencies and all other intermediaries or subagents that offer labor recruitment and placement services. Labor recruiters can take many forms, whether for profit or non-profit, or operating within, or outside legal and regulatory frameworks.

Large vessels: Vessels equal to, or greater than 24 meters (ILO C188).

Liveaboard vessels: Vessels that engage in fishing trips that last 24 hours or longer and require sleep accommodation according to ILO recommended hours of rest.

Livelihood: Comprises the capabilities, assets (including both material and social resources), and activities required for a means of living. A livelihood is considered sustainable when it can cope with and recover from stressors and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resources on which it relies.

Livelihood security: The absence of objective threats to livelihood preservation and/or subjective fears that livelihood preservation may be undermined. It requires maintaining the conditions under which each livelihood group can live from their activities.

Living wage: Remuneration received for a standard work week by a worker in a particular place sufficient to afford a decent standard of living for the worker and their family. Elements of a decent standard of living include food, water, housing, education, health care, transport, clothing, and other essential needs, including provision for unexpected events. The Global Living Wage Coalition has developed a widely accepted methodology for calculating living wage: www.globallivingwage.org/about/anker-methodology.

Long trips: Trips at sea for more than three days (ILO 2007).

Marginalized gender identities³³ :

- **Cisgender women:** Individuals whose gender identity matches their sex assigned at birth.
- **Gender queer individuals:** Those who identify with neither, both, or a combination of male and female genders.
- **Transgender individuals:** People whose gender identity differs from their sex assigned at birth.
- **Agender individuals:** Those who do not identify with any gender.
- **Non-binary individuals:** People who do not exclusively identify as male or female.
- **Gender Diverse:** Anyone who identifies outside of the traditional male-female binary or expresses their gender in ways that do not conform to societal norms. This may include people who identify as non-binary, genderqueer, agender, two-spirit, genderfluid, or any other identity beyond the binary.

Marginalized group: Historically marginalized groups are communities or populations that have been systematically excluded, oppressed, or disadvantaged due to factors such as race, ethnicity, gender, socioeconomic status, religion, disability, or sexual orientation. These groups often face structural barriers to equal opportunities in areas such as education, employment, healthcare, and political representation.³⁴

Minimum age for employment:

On-shore: 15 years of age, unless local minimum age law stipulates a higher age for work or mandatory schooling, in which case the higher age would apply. If, however, local minimum age law is set at 14 years of age in accordance with developing country exceptions under ILO convention 138, the lower age applies.

Off-shore: The minimum age for work on board a fishing vessel is 16 years of age, unless the competent authority has authorized a minimum age of 15 for persons who are (a) no longer subject to compulsory schooling as provided by national legislation, and who are engaged in vocational training in fishing or (b) performing light work during school holidays (ILO C188).

Payment-share systems: (*syn: catch share, share catch*) A method commonly used to pay crew on fishing vessels whereby the captain splits the total revenue, after costs, with crew on board based on a percentage of the total catch. This means the crew may not know their earnings until after the fishing trip.

Permanent employee: An individual that is hired on an ongoing, year-round basis or has a contract lasting 12 months or more.

Personal Protective Equipment (PPE): Equipment worn to minimize exposure to workplace injuries and illnesses that may result from contact with chemical, radiological, physical, electrical, mechanical, or other workplace hazards (US Department of Labor). It includes any item a worker needs to wear for their own protection. PPE may include but is not limited to clothing, footwear, eye protection, ear protection, gloves, masks, and personal flotation devices (FTUSA).

Piece rate: Workers are paid per unit produced.³⁵

Productive gender role: Activities related to the production of goods for consumption or trade and income generation.

³³Definitions provided by Seafood and Gender Equality (SAGE).

³⁴Definition from the Oxford Review: <https://oxford-review.com/the-oxford-review-dei-diversity-equity-and-inclusion-dictionary/historically-marginalised-groups-definition-and-explanation/>

³⁵Definition of piece rate adapted from the [ILO Minimum Wage Policy Guide \(2015\) section 1.7](#).

Recruitment fees: Any fees or costs incurred in the recruitment process in order for workers to secure employment or placement, regardless of the manner, timing or location of their imposition or collection (ILO Principles and Operational Guidelines for Fair Recruitment, 2019).

Relevant stakeholder: Anyone who has a stake in the decision made (government, businesses, NGOs).

Reproductive coercion: Behavior that interferes with the autonomous decision-making of a person who can get pregnant, with regards to reproductive health.³⁶

Reproductive gender role: Activities associated with the maintenance and reproduction of labor and continuity of the family and community.

Rightholder: A specific type of relevant stakeholder who has claims over or rights to the resource, lands or waters in question.

Self-employed: A fisher/farmer is considered self-employed if they themselves are making all decisions pertaining to vessel/farm operations. In cases where a vessel owner is not the captain, or property is being leased to a farmer, those individuals are not considered self-employed. The term 'self-employed' will commonly be applied where fishers or farmers own and operate their own vessel or farm. It can be common in fishing cooperatives for multiple self-employed fishers to embark on a fishing trip together as equal partners whereby no employer-employee relationship exists. In this case, both fishers are still considered self-employed.

Sex: Refers to a person's biological characteristics as assigned at birth.

Sexual harassment: Behavior, including gestures, language, and physical contact, that is sexually intimidating, abusive, or exploitative.

Single-handed vessel: (syn: self-employed fisher, day boat): Single-handed vessels are exclusively both owned and operated by an individual (i.e., single-handed vessels do not include crew; see definition of 'worker'). Operators of single-handed vessels are not considered employed workers,

nor do they employ anyone directly. Single-handed vessels may or may not be part of a fishing cooperative or association.

Slavery: The status or condition of a person over whom any or all of the powers attaching to the right of ownership are exercised (1926 Slavery Convention).

Small-scale fishery/smallholder farm: A broad category characterized by low-capital, low-technology, labor-intensive harvesting methods. In wild capture fisheries, trips are typically close to shore, and vessels may include up to 5-6 crew members. On farms, family ownership with no permanent workforce is a typical characteristic.

FAO's 2025 [Illuminating Hidden Harvests](#) report highlights the spectrum of characteristics found within small-scale fisheries. "The small-scale fisheries sector tends to be firmly rooted in local communities, traditions, and values. Many small-scale fishers are self-employed and usually provide fish for direct consumption within their households or communities. Women are significant participants in the sector, particularly in post-harvest and processing activities. It is estimated that about 90% of all people directly dependent on capture fisheries work in the small-scale sector. As such, small-scale fisheries serve as an economic and social engine, providing food and nutrition security, employment and other multiplier effects to local economies while underpinning the livelihoods of riparian communities" (Def. from UN FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries). Exact definitions of small-scale fisheries and smallholder farms vary based on country.

³⁶Definition sourced from [Reproductive Coercion: A Systematic Review](#) (KT Grace, 2016).

Social dialogue: All types of negotiation, consultation, or exchange of information among or between representatives of governments, workers, and employers on issues of common interest pertaining to social topics.

Stakeholder participation: The process by which an organization involves all people who may be affected by the decisions it makes.

Vessel monitoring system (VMS): tracks vessels by broadcasting positions at set intervals indicating vessel locations. Commonly restricted for use by government regulators which are not always publicly available (Global Fishing Watch).

Vessel owner: An individual or entity that holds legal title to the fishing vessel and has the right to operate, sell, or lease the vessel. Vessel owners are responsible for vessel maintenance, compliance with laws and regulations, and associated risks. Vessel owners may or may not also participate in fishing activities on board.

Worker: (syn: fisher, crew, farmer) Any full or part-time, permanent or temporary/seasonal individual employed on a fishing vessel, an aquaculture farm, or processing facility, including directly contracted workers, subcontracted workers, and those whose earnings are based on a share of the catch or production, whether or not they have a written contract. In some cases, workers may include fishing vessel captains if captains are employed by a vessel owner or fishing company (see Figure X below). Captains employed by a vessel owner or fishing company are also considered crew supervisors, in which case they are both an employee and a supervisor and should be evaluated as such (i.e., assessors should inquire as to their employment terms while also evaluating captains' accountability to uphold crew rights). Workers may be day laborers who work on different fishing vessels each trip, permanent employees working on the same fishing vessel for a longer period of time, or 'free agents' or 'freelance' workers who are

employed on a vessel or at an aquaculture farm for the duration of a specific contract or project. Workers may be hired through a labor contractor, broker, or recruiter. Within the fisheries and aquaculture sectors, workers are often part of the informal employment sector, meaning national policies may lack clear regulations regarding employment terms. Regardless of their classification legally, these individuals are considered workers under the SRA.

Worker-driven approach to supply chain governance: The democratic participation of workers and their representatives in supply chain governance in both workplace and transnational levels (when relevant). Engagement and representation at the transnational level is critical for globally traded and highly consolidated commodities such as seafood.

Worst forms of child labor: This includes any form of slavery or trafficking, the use of children in armed conflict, illicit activities, prostitution, or work that is likely to harm the health, safety, or morals of the child (ILO C182).

Young worker: Any person who has attained the minimum age for employment but is younger than 18 (or the age of legal adulthood as defined by national law, if higher). Young workers may be vulnerable to workplace health and safety risks due to lack of work experience or training.

References and Important Resources

Third Party Standards

ASC: Aquaculture Stewardship Council Salmon Standard. www.asc-aqua.org

BAP: Global Aquaculture Alliance's Best Aquaculture Practices standards for salmon farms. www.bapcertification.org

BSCI: Business Social Compliance Initiative, Code of Conduct. www.amfori.org

Clearview: Clearview Global Labour Provider. <https://www.labourproviders.org.uk/services/labour-provider-certification/>

Certification Scheme. www.clearviewassurance.com

FISH Standard. <https://fishstandard.com/>

FOTS: Friend of the Sea, Wild Sustainable Fishing Requirements. www.friendofthesea.org

FTUSA: Capture Fisheries Standard. www.fairtradecertified.org

GRASP: Global GAP Integrated Farm Assurance Aquaculture Model and Risk Assessment on Social Practice (GRASP) add-on. www.globalgap.org/uk_en

IFFO RS: Global Standard for Responsible Supply of Marine Ingredients. www.marin-trust.com

International Organization for Migration (IOM). International Recruitment Integrity System (IRIS). <https://iris.iom.int>

Marine Stewardship Council Fishery Standard. www.msc.org

Naturland: Standards for Organic Aquaculture. www.naturland.de

RFVS: Global Seafood Alliance Responsible Fishing Vessel Standard. <https://bspcertification.org/>

SFW: Monterey Bay Aquarium, Seafood Watch Standard for Fisheries. www.seafoodwatch.org

Thai GAP: "Good Aquaculture Practices for Marine Shrimp Farm" as defined by the Thai National Bureau of Agricultural

Commodity and Food Standards, Ministry of Agriculture and Cooperatives.

Risk Assessment Tools

FishSource: Sustainable Fisheries Partnership (SFP) tool which includes a human rights risk index. <https://sustainablefish.org/industry-leadership/tools-for-sustainability/fishsource/>

SSRT: Seafood Social Risk Tool (developed by Monterey Bay Aquarium, Seafish, Liberty Asia and SFP). <https://www.seafoodwatch.org/our-projects/seafood-social-risk-tool>

Verifik8: Monitoring and verification app for seafood supply chains (developed by FairAgora). www.verifik8.com

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Institute for Human Rights and Business (IHRB) Dhaka Principles

IHRB, Leadership Group for Responsible Recruitment: The Employer Pays Principle. <https://www.ihrb.org/projects/employer-pays-principle>

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- Forced Labour Convention, 1930 (No. 29)
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