Deliverable 6:

**THE SOCIAL RESPONSIBILITY ASSESSMENT TOOLKIT**

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# **ABOUT THIS DOCUMENT**

This document, developed by the Verité Southeast Asia (VSEA), is an additional resource for the users of The Social Responsibility Assessment (SRA) Tool for the Seafood Sector. It provides templates and guides to assessors, assessment teams, and other organizations and parties interested to conduct social assessments of both land-based facilities and vessels.

# SUGGESTED BASIC ASSESSMENT STEPS

Assessment Proper

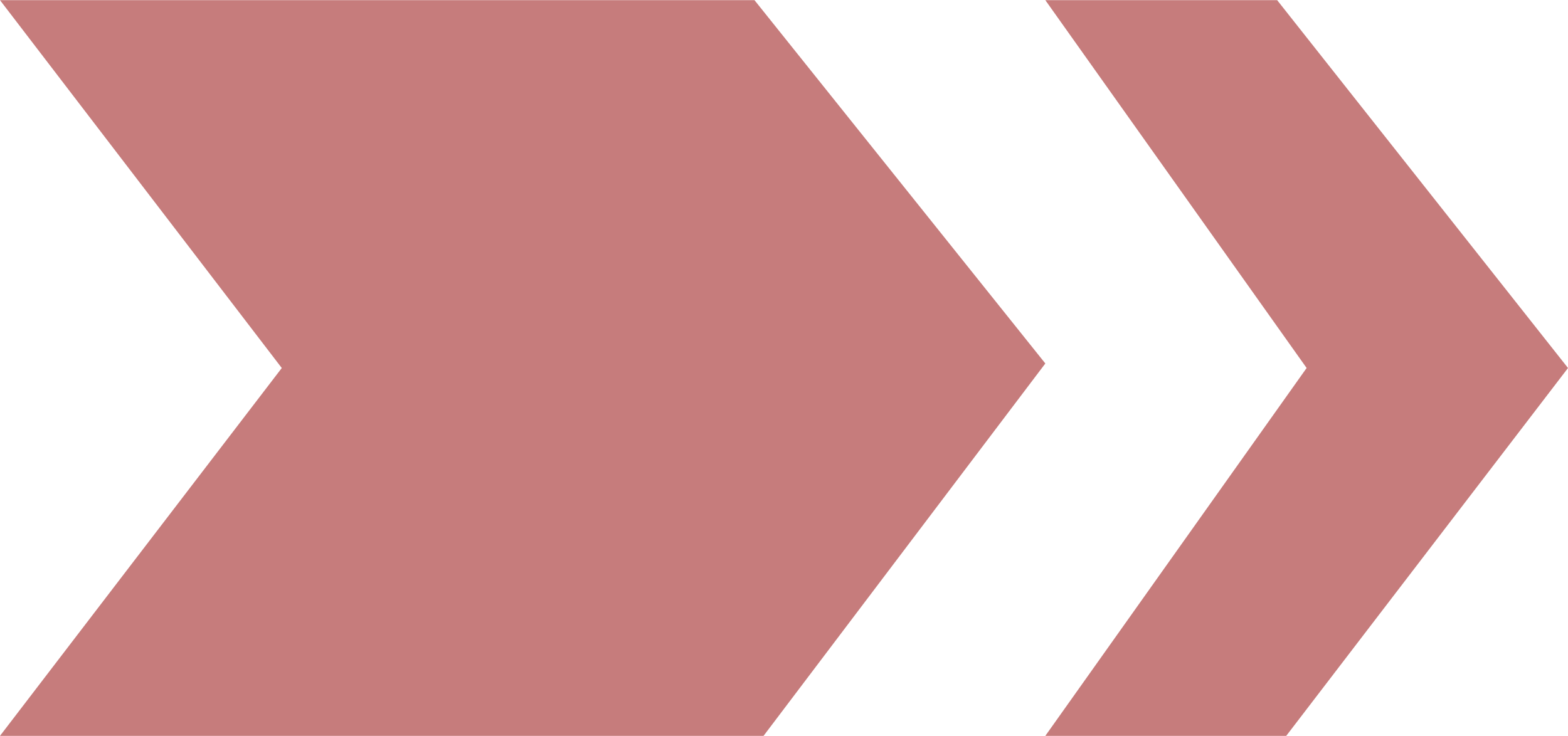
1. Conduct physical inspection of the facility/farm/vessel
2. Conduct management interview
3. Conduct worker interviews
4. Gather and review necessary documents

Determine and gather preliminary information about the Unit of Assessment (UoA)

Conduct a desk-based research of applicable laws and regulations; and a macro risk assessment of the areas covered; prepare the resources needed for the onsite assessment process

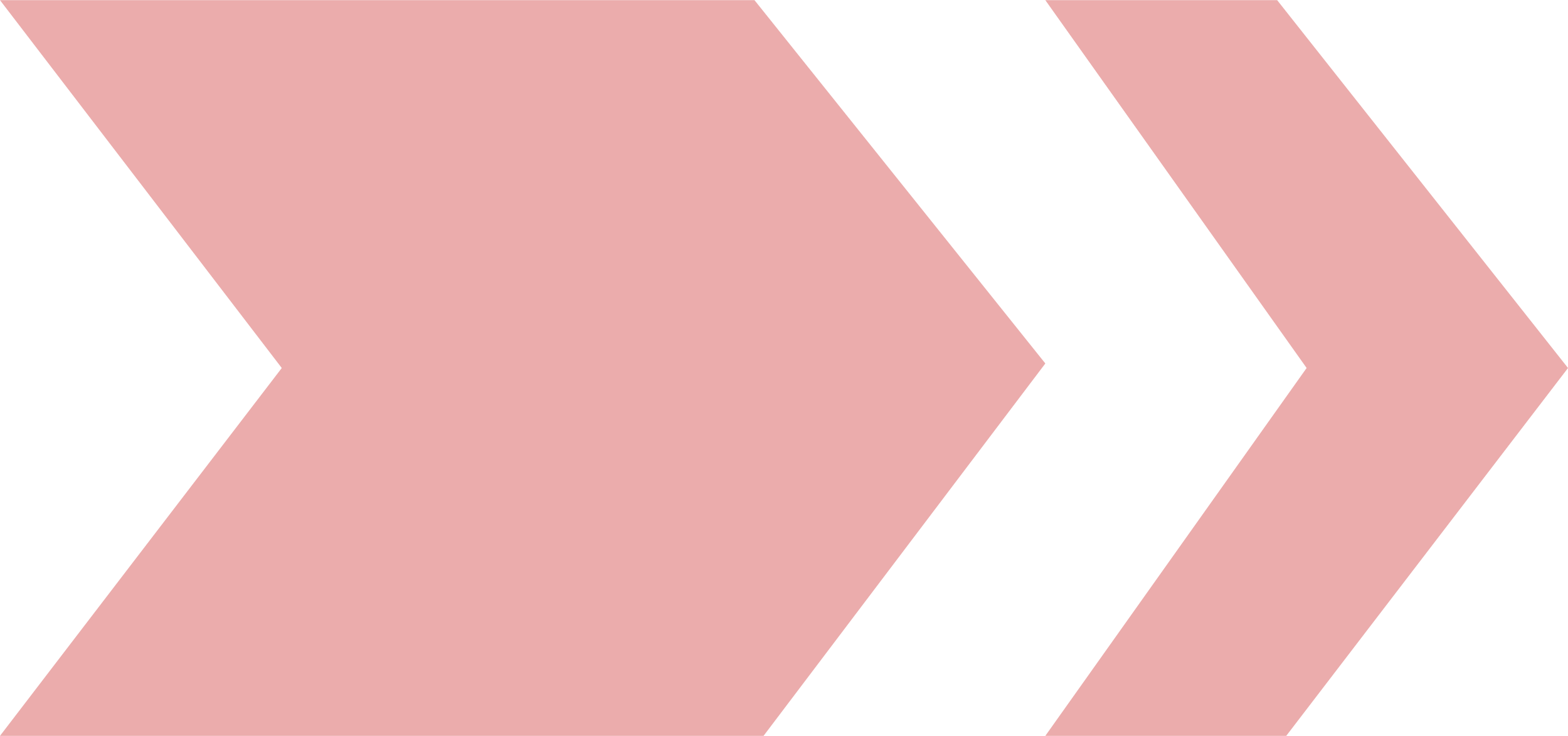


**1**



**2**

Analyze data collected



**3**

STEPS

Section 1: Pre-Assessment Form for UoA

Section 2.A: Guide or tool for physical inspection of the UoA

Section 2.B: Interview guides

Section 3: Documents review guide

DOCUMENTS

# PRE-ASSESSMENT FORM FOR THE UNIT OF ASSESSMENT (UOA)

|  |
| --- |
| * The pre-assessment form should be filled out by either the nominating entity or the company that will be assessed. * This form provides the assessor information on the general profile of the UoA, and overview of its business operations and processes, as well as the profile of their workers. Gathering these ahead of the assessment proper will help the assessment team flag potential risk areas, gather additional information on legal and regulatory contexts, and identify which questions in the tools or guides will be applicable to the UoA, and if necessary, develop additional questions. * In addition, gathering practical information about the UoA will also assist the assessor in the logistical preparations of the assessment. * In this form, those in gray boxes are questions for vessels, and those uncolored cells can be answered by both land-based or sea-based UoAs. |

*Note: Those in gray boxes are for sea-based UoAs only, e.g., fishing vessels or transport vessels. If the UoA is a land-based facility or farm, those questions can be skipped.*

|  |  |
| --- | --- |
| UoA TYPE AND ACTIVITY | **Vessel**  Fishing vessel  Transport vessel  Other, please specify: |
|  | **Aquaculture farm** |
|  | **Land-based facility**  Pre-processing  Processing  Distribution  Other, please specify: |

|  |  |
| --- | --- |
| Name of UoA point person for coordination of assessment requirements |  |
| Position |  |
| Telephone and fax numbers |  |
| Mobile Phone Number |  |
| Email |  |

|  |  |
| --- | --- |
| Target date/s of assessment |  |

|  |
| --- |
| UOA PROFILE |

|  |  |
| --- | --- |
| UoA (facility/farm/vessel) name |  |
| UoA registered business address |  |

|  |  |
| --- | --- |
| FOR VESSELS ONLY | |
| Vessel name (if different from UoA Name) |  |
| Vessel flag state/s |  |
| Vessel and/or fishing license no. |  |
| Vessel and/or fishing license expiration date |  |
| Captain name |  |

|  |  |
| --- | --- |
| Port where vessel will be docked during the assessment |  |
| Address |  |

|  |  |
| --- | --- |
| Parent Company or Headquarters’ Legal Business Name |  |
| Headquarters’ Address (including Province, City, State, Country, & Postal Code) |  |
| Telephone & fax numbers |  |
| Email |  |

|  |
| --- |
| MANAGEMENT AND STAFF INFORMATION |

|  |  |
| --- | --- |
| Manager Name |  |
| Telephone & fax numbers |  |
| Mobile phone number |  |
| Email |  |
| Persons in-charge of:  Human resources |  |
| Wages / Accounting & payroll |  |
| Occupational health & safety |  |
| Environmental safety |  |
| For vessels: Vessel operations manager |  |

|  |
| --- |
| COMPANY CHARACTERISTICS |

|  |  |
| --- | --- |
| List the seafood species the company handles, e.g., tuna, shrimp, etc. |  |
| Describe the different activities conducted in the facility/farm/vessel mentioning primary types of operation performed |  |
| Physical description of UoA if land-based: | |
| Lot area in square meters |  |
| Number of production buildings and floors per building: |  |
| Estimate of floor area in square meters |  |
| Number and size of Warehouses or other Storage Buildings |  |
| Physical description if UoA is a vessel | |
| Deadweight (in metric tonnes) |  |
| Gear type | Longline  Purse-seine  Trawling  Other, please specify: |
| Average length of the trip |  |
| Fishing areas/fishing grounds |  |
| Fish landing areas |  |

|  |
| --- |
| UOA’s STAKEHOLDERS |

|  |  |
| --- | --- |
| Name of union and name of union president |  |
| Name of cooperative and name of cooperative president |  |
| UoA’s key suppliers e.g., service providers, contractors and suppliers, excluding labor brokers and private employment/ recruitment agencies | [Type of service/good supplied and name of service providers/suppliers]   1. / 2. / 3. / 4. / |
| Optional: UoA’s key buyers |  |

|  |
| --- |
| WORKFORCE CHARACTERISTICS |

|  |  |
| --- | --- |
| Please indicate the type of workers present in your facility/farm/vessel, and the total number of workers for each category (for detailed definitions of different types of workers please see Page 16). Please count employees only once. | |
| Management | [Type the number of workers] |
| Office/administrative staff |  |
| Supervisory |  |
| Medical staff |  |
| Directly employed, regular workers |  |
| Directly employed, temporary or seasonal workers |  |
| Contractual workers (not direct employees of the company) |  |
| Outsourced or subcontracted workers (workers employed by a staffing or employment agency/company) |  |
| Apprentice/trainee workers |  |
| Security staff: | # Directly employed: |
| # Subcontracted: |
| Cleaning staff: | # Directly employed: |
| # Subcontracted? |
| Canteen workers: | # Directly employed: |
| # Subcontracted? |
| Other types of workers, please specify: |  |
| TOTAL WORKFORCE POPULATION: |  |

|  |  |
| --- | --- |
| What percentage of the workforce is female? |  |
| What are the nationalities of the workforce? |  |
| Nationality:       # Workers       Management Direct  Contract | |
| Nationality:       # Workers       Management Direct  Contract | |
| Nationality:       # Workers       Management Direct  Contract | |
| Nationality:       # Workers       Management Direct  Contract | |
| Nationality:       # Workers       Management Direct  Contract | |
| Are foreign contract workers hired through Labor Suppliers/ Private Employment Agencies? | Yes  No |
| If yes, please provide names and contact information of Labor Brokers/ Private Employment Agencies. | |
| Local Brokers: | Foreign (Sending Country) Brokers: |

|  |  |
| --- | --- |
| What language(s) does/do the management speak? |  |
| What language(s) does/do the workers speak? |  |
| Please indicate number and times of work shifts: | |
| Total Number of Shifts per Day:  Shift Times: | |
| From       To       # of Workers on Shift       # of Contract Workers       Nationalities | |
| From       To       # of Workers on Shift       # of Contract Workers       Nationalities | |
| From       To       # of Workers on Shift       # of Contract Workers       Nationalities | |
| From       To       # of Workers on Shift       # of Contract Workers       Nationalities | |
| From       To       # of Workers on Shift       # of Contract Workers       Nationalities | |
| Please indicate or describe the general shift/ working schedule of the management and workers |  |

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| --- |
| EMPLOYEE HOUSING |

|  |  |
| --- | --- |
| Is housing provided to workers?  For vessels: Are vessel workers provided on-shore housing/accommodations when vessels dock? | Yes  No |
| If yes:  How many workers are provided housing? | Local workers:  Foreign contract workers:  Outsourced workers: |
| How many dormitory buildings or housing units are there? | Local workers:  Foreign contract workers:  Outsourced workers: |
| Are the dormitory buildings or housing units | On site  Off-site  Automatically answer Off-site if UoA is a vessel |
| If Off-site, what is the proximity to the facility or vessel (distance in kilometers)? |  |

|  |
| --- |
| DOCUMENTS CHECKLIST |

|  |  |
| --- | --- |
| Will your company be able to provide the following documents before the assessment? | |
| Written policies or procedures on:  Recruitment, selection and hiring | Yes  No |
| Work and rest hours | Yes  No |
| Wages and benefits | Yes  No |
| Freedom of movement | Yes  No |
| Humane treatment and workplace equality | Yes  No |
| Workers’ housing and living conditions | Yes  No |
| Worker communication and grievance procedures | Yes  No |
| Termination of employment and repatriation | Yes  No |
| Workplace rules and regulations | Yes  No |
| Human trafficking and forced labor | Yes  No |
| Child labor | Yes  No |
| Freedom of association and collective bargaining | Yes  No |
| Occupational safety | Yes  No |
| Medical response | Yes  No |
| Grievance reporting and access to remedy | Yes  No |
| Stakeholder participation and collaborative management | Yes  No |
| Anti-discrimination | Yes  No |

|  |
| --- |
| TRAVEL INFORMATION FOR THE ASSESSMENT TEAM |

|  |  |
| --- | --- |
| Nearest airport to your facility, farm or port where the vessel will be docked during the assessment? |  |
| Estimated travel time from airport to the facility, farm or port where the vessel will be docked during the assessment?  Attach vicinity/locational map |  |
| Nearest business quality hotel to your facility or port where the vessel will be docked during the assessment | Hotel contact information (please include address, phone number, & email address):  Estimated travel time between hotel & UoA: |

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| --- |
| UOA’S ASSESSMENT HISTORY |

|  |  |
| --- | --- |
| Has this facility/farm/vessel undergone an audit or assessment in the past? | Yes  No |
| If yes, please indicate date and assessment type. | [Type assessment date / assessment type]   1. / 2. / 3. / 4. / |
| Any additional notes or information you would like provide |  |

|  |
| --- |
| FOR THE ASSESSOR ONLY  Initial risks identified:  Presence of outsourced, subcontracted, and migrant workers  Incomplete documents  **For vessels:**  Expired vessel and/or fishing licenses |

# ASSESSMENT TOOLS

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| --- |
| This section contains the following:   1. Guidance or tool for physical inspection of the Unit of Assessment   A guide to conducting basic health and safety inspection of a facility or vessel covering the most basic H&S requirements on medical response, fire protection, and access to personal protective equipment (PPEs). The assessment team can opt to add more specific questions depending on the profile of the UoA, i.e., if the UoA is a processing plant, additional questions around heavy equipment or chemical handling can be added.   1. Guides for management interviews and worker interviews   The interview guides will gather information pertinent to selected SRAT indicators that reflect the highest risks to workers’ rights. They can be customized depending on the subset of indicators the assessment team wants to prioritize following the indicator scoring guidance in the SRAT. |

## GUIDANCE OR TOOL FOR PHYSICAL INSPECTION OF THE UOA

*Note: Those in gray boxes are for sea-based UoAs only, e.g., fishing vessels or transport vessels. If the UoA is a land-based facility or farm, those questions can be skipped.*

|  |
| --- |
| COMPANY PROFILE |

|  |  |
| --- | --- |
| UoA (facility/farm/vessel) name |  |
| UoA address |  |

|  |  |
| --- | --- |
| Did the company answer a Pre-assessment Form (PAF) prior the assessment? | Yes  No |
| If no, please include the PAF questions in the assessment. | |

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| HEALTH AND SAFETY |

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| --- | --- |
| How many vessels/buildings are within the scope of the assessment? |  |

|  |  |
| --- | --- |
| Are workers and staff oriented on the company’s EHS policies? | Yes  No  Notes: |
| Are appropriate safety notices prominently displayed and written in a language workers understand? | Yes  No  Notes: |
| Are emergency numbers posted where they can be readily found in case of emergency? | Yes  No  Notes: |
| Does the UoA maintain a record or summary of work-related injuries and illnesses? | Yes  No  Notes: |
| Are operating permits and records up-to-date for items such as elevators, air pressure tanks, fire extinguishers, etc.? | Yes  No  Notes: |
| MEDICAL SERVICES AND FIRST AID | |
| Is there a hospital, clinic, or infirmary for medical care near your workplace or is at least one employee on each shift currently qualified to render first aid? | Yes  No  N/A (for vessels)  Notes: |
| Have all staff or workers who are expected to respond to medical emergencies as part of their job responsibilities received first aid training, and have the available and understand how to use appropriate PPE? | Yes  No  Notes: |
| Are fully supplied first aid kits easily accessible to each work area, periodically inspected and replenished as needed?  For vessels: This should also include emergency supplies e.g., life jackets, rescue boats, first aid kits. | Yes  No  Notes: |
| FIRE PROTECTION | |
| Are the following available within the facility/farm/vessel? | Fire alarm system  Fire doors and shutters  Fire exits  Sprinklers  Fire extinguishers  Other equipment, please specify: |
| Are those fire equipment regularly checked and replaced if necessary? | Yes  No  Notes: |
| Are workers periodically oriented on the use of these fire equipment? | Yes  No  Notes: |
| PERSONAL PROTECTIVE EQUIPMENT (PPE) | |
| Does the company provide the workers necessary PPEs at no cost to them? | Yes  No  Notes: |
| If yes, please list the PPEs provided to workers. |  |
| Have both the employer and the employees (captains and workers, for vessels) been trained on PPE procedures, i.e., what PPE is necessary for job tasks, when workers need it, and how to properly wear and adjust, and replace it? | Yes  No  Notes: |
| Are PPEs maintained in a sanitary condition and ready for use? | Yes  No  Notes: |
| FOR VESSELS: |  |
| Is there a working radio or communication devices on board (for vessels over 24 meters)? | Yes  No  Notes: |
| Are there functioning rescue boat(s) or raft(s) accommodating size of crew? | Yes  No  Notes: |

|  |  |
| --- | --- |
|  | |
| FOR VESSELS ONLY:  Do the living quarters of the workers meet the following standards? | |
| HEADROOM  There shall be adequate headroom in all accommodation spaces, headroom shall not be less than 190cm (6.2ft) in any space. For vessels of 24m in length and over, the minimum permitted headroom in all accommodation where full and free movement is necessary shall not be less than 200 cm (6.5ft). | Yes  No  Not applicable  Notes: |
| OPENINGS INTO AND BETWEEN ACCOMMODATION SPACE  There shall be no direct openings into sleeping rooms from fish rooms and machinery spaces, except for the purpose of emergency escape. Where reasonable and practicable, direct openings from galleys, storerooms, drying rooms or communal sanitary areas shall be avoided unless expressly provided otherwise. | Yes  No  Not applicable  Notes: |
| INSULATION  Accommodation spaces shall be adequately insulated; the materials used to construct internal bulkheads, paneling and sheeting, and floors and joinings shall be suitable for the purpose and shall be conducive to ensuring a healthy environment. Sufficient drainage shall be provided in all accommodation spaces. | Yes  No  Not applicable  Notes: |
| EMERGENCY ESCAPES  Emergency escapes from all crew accommodation spaces shall be provided as necessary. | Yes  No  Not applicable  Notes: |
| Noise and vibration - The competent authority shall take measures to limit excessive noise and vibration in accommodation spaces and, as far as practicable, in accordance with relevant international standards. | Yes  No  Not applicable  Notes: |
| Ventilation - Accommodation spaces shall be ventilated, taking into account climatic conditions. The system of ventilation shall supply air in a satisfactory condition whenever fishers are on board. | Yes  No  Not applicable  Notes: |
| Heating and air conditioning - Accommodation spaces shall take into account climatic conditions. Heating and/or air conditioning are available when the climate calls for it. | Yes  No  Not applicable  Notes: |
| Lighting - Accommodation spaces shall be provided with adequate light, including emergency lighting. | Yes  No  Not applicable  Notes: |
| Sleeping rooms - The number of persons per sleeping room and the floor area per person, excluding space occupied by berths and lockers, shall be such as to provide adequate space and comfort for the fishers on board, taking into account the service of the vessel. For vessels of 24 meters in length and over but which are less than 45 meters in length, the floor area per person of sleeping rooms, excluding space occupied by berths and lockers, shall not be less than 1.5 sqm For vessels of 45 meters in length and over, the floor area per person of sleeping rooms, excluding space occupied by berths and lockers, shall not be less than 2 square meters. | Yes  No  Not applicable  Notes: |
| Toilet and wash bins - Sanitary facilities, which include toilets, washbasins, and tubs or showers, shall be provided for all persons on board, as appropriate for the service of the vessel. These facilities shall meet at least minimum standards of health and hygiene and reasonable standards of quality. | Yes  No  Not applicable  Notes: |
| Laundry facilities - Amenities for washing and drying clothes shall be provided as necessary, taking into account the service of the vessel, to the extent not expressly provided otherwise. | Yes  No  Not applicable  Notes: |
| Facilities for sick and injured fishers - Whenever necessary, a cabin shall be made available for a fisher who suffers illness or injury. | Yes  No  Not applicable  Notes: |
| Bedding, mess utensils and miscellaneous provisions - Appropriate eating utensils, and bedding and other linen shall be provided to all fishers on board. | Yes  No  Not applicable  Notes: |
| Recreational facilities - For vessels of 24 meters in length and over, appropriate recreational facilities, amenities and services shall be provided for all fishers on board. Where appropriate, mess rooms may be used for recreational activities. | Yes  No  Not applicable  Notes: |
| Communication facilities - All fishers on board shall be given reasonable access to communication facilities, to the extent practicable, at a reasonable cost and not exceeding the full cost to the fishing vessel owner. | Yes  No  Not applicable  Notes: |
| Galley and food storage facilities - Cooking equipment shall be provided on board, including a suitable place for provisions of adequate capacity shall be provided which can be kept dry, cool and well ventilated in order to avoid deterioration of the stores and, to the extent not expressly provided otherwise, refrigerators or other low temperature storage shall be used, where possible. | Yes  No  Not applicable  Notes: |
| Food and potable water - Food and potable water shall be sufficient, having regard to the number of fishers, and the duration and nature of the voyage. In addition, they shall be suitable in respect of nutritional value, quality, quantity and variety, having regard as well to the fishers' religious requirements and cultural practices in relation to food. | Yes  No  Not applicable  Notes: |

|  |  |
| --- | --- |
| Are workers' living quarters and other facilities regularly inspected? | Yes  No |
| If yes, who conducts the inspection? |  |

## INTERVIEW GUIDES

Managers/management staff and workers are key sources of information for social assessments.

From the management side, a social assessment would typically include interviews with representatives of human resources, sustainability, health and safety, social compliance or social responsibility, and worker or crew management, production, and other relevant departments. Part of the pre-work of the assessment team is to identify which departments should be interviewed for a specific section or type of tool/form. Where third-party labor agencies or labor contractors are involved, they are to be interviewed as part of the management interview portion of the assessment as well.

Choosing the workers to interview is an equally important step. The assessor should have already established the profile of the workforce the UoA has based on the information in the pre-assessment form.

While the questions are clustered around a particular topic or standard, the interviewer may opt to reorganize and ask the questions in a different sequence, e.g., starting with establishing a background and general context; or following the employment cycle, etc.

|  |
| --- |
| FYI! Management should be able to provide the master list of all employees/workers, but the assessor/assessment team should choose which workers to interview. In doing so, the assessor should ensure fair representation from different groups or types of workers:   * Workers’ job roles and duties * Workers with different contract terms, e.g., regular, contractual, outsourced, etc.) * Nationality or citizenship, e.g., local and foreign workers * Gender * Length of service or number of years/months workers have been with the company/UoA * In addition, if the UoA has a large number of migrant workers, and other vulnerable population (or “protected class”) it is ideal to interview workers with or from different labor brokers or recruitment agencies; and from different population groups.   TIP: Interviews with management and workers can be done either one-on-one or in a group, but never managers and workers together. |

**Common types of workers in seafood supply chains**

Seafood operations can be both informal or small-scale, as well as highly formalized and industrial in nature, thus employment terms and conditions that seafood workers receive may vary greatly. Here are some of the most common types of workers in seafood supply chains:

**Regular or permanent workers** have a defined employee-and-employer relationship with the company, and they are more likely to be granted legally required benefits (such as social security, paid leaves, etc.) not afforded to other worker classes.

**Contractual workers** are the workers that are retained by a company for a set period of time to perform a specific task or duty. How much the contract worker will be paid is also pre-determined and may be paid before, during or after the worker has completed their job.

**Subcontracted workers (or outsourced / leased workers)** are hired by outsourcing or employment agency, and then leased out to a company to complete a specific job. Subcontractors can work with the company they are leased to for a year or longer. While still considered an employee, subcontracted workers are on the payroll of the outsourcing or employment agency and also receive any benefits through the agency rather than the company they are working for.

**Seasonal workers** are those hired based on the seasonal needs of a company. For example, employment on shrimp farms in Bangladesh is seasonal, drawing local and migrant labor, according to a report.[[1]](#footnote-2) Workers belong to this category are typically not eligible for social security and fringe benefits as they are not considered permanent employees.

There are also **piece-rate workers and those paid with “share-of-the-catch.”** Both are not provided with a fixed salaries nor accorded with social benefits. Piece-rate workers, more common in seafood processing, are paid based on unit performed, while workers paid with “share-of-the-catch” or profit-sharing schemes (very common in less formal fishing work) depends on the previously agreed upon percentage share of the fishers.

*Example: In a research conducted by Verité Southeast Asia in 2019, the usual share of handline tuna fishers in General Santos City, Philippines is equivalent to one-fifth of the gross sales of captured tuna.*

These types of workers are mostly found at the base of seafood supply chains and they rarely receive payment that is at par with minimum wage.

|  |
| --- |
| FYI! According to the ILO, workers paid by piece rate must be paid at least minimum wage for ordinary hours of work, even if their actual piece-rate earnings are below minimum wage. |

Securing the informed consent from interviewees, whether a manager or a worker, is important in any interview. The interview should open by:

* Introducing the assessor’s name and organization
* Introducing what the interview is for, i.e., a research, or as a part of an assessment in the FIPs program;
* Providing a brief explanation on what the interview will cover;
* Explaining how the information that will be obtained from the interview will be used, and how the interviewee can stop the interview anytime or refuse to answer a question; and
* Where possible, providing a number to call or an email address to get in touch to for any questions, concerns or complaints.

### B.1 MANAGEMENT INTERVIEW FORM

Note: Those in gray boxes are for vessel/sea-based UoAs only, e.g., fishing vessels or transport vessels. If the UoA is a land-based facility or farm, those questions can be skipped.

|  |
| --- |
| INTRODUCTION AND INFORMED CONSENT |

Example: This study is being conducted on behalf of researchers from a non-profit organization called Conservation International. Our organization’s goal is to protect nature for the benefit of human wellbeing. The purpose of this study is to better understand the safety, protection, and wellbeing of workers in this fishery, and to identify any conditions that could potentially become improved. We want to learn from your experiences working in this fishery, hear about your day-to-day work, and understand how this work contributes to your livelihood and wellbeing. We have a series of questions on these topics that should take no longer than 1 hour to complete. Participation in this is completely voluntary. You are free not to answer any questions and to discontinue your participation at any time. Your individual answers will be kept confidential and anonymous, and your name will not be recorded. There are no correct or incorrect responses so please feel free to express your opinions and share your experiences. Would you like to participate? If you have any questions, concerns, or complaints about this study, its procedures, risks, or benefits, please call: [insert contact number]

|  |
| --- |
| DEMOGRAPHIC INFORMATION AND OPENING QUESTIONS |

|  |  |
| --- | --- |
| Interviewee’s name and designation |  |
| How long have you worked for the UoA or the company being assessed?  What, in general, are your roles and responsibilities? |  |

|  |  |
| --- | --- |
| Can you explain the geographic scope of where your vessel operates?  When are you in a specific fishing area? |  |
| Off what country exclusive economic zones (EEZs) do you operate? |  |
| Do you operate in the high seas? |  |
| How do you reach agreement with these countries on accessing the waters within their EEZs? |  |
| How do you find working with these governments? What is their perception of the fleet? |  |
| Do you have any specific policies on coastal buffer zones where you do not fish? |  |
| Does your vessel operate within any customary or indigenous use areas?  If yes, is there a procedure for obtaining consent? |  |

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| --- |
| ABUSE AND HARASSMENT |

1. Does your company have written policies and procedures related to how employees should be treated, and what the responsibilities of management are with respect to these policies?
2. Does your workplace have a specific policy that prohibits physical abuse, bullying, and harassment?

Yes  No

If yes:

2.1 Is it available in a language all workers understand?  Yes  No

2.2 Were workers made aware of this policy?

Yes – if yews, how?

No

2.3 Were management (including group/line leaders and supervisors, security, and other staff) made aware of this policy?

Yes – if yews, how?

No

2.4 Do you feel the policy and procedures adequately protect the workers from abuse and harassment?  Yes  No

1. Are you aware of any reports of harassment and abuse that happened in the workplace?

Yes  No

3.1 What, if any, were the actions taken by management on these reports?

1. Does the workplace have disciplinary procedures in place to address cases of harassment?

Yes  No

If yes:

4.1 Do you feel these procedures are fair for the alleged actions?  Yes  No

4.2 Do you feel that everyone at your workplace is aware of the disciplinary procedures and trained on how to use and access it?  Yes  No

4.3 Do you feel the disciplinary procedures adequately protects the workers from abuse and harassment?  Yes  No

1. If you answered NO to any of the questions above, please provide additional explanation:

|  |
| --- |
| HUMAN TRAFFICKING AND FORCED LABOR |

1. Does your company have written policies and procedures on the recruitment and hiring of workers, and what the responsibilities of management are with respect to these policies?

Yes  No

1. Can you explain the process of hiring the workers? Please provide explanation for each type of worker, i.e., directly employed, outsourced, etc.
2. Do you have migrant workers in your company?  Yes  No

If yes:

3.1 Do all workers have documentation, passports, and visas to work legally?  Yes  No

3.2 Have these documents ever been withheld from the workers (i.e., passport retention)?

Yes  No

3.3 Who has custody of workers’ identity and travel documents?

3.4 What are the conditions and procedures for workers to retrieve/keep their own documents?

3.5 Do you engage with labor recruiters or agencies in the recruitment, selection and hiring of your migrant workers/crew?  Yes  No

If yes:

3.5.1 do you have criteria and conditions for selecting labor recruiters?

Yes – if yes, what are your criteria?

No

3.5.2 Are all recruiters legally registered?

Yes  No  I don’t know or I’m not sure

3.5.3 What services do the labor recruiters provide your company?

3.5.4 Who pays them for these services?

3.5.4 Do workers have to pay any recruitment fees to a labor broker?

Yes  No  I don’t know or I’m not sure

If yes:

3.5.4.1 How much?

3.5.4.2 What does the amount cover? Please check yes if the items below if workers pay for them.

* Service fee  Yes  No
* Medical  Yes  No
* Training  Yes  No
* Documents-processing  Yes  No
* Passport  Yes  No
* Visa  Yes  No
* Others, please list:

3.5.5 Are you aware of workers currently paying recruitment-related fees or amounts to labor brokers, other parties?  Yes  No

3.5.6 Are any deductions made on workers’ pay?

Yes - if yes, what are the deductions for?

No

1. Do workers sign a written contract at the beginning of employment detailing their rights and terms of employment (i.e., payment schedule and rate, overtime policy, etc.)?  Yes  No
2. Are contracts in a language that workers understand?  Yes  No
3. What are the conditions for terminating contract?
4. How often are workers paid?

Daily  Weekly  Every two weeks  Monthly

Other, please specify:

1. Do workers have direct access to their salary accounts?  Yes  No
2. Does anyone else, other than the workers, have access to the salary accounts? Please elaborate your answer:
3. How many hours a week (or day) on average do workers normally work?
4. What is the most number of hours workers might work in a week (or day)?

11.1 How often does that happen?

11.2 If they work overtime, is this voluntary?  Yes  No

11.3 Does this reflect the terms of their contract?  Yes  No

11.4 What happens if workers refuse to do OT work?

1. For vessels, are workers permitted to leave the vessel when in port?  Yes  No
2. Does the company have a monitoring system in place to assess its own performance on labor practice as well as the performance and compliance of labor recruiters?  Yes  No
3. Do you have written policies and procedures on prohibition of forced labor and human trafficking?  Yes  No

14.1 If yes, how are the following informed of the policies or procedures?

* Management and staff:
* Workers:
* Labor brokers, contracts, service providers:

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| CHILD LABOR |

1. What age-verification documents do you require from job candidates and workers?
2. What is the minimum age among vessel workers or crew members?
3. What is the minimum age among land-based workers?
4. Does the company have a policy on minimum employment age or child labor?  Yes  No

If yes:

4.1 Does the policy include conditions for employing young/juvenile workers?

Yes  No

4.2 Does the policy detail what steps the company should take if underage workers are inadvertently hired?

Yes - if yes, please describe:

No

4.3 Do you feel the policy on child labor is effective? Please explain your answer:

4.4 Is this policy regularly monitored?  Yes  No

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| FREEDOM OF ASSOCIATION AND COLLECTIVE BARGAINING |

1. Are your crew/workers allowed to form or join a union?

Yes - if yes, please provide more details:

No - if no, why?

1. Are your crew/workers part of a union, collective bargaining agreement, cooperative, association or any other worker organization?

Yes – if yes, please describe:

No

1. How else are workers represented or consulted in company decision-making processes?
2. Have workers attempted to form a union or hold a demonstration or strike in the past?
3. Has your company provided opportunities for workers to understand their rights, including right to organize and bargain collectively?

Yes – if yes, please describe:

No

1. What is the company’s policy on unions and workers’ freedom of association? 
   1. Has the policy been presented to workers in a manner they understand?  Yes  No
   2. Do you feel the policy is working? Please explain your answer:
2. Do any women participate in your labor union, association, or cooperative?

Yes - if yes, please describe how women participate:

No

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| EARNINGS AND BENEFITS |

1. Is there a legal minimum wage rate?

Yes - if yes Indicate amount:

No

1. Are all rank-and-file workers in your facility/vessel entitled to at least the legal minimum wage?

Yes  No

1. What is average monthly income?
2. What is the process and basis for determining wages?
3. Is pay based on hours worked or product caught?
4. Do workers’ wages meet minimum wage requirements?  Yes  No
5. Are workers provided a pay slip/record of earnings?  Yes  No
6. Do workers receive benefits in the form of social security or healthcare?  Yes  No

8.1 List all the mandatory benefits:

1. Are there any deductions on workers’ wages?  Yes  No

9.1 What are the deductions for?

1. Are payments or portions of payments ever withheld as part of a debt repayment plan or for disciplinary action?   Yes  No

If yes:

10.1 Please explain:

10.2 What proportion of your payments are withheld?

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| WORKING HOURS |

1. What are the facility/vessel’s regular working hours?
2. What are the facility/vessel’s overtime working hours?
3. How are workers’ hours recorded?
4. For vessels: how are working hours and work shifts assigned?
5. How much rest do workers typically get in a 24-hour period?

Less than 10 hours  Around 10 hours  More than 10 hours

1. How much rest do workers typically get in a week?

Less than 77 hours  Around 77 hours  More than 77 hours

1. For land-based UoAs: are workers required to be at the workplace before regular working hours begin? Are they also required to stay back, to endorse work to the next shift?

Yes – please provide more details:

No

* 1. If yes, are these times included in the pay calculation?

1. Are workers allowed to leave the facility during meal breaks?  Yes  No
2. Are workers allowed to leave during working hours?  Yes  No
3. What are the procedures applied for workers who wish to leave the facility during working hours?
4. Do you have a system in place to anticipate peak production needs and seasonal variation to ensure that excessive overtime is not required?

Yes - if yes, please elaborate:

No

1. Are workers entitled to paid maternity/paternity leave?  Yes  No
2. Are workers entitled to paid and unpaid personal/vacation leave?  Yes  No
3. Are workers entitled to paid and unpaid sick leave?  Yes  No
4. What are the procedures and conditions for taking leaves?  Yes  No

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| HEALTH AND SAFETY |

1. Does your company have a written health and safety policy?  Yes  No

1.1 If yes, is it available in a language or format for all workers/crew members to understand?  Yes  No

1. Is there an occupational health and safety committee, with formal channels of communication established, to discuss and implement protection of workplace health and safety?

Yes  No

**Additional questions for vessels:**

1. Do you have a communication device onboard (cell phone or radio)?  Yes  No
2. Do you have personal flotation devices onboard?

Yes - if yes, how many?

No

1. Do you have any other safety equipment onboard (i.e., fire safety devices, first aid kits)?

Yes  No

1. Are crew members trained on health and safety procedures?  Yes  No

If yes:

6.1 Can you please describe the procedures and protocols?

6.2 Does this include training in the proper use of personal protective equipment and safe operation of equipment?  Yes  No

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| MEDICAL RESPONSE |

1. Is there someone within your company who has first aid training?  Yes  No
2. Do workers have a medical certificate attesting to their fitness to work?

Yes  No

1. Are workers provided with medical care if they sustain a work-related injury, and if necessary repatriated at expense of company?  Yes  No
2. If workers sustain any injuries during work, would they receive worker’s compensation, lost time pay, and payment of medical expenses by the company?  Yes  No

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| ACCESS TO BASIC SERVICES |

1. Do workers have access to the following while at work:
   * Potable water  Yes  No
   * Electricity  Yes  No
   * Sanitary facilities  Yes  No
2. Do you provide housing and accommodation to your workers?  Yes  No

If yes:

* 1. Do the workers have access to the following in their housing or dormitories?
     + Potable water  Yes  No
     + Electricity  Yes  No
     + Sanitary facilities  Yes  No
       1. Are there separate sanitary facilities for men and women?

Yes  No

* + - 1. Can sanitary facilities be locked from the inside?

Yes  No

* 1. Are there separate sleeping quarters for men and women?

Yes

No – please explain:

**Additional questions for vessels:**

1. Does the vessel have safe, clean, and comfortable sleeping quarters?

Yes  No  Not applicable

If no, please explain/provide more details:

1. Do you feel that sanitary facilities with adequate privacy are provided (appropriate to vessel size)?  Yes  No

If no, please explain/provide more details:

1. Does the crew have access to potable water on vessel?  Yes  No

If no, please explain/provide more details:

1. Does the crew have access to adequate and sanitary food?  Yes  No

If no, please explain/provide more details:

1. Has the crew ever met with you or with the Captain to discuss vessel improvements?

Yes  No

If no, please explain/provide more details:

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| GRIEVANCE REPORTING AND ACCESS TO REMEDY |

1. Is there a process through which workers can report any complaint or unfair treatment?

Yes  No

If yes:

* 1. Can you describe the process?
  2. Does it include a channel for anonymous reporting?

1. Do you have a non-reprisal/non-retaliation policy?  Yes  No

2.1 Can you describe the corrective action and remediation process?

2.2 Does the management respond to and remedy the situation?

Yes – if yes, how?

No

2.3 Would you say that remediation occurs in a timely manner directly after the reporting?

Yes  No

2.4 Do you have a process to record and monitor complaints?  Yes  No

2.5 Have similar complaints reoccurred, or does the current process result in no reoccurrences?  Yes  No

1. Are you aware of any special considerations or protections for vulnerable populations in reporting complaints, such as for migrant workers, ethnic minorities, and women?  Yes  No
2. Do workers have access to any additional (third party) organizations that can support in addressing complaints or unfair treatment?  Yes  No

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| STAKEHOLDER PARTICIPATION AND COLLABORATIVE MANAGEMENT |

1. Are there any processes allowing workers to participate in the management (i.e., decision-making, enforcement, monitoring, conflict resolution) of the company? For example, stakeholder meetings, public comment periods, co-management bodies, advisory committees, or cooperatives?  Yes  No
2. Does the company work with civil society organization/s that represent the interests of the workers or helps the company engage with the government?  Yes  No

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| EQUITABLE OPPORTUNITY TO BENEFIT |

1. Is the company aware of any workers belonging to disadvantaged groups or protected classes?  Yes  No
2. Does your company have a strategy, policy, or practice in place to help disadvantaged people have the equal opportunity to benefit regardless of gender, ethnicity, religion, sexual orientation, class, migrant status, or political affiliation?  Yes  No

If yes:

2.1 Please provide more details:

2.2 Do you feel that it is working?  Yes  No

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| DISCRIMINATION |

1. Does the company have an anti-discrimination policy?  Yes  No

If yes:

* 1. Is it available, visible, or posted in a language workers/crew understand?  Yes  No
  2. Are all management staff and employees oriented on the policy?
  3. Do you feel the policy adequately protects workers?  Yes  No

1. What are the job qualifications for the different job types?

2.1 Are job criteria based on the requirements of the job? Are workers asked about their religious affiliation, political affiliation, sexual orientation, etc.? Please explain your answer:

1. Is there a performance evaluation process used as basis for the renewal, promotion, or termination of workers?  Yes  No
2. What are the general criteria, and how were these criteria established?
3. Have there been any incidences where any employee experienced discrimination in the company made on the basis of race, gender, color, political affiliation, religion, economic class, immigration status, disability, or sexual orientation, etc.?  Yes  No

Note: Assessor can provide examples on how discrimination can potentially occur during recruitment to the fishery, promotion, access to training, access to permits, remuneration, allocation of work, retirement, ability to join or form a cooperative or union, ability to access benefits, among other things.

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| CLOSING QUESTIONS |

1. Is there anything else that you would like to share with us?
2. If you could improve anything about your working environment, what would it be?
3. What changes would you like to see happen in the workplace?

### B.2 WORKER INTERVIEW FORM

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| INTRODUCTION AND INFORMED CONSENT |

Example: This study is being conducted by Conservation International, and other partner organizations. Conservation International is a non-profit Organization whose mission is to protect nature for the benefit of human wellbeing. The purpose of this study is to better understand the safety, protection, and wellbeing of workers in this fishery, and to identify any conditions that could potentially become improved. We want to learn from your experiences working in this fishery, hear about your day-to-day work, and understand how this work contributes to your livelihood and wellbeing. In this interview, we have a series of questions related to these topics that should take no longer than an hour to complete.

Participation in this is completely voluntary. You are free not to answer any questions and to discontinue your participation at any time. The information provided will only be used by this study. Your individual answers will be kept confidential and anonymous, and your name will not be recorded. The reports will only present group results. There are no correct or incorrect responses so please feel free to express your opinions and share your experiences. Once we finish the study, we will share the main results with you.

Would you like to participate? If you have any questions, concerns, or complaints about this study, its procedures, risks, or benefits, please call: [insert contact number]

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| OPENING QUESTIONS |

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| 1. What is your name? 2. Where are you originally from? 3. How old are you? 4. How long have you worked for the company or the vessel? 5. What does a normal day of work look like for you?   **For vessel workers:**   1. How did you learn about this job? 2. How much time do you spend at sea? (each trip) 3. What is your favorite thing about your work? |

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| ABUSE AND HARASSMENT |

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| 1. Are you aware of the company’s rules and regulations?  Yes  No 2. Are there any policies or procedures related to how workers should be treated – what is acceptable or unacceptable behavior?   Yes – if yes, please share what you know of these policies or procedures:  No   1. Does your workplace have a policy that specifically prohibits physical abuse, bullying, and harassment?   Yes  No  I don’t know  If yes:  3.1 Have you been oriented on this policy?  Yes  No  3.2 Do you understand clearly what the policy contains?  Yes  No  3.3 Do you feel the policy adequately protects you and other workers from abuse and harassment?  Yes  No  3.4 Have you experienced or witnessed any incidence of harassment or abuse?  Yes  No  If yes:  3.4.1 Please share these incidences:  3.4.2 What steps, if any, were taken to report the incident?  3.4.3 Were you or the workers involved provided adequate protection or redress by the management?   1. Does your workplace have disciplinary procedures in place to address cases of harassment?   Yes  No  If yes:  2.1 Have you been oriented on these disciplinary procedures?  Yes  No  2.2 Do you feel these procedures are fair for the alleged actions?  Yes  No  2.3 Do you feel the disciplinary procedures adequately protects the workers from abuse and harassment?  Yes  No   1. If you answered NO to any of the questions above, please provide additional explanation: |

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| HUMAN TRAFFICKING AND FORCED LABOR |

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| 1. How did you get this job?   Note: The assessor can probe all the persons and steps involved during recruitment.   1. Where are you originally from? Did you move to the place specifically for this job? 2. Did you apply to a recruitment agency? What is the name of the agency? 3. Are there others assisted you in applying for the job? Please explain your answer: 4. Did you (or do workers) have to pay any recruitment-related fees to a labor broker, agent, or to the company in order to get this job?  Yes  No   If yes,  5.1 How much?  5.2 What does the amount cover?   * Service fee  Yes  No * Medical  Yes  No * Training  Yes  No * Documents-processing  Yes  No * Passport  Yes  No * Visa  Yes  No * Others, please list:   1. How did you finance the costs and expenses related to your job application?   2. Are you currently paying fees related to your recruitment?   Yes /  No   3. To whom are you paying and how?  1. Did you go through a pre-departure or pre-employment orientation?  Yes /  No 2. What information were you provided about the job?   7.1 Are they consistent with the actual working conditions?  Yes /  No  7.2 What are different?   1. In your opinion, are the actual conditions better or worse than what you were told?   Yes /  No – if no, why do you say so?   1. **For vessel workers**: Do you work for a vessel with a flag of your own country or other country?  Yes /  No      1. What documents were required as part of the application and employment process? 2. Do you (or do all workers) have all the documentation, passports, and visas you need to work legally?  Yes /  No   11.1 If yes, have these documents ever been withheld from you (i.e., your passport retained)?  Yes /  No  11.2 What are the conditions and procedures for documents safekeeping?  11.3 When and how can you retrieve them?  11.3 Do you need to pay any deposit to take your documents?  Yes /  No   1. Did you sign a written contract at the beginning of employment detailing your rights and terms of employment (i.e., payment schedule and rate, overtime policy, etc.)?  Yes /  No   12.1 If yes, could you fully understand the contract, or was it in a language that you understood?  Yes /  No   1. Did you have to pay a deposit at the beginning of employment to prevent you from quitting or work?  Yes /  No 2. What are the conditions for terminating contract? 3. How often are you paid?   Daily  Weekly  Every two weeks  Monthly  Other, please specify:  15.1 Is it consistent with what was written in your employment contract?  Yes  No  I don’t know or I’m not sure  I did not sign an employment contract   1. Do you have direct access to your salary accounts?  Yes /  No 2. Does anyone else, aside from you, have access to the salary accounts?   Yes - if yes, please elaborate your answer:  No   1. How many hours a week (or day) on average do you normally work? 2. What is the most number of hours you might work in a week (or day)?   19.1 How often does that happen?  19.2 If you do work overtime, is this voluntary?  Yes  No  19.3 What happens if workers refuse to do OT work?   1. **For vessel workers**: are you permitted to leave the vessel when in port?  Yes  No 2. What are the conditions for leaving the vessel while it is docked in foreign ports? 3. Do you know if your company has a monitoring system or assessment process in place to assess its own performance on labor practices, as well as the performance and compliance of labor recruiters (for captain or company manager)?  Yes  No 4. Have you ever been involved in a worker-survey or interview as part of these assessments?   Yes  No   1. Are you aware of any written policies and procedures on prohibition of forced labor and human trafficking?   Yes - if yes, how were you informed of these policies or procedures?  No |

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| CHILD LABOR |

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| 1. How old were you when you started working in this company? 2. What is the minimum age among workers? 3. How old is the youngest worker in the company? 4. Were you asked about your age when you applied to work in this company? 5. What documents were you asked to provide as proof of your age? 6. Are young workers (below 18) doing the same work as all the other regular workers? 7. Do you know anyone among your co-workers who is below the legal minimum working age?  Yes  No  I’d rather not say 8. Does the company have (or are you aware of) a company policy on minimum employment age or child labor?  Yes  No   If yes:  8.1 Do you feel the policy on child labor is effective? Is it being implemented properly, in your own opinion? Please explain your answer:  8.2 Are you aware of the steps you need to take if you encounter a worker who is underaged? What are these steps?     1. Do any of your family members work alongside you?  Yes  No   If yes:  9.1 How old are the family members that work alongside you?  If under 16:  9.1.1 Does this affect their schooling?  Yes  No  9.1.2 Does this affect their health?  Yes  No  9.1.3 Are they employed as waged workers? Who gets the payment?  Yes  No |

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| FREEDOM OF ASSOCIATION AND COLLECTIVE BARGAINING |

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| 1. Is there a union or worker-association in this company?  Yes  No   If no:   * 1. Are unions allowed to be organized?  Yes  No   2. Have there been attempts to form a union?  Yes  No   If yes:   * 1. Are you part of a union, cooperative, association or any other worker organization?   Yes  No - if no, why?  If yes:  1.3.1 Do you feel that your organization represents you and protects your rights?  1.3.2 Within the worker organization, how are decisions taken?   1. Are you free to make your own decisions (i.e., democratically voted cooperative by-laws)?   Yes  No   1. Have you ever experienced barriers or challenges, operating as a union or cooperative?   Yes – if yes, what are they?  No   1. Have you ever faced discrimination or any adverse consequences due to your position in a union or cooperative, and/or from exercising your right to strike?  Yes  No 2. Are there other opportunities when you are consulted or participated in company decision-making processes? Please explain your answer: 3. Have you received any training from local labor organizations or your company on your rights to organize and bargain collectively?   Yes - if yes, please describe:  No   1. Does your company have a policy on unions and workers’ freedom of association?   Yes  No  If yes:  7.1 Has the policy been presented to you in a manner you understand?  Yes  No  7.2 Do you feel the policy is working?  Yes  No   1. Do any women participate in your labor union, association, or cooperative?   Yes - if yes, please describe how women participate: |
| No |

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| EARNINGS AND BENEFITS |

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| 1. Do you know what monthly income is?  Yes  No 2. Do you know if it meets minimum wage requirements?  Yes  No 3. Is your current wage the same as agreed and sign in your contract?   Yes  No  I did not sign a contract   1. How often are you paid?  Daily  Weekly  Every two weeks  Monthly  Other, please specify: 2. Is the frequency of payment consistent with what is written in your employment contract?   Yes  No  I did not sign an employment contract  I don’t know / I’m not sure   1. Are you aware of how your earnings are calculated?   Yes - do you have access to wage slips or written receipts?  No   1. Do you ever receive overtime pay (if you work overtime)?  Yes  No 2. Are your payments or portions of your payments ever withheld as part of a debt repayment plan with the company?  Yes  No   If yes:   * 1. Please explain:   2. What proportion of your payments are withheld?  1. Are your payments or portions of your payments ever withheld for disciplinary action?   Yes  No  If yes:   * 1. Please explain:   2. What proportion of your payments are withheld?  1. Do you feel that with your current income you can fulfill basic needs for yourself and your family?  Yes  No 2. Do you feel that with your current income you are able to invest, buy goods, have savings?   Yes  No   1. Do you have social security?  Yes  No 2. Do you receive additional healthcare benefits?  Yes  No 3. Do you receive any other additional benefit or incentive?  Yes  No |

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| WORKING HOURS |

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| 1. How does your company record or monitor working hours? 2. How many hours do you, on average, work in a day? 3. How many hours do you, on average, work in a week? 4. Do you even work more than 40 hours a week?   Yes  No  If yes:  4.1 Are you paid for overtime or at a higher rate?  Yes  No  Does your contract indicate that you are required to work over 40 hours a week? Do you do so voluntarily?  Yes  No   1. How much rest do you typically get in 24-hours period? 2. How much rest do you typically get in a week? |

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| HEALTH AND SAFETY |

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| 1. Have you been trained in health and safety procedures and protocols?   Yes  No  If yes, please describe the protocol:   1. Do you have (or are you aware of) a written health and safety policy?   Yes  No  If yes, is it available in a language or format for all workers/crew members to understand?  Yes  No  **Additional questions for vessel workers/fishers:**   1. Do you have a functioning communication device onboard (cell phone or radio)? Do you have access to it?  Yes  No 2. Do you have personal flotation devices onboard?   Yes  No  If yes, how many:   1. Do you have any other safety equipment onboard (i.e., first aid kits, lifeboats)?   Yes  No |

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| MEDICAL RESPONSE |

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| 1. Do you know if the company is able to provide first aid response at the workplace or vessel in case of emergency?   Yes  No   1. Have you personally received training in emergency response and first aid?   Yes  No   1. Do workers (or do you) have to have a medical certificate attesting your fitness to work?   Yes  No   1. Are you provided with medical care if you sustain a work-related injury, and if necessary repatriated at expense of the company?   No  Yes   1. If you sustain any injuries during work, would you receive worker’s compensation, lost time pay, and payment of medical expenses?   Yes  No   1. Have you experienced or witnessed any workplace accident that resulted to injury or fatality?   Yes  No   1. What were the circumstances that led to this? How did management respond? 2. Do you feel that the response was adequate? Please explain your answer: |

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| ACCESS TO BASIC SERVICES |

1. Do you and other workers have access to the following while at work:
   * Potable water  Yes  No
   * Electricity  Yes  No
   * Sanitary facilities  Yes  No
2. Does your company provide housing and accommodation to you and other workers?

Yes  No

If yes, answer the following questions:

* 1. Do you and other workers have access to the following in your housing or dormitories?
     + Potable water
     + Electricity
     + Sanitary facilities
       1. Are there separate sanitary facilities for men and women?

Yes  No

* + - 1. Can sanitary facilities be locked from the inside?

Yes  No

* 1. Are there separate sleeping quarters for men and women?

Yes

No – please explain:

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| **For vessel workers/fishers:**   1. Do you feel living conditions in the vessel are safe, clean, and comfortable?   Yes  No  If no, please explain/provide more details:   1. Do you feel that sanitary facilities (restrooms, showers) are adequate?   Yes  No   1. Do you have access to potable water on a vessel?  Yes  No 2. Do you have access to clean and healthy food?  Yes  No   If yes:   * 1. Do you think the food tastes good?  Yes  No   2. Do you the company/chef have special considerations for workers that could have dietary restrictions, e.g., diabetic, allergies?  Yes  No   3. Do you have the opportunity to suggest changes or adjustments to the menu, food provided?  Yes  No  1. Have you ever met with your captain or management to discuss vessel improvements?   Yes  No  If yes, please explain/provide more details:   1. Are onshore accommodations provided to you when the vessel is docked?   If yes:  8.1 Do you feel the onshore accommodations are safe, clean, and comfortable?  Yes  No - if no, please explain/provide more details:  8.2 Do you feel that sanitary facilities (restrooms, showers) are adequate?  Yes  No   * 1. Do you have access to potable water on a vessel?  Yes  No   8.4 Do you have access to clean and healthy food?  Yes  No  If yes:   * + 1. Do you think the food tastes good?  Yes  No     2. Do you the company/chef have special considerations for workers that could have dietary restrictions, e.g., diabetic, allergies?  Yes  No     3. Do you have the opportunity to suggest changes or adjustments to the menu, food provided?  Yes  No   1. Have you ever met with your captain or management to discuss vessel improvements?   Yes - if yes, please explain/provide more details:  No |

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| GRIEVANCE REPORTING AND ACCESS TO REMEDY |

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| 1. Are you aware of a process through which you can report any complaint or unfair treatment?   Yes  No  If yes:  1.1 Can you describe the process?  1.2 Have you used this process?  Yes  No If no, why not?  If yes:  1.2.1 Did you find it effective, fair, reliable and confidential?  Yes  No  1.2.2 Did your employers respond to and remedy the situation?  Yes  No  1.2.3 Did you ever fear retribution or retaliation from employers?  Yes  No  1.2.4 Would you say that remediation occurs in a timely manner directly after the reporting?  Yes  No  1.2.5 Have similar complaints reoccurred, or does the current process result in no recurrences?  Yes.  No   1. Are you aware of any special considerations or protections for vulnerable populations in reporting complaints, such as for migrant workers, ethnic minorities, LGBTQ and women? 2. Since joining your company, have you received any unfair treatment that you wish to report?   Yes - if yes, please explain:  No   1. Do you have access to any additional (third party) organizations that can support in addressing complaints or unfair treatment?   Yes - if yes, please describe this mechanism:  No |

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| STAKEHOLDER PARTICIPATION AND COLLABORATIVE MANAGEMENT |

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| 1. Are there any processes allowing workers to participate in the management (i.e., decision-making, enforcement, monitoring, conflict resolution) of the company? For example, stakeholder meetings, public comment periods, co-management bodies, advisory committees, or cooperatives?  Yes  No   If yes:  1.1 Have you been involved in any of these processes?  Yes  No  1.2 Do you feel like your input is considered and reflected in management decisions?  Yes  No  If yes, please provide more details:   * 1. Do you feel that the decision-making process is transparent and made publicly available even to everyone affected by the decision?   Yes  No   * 1. Do you feel that decisions made by all affected stakeholders are engaged on equal terms (have equal capacity to participate)?   Yes  No  1.3 Does the management body of the fishery reflect the demographic make-up of the fishery (i.e., ethnicity, class, gender, migrant status)?  Yes  No   1. Do you, or others in the fisher, work with a civil society organization that you feel represents your interests and helps you to engage with the government?  Yes  No 2. Any additional remarks? |

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| EQUITABLE OPPORTUNITY TO BENEFIT |

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| 1. Do you feel you have equal access to benefits such as loans, profits, medical care, social security, markets, credits, subsidies, and social protection measures, among others?   Yes  No  Please explain your answer:   1. Do you feel that others have equal opportunity access the benefits regardless of gender, ethnicity, religion, sexual orientation, class, migrant status, or political affiliation?   Yes  No  Please explain your answer:   1. Of the groups mentioned, do you know if any of them does not have equal opportunity to benefit or is disadvantaged?   Yes  No  Please explain your answer: |

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| DISCRIMINATION |

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| 1. Do you feel that the basis for selecting and hiring workers are fair and reasonable?   Yes  No   1. Do you feel your wages or earnings, benefits, and incentives, are equal and fair relative to others based on an equal value of work?  Yes  No 2. **For vessel workers and fishers**: Do you receive the same wages for the same catch weight, or the same hours at sea, or based on similar responsibilities, such as divers, or skippers, etc.?   Yes  No   1. Are you aware of an anti-discrimination policy for the company?   Yes  No  If yes:  4.1 Is it available, visible, or posted in a language you understand?  Yes  No  4.2 Do you feel adequately protected by the policy?  Yes  No   1. Have you or anyone you know experienced discrimination in the company made on the basis of race, gender, color, political affiliation, religion, economic class, immigration status, disability, or sexual orientation, etc.?  Yes  No   Note: Assessor can provide examples on how discrimination can potentially occur during recruitment to the fishery, promotion, access to training, access to permits, remuneration, allocation of work, retirement, ability to join or form a cooperative or union, ability to access benefits, among other things. |

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| CLOSING QUESTIONS |

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| 1. Is there anything else that you would like to share with us? 2. If you could improve anything about your working environment, what would it be? 3. What changes would you like to see happen in the workplace? |

# DOCUMENTS REVIEW GUIDE

A review of company and worker documentation is a core element of social assessments. In addition to interviews with management and workers, documents review helps assessors obtain a picture of working and employment conditions at the UoA, and potentially surfacing issues such on forced labor, wages, and working hours, among others.

There are a variety of documents that an assessor can look into. These include wage or pay slips, company policies and procedures, employment contracts and service agreements, and all other files relevant to monitoring employment conditions face by workers in the UoA.

Here are some pointers on what to do during documents review:

* Check authenticity of the documents, especially those that are signed
* Take note of dates – when policies or written procedures are crafted?
* If the UoA cannot provide copies of the documents in a language that an assessor can understand, it is important to have a translator in the assessment team.
* Cross-check information written in one document with another document. For example, company policies on wages and benefits should be consistent with what’s written in workers’ employment contracts and how wages are computed as per their pay slips.

## DOCUMENTS CHECKLIST

Documents that can provide inputs into the different SRAT Principles are listed below. This serves as a checklist where the assessor can easily mark those that were included in the assessment and/or were provided by the UoA.

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| DOCUMENT TYPE | REMARKS | RELEVANT PRINCIPLES OR INDICATORS |
| Does the UoA have written policies or procedures on:  Recruitment, selection and hiring  Work and rest hours  Wages and benefits  Freedom of movement  Humane treatment and workplace equality  Workers’ housing and living conditions  Worker communication and grievance procedures  Termination of employment and repatriation |  |  |
| Can the UoA provide copies of the following:  Payroll records  Time sheets  Pay slips and records of payments to workers  Records of remittance, deposits, savings, deductions  Documented working arrangements or schedule in the working language or languages of the company or fishing vessel  H&S records  Records, service agreements pertaining to recruitment and placement services  Invoices – proof of payment to recruitment and/or seafaring agency  HR Policies and procedures  Crew Recruitment procedures  Written criteria and qualifications of workers/fishers |  |  |
| FOR VESSELS ONLY:  Registration records  License to fish in relation to area of operations  Inspection records - a valid document issued by the competent authority stating that the vessel has been inspected by competent authority  Fishing vessel safety certificates  Previous audit/inspection reports  Logbook  Records of communication between skipper and fishing vessel owner  Safety committee records  Reports of accidents and investigations  Crew list  Fisher’s Work Agreement / Contract of Employment  Seaman’s book – Safety of Life as Sea/Basic Safety training certificate  Valid medical certificates issued by a duly qualified medical practitioner  The medical certificate of a fisher shall state, at a minimum, that: (a) the hearing and sight of the fisher concerned are satisfactory for the fisher’s duties on the vessel; and (b) the fisher is not suffering from any medical condition likely to be aggravated by service at sea or to render the fisher unfit for such service or to endanger the safety or health of other persons on board.  The medical certificate shall be valid for a maximum period of two years unless the fisher is under the age of 18, in which case the maximum period of validity shall be one year.  Scanned copies of crew members’ passports or other official documents confirming fishers’ birth dates  Work schedules for regular fishers, and with respect to fishers under the age of 18 (to determine if hours and nature of work are appropriate for workers aged below 18).  Information on types of work on board that have been identified as likely to jeopardize the safety of fishers under the age of 18  Recent accident reports and safety committee reports to determine whether fishers under the age of 18 were involved |  |  |

Employment contracts and pay records are two critical documents that provide an assessor information on a wide-array of labor conditions and issues. This section provides tips and basic information on what to look for when reviewing these documents.

## REVIEWING EMPLOYMENT CONTRACTS

An employment contract is a signed agreement between an individual worker and an employer. It establishes and contains both the rights and responsibilities of the worker and the company.

Similarly, according to C188, “a fisher's work agreement means a contract of employment, articles of agreement or other similar arrangements, or any other contract governing a fisher's living and working conditions on board a vessel.”

Both worker and company, in this case, the UoA, should therefore maintain or keep a copy of the contract.

minimum elements of an employment contract or service agreement:

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| Are contracts written in language workers understand? | Yes  No  Notes: |
| Are there more than one contract in place, or do workers sign more than one contract? | Yes  No |
| If yes, please provide explanation. |  |
| Who are the signatories to the workers’ contracts? | Worker  UoA (facility/farm/vessel company)  Labor agent or broker  Third-part or outsourcing company  Other, please specify: |
| Do the employment contracts contain the following: | |
| * Name of worker | Yes  No |
| * Date of birth or age | Yes  No |
| * Name and address of your company | Yes  No |
| * Location of work | Yes  No |
| * Additional for vessels:   + Flag state the fishing vessel carries | Yes  No |
| * + Name of the fishing vessel and registration number of the vessel | Yes  No |
| * Job duties and responsibilities | Yes  No |
| * Wages and benefits, including payment terms | Yes  No |
| * Working hours and rest hours | Yes  No |
| * Living conditions, housing, and any associated costs | Yes  No |
| * Work-related hazards, including a clear statement of the hazards of working on a fishing vessel | Yes  No |
| * Required notice period for termination of contract | Yes  No |
| * For migrant workers: entitlement to repatriation | Yes  No |
| Are the terms in the contract consistent with national laws and regulations? | Yes  No  Please explain: |

Remember also that employment contracts should:

* Be written in a language the workers understand
* Be consistent with the law
* Contain termination clause or end of contract period
* Specify no penalties

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| FYI! Employment contracts provide critical data points to the following Indicators:  Indicator 1.1.1: Abuse and harassment  Indicator 1.1.2a: Human trafficking and forced labor  Indicator 1.1.2b: Debt bondage in small-scale fisheries  Indicator 1.1.3: Child labor  Indicator 1.1.5: Earnings and benefits  Indicator 1.1.6: Adequate rest  Indicator 1.1.7: Access to basic services  Indicator 2.2.2: Discrimination |

## REVIEWING PAY RECORDS

Prior to the assessment and documents review, the assessor should establish or understand the legal framework for compensation and benefits that the UoA has to adhere to. At the minimum, the assessor needs to know what is the minimum wage applicable to the UoA and their workers, and other employer responsibilities when it comes to workers’ social security and other benefits already provided for by the law.

There are three core documents when reviewing pay records:

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| Timesheet or time log  A timesheet tracks the time a particular employee has worked during a certain period.  Source of document:  Management  Good practice:  The UoA should be able to show robust recordkeeping systems that accurately logs the number of hours every worker spends time rendering their duties. | Payroll  A payroll is a company’s financial records of employees. It should show the distribution of employee wages and paychecks.  Source of document:  Management | Pay slip  A document given to a worker to show how much they have earned for a certain period, including benefits and deductions, if any.  Source of document:  Workers |
| FYI!  While it is difficult to have set “work hours” in fishing vessels, it is still best practice for vessels to have daily logs of the time workers spent doing their duties. Ensuring crew work a humane number of hours and are provided with regular and sufficient periods of rest remains to be a responsibility of the vessel captain and operator. | FYI!  In cases when wage management is being done by a third party, e.g., a destination country agent/broker, a best practice is when the UoA also maintains or keeps a copy of pay records. | FYI!  It is also important to ask workers when they receive their pay slips. Ideally, workers receive a pay slip every time they receive their pay. However, some companies fail to do so regularly which leaves workers unaware of the details of their pay for a certain period of time. This also limits the opportunity for workers to raise concerns or questions regarding their pay slips to management. |

Steps to pay records review:

1. Understand the UoA’s timekeeping and payroll systems
2. Gather documents from management, and select a sample to review and analyze
3. Triangulate information from documents provided for by the management with interviews with workers and workers’ pay slips

Red flags or potential risk sources when reviewing these documents:

* The UoA is unable to provide documentation and explain how working hours are recorded.
* The wages provided to the workers do not correspond to the number of working hours rendered; or when there are “missing” hours or hours that were not included in the computation of a worker’s pay.
* Workers don’t have a copy of their pay slips, or don’t understand how their wages are computed and, if there are deductions, what those deductions are for.
* There are stark discrepancies among these documents.
* Records show that workers don’t get their minimum rest period of:
  + 10 hours in any 24-hour period
  + 77 hours in any seven-day period

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| FYI! Pay records provide critical data points to the following indicators:  Indicator 1.1.1: Abuse and harassment  Indicator 1.1.2a: Human trafficking and forced labor  Indicator 1.1.2b: Debt bondage in small-scale fisheries  Indicator 1.1.5: Earnings and benefits  Indicator 1.1.6: Adequate rest  Indicator 2.2.2: Discrimination |

1. Precarious Work in the Asian Seafood Global Value Chain. Society for

   Labour and Development, 2016, [www.ituc-csi.org/IMG/pdf/precarious\_work\_in\_the\_asian\_seafood\_global\_value\_chain.pdf](https://www.ituc-csi.org/IMG/pdf/precarious_work_in_the_asian_seafood_global_value_chain.pdf) [↑](#footnote-ref-2)