

2.a



RSS STEP 2

RISK ASSESSMENT (PILLAR 1)



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THE RSS FIELD GUIDES

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2.a

RSS Step 2.a: Risk Assessment

RSS Step 2 focuses on the collection of the information you need to plan and implement an effective RSS programme. This means collecting information on the risks of poor production practices in the smallholder supply base, and smallholders' livelihoods and need for support. Step 2 is therefore split into two sections:

Step 2.a: Risk assessment

Step 2.b: Needs assessment

In practice it may be efficient to combine them. This field guide provides guidance on the risk assessment.

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1. Introduction

The RSS approach identifies three core sustainability issues that are central to the responsible sourcing commitments and policies of many companies. These form the basis of the risk assessment (Pillar 1).

The objective of the risk assessment is to:

- Assess how smallholders in the supply base are performing against the three core sustainability issues and identify risks related to their performance.
- Assess the significance of the risks and identify the locations or aspects of the smallholder supply base where further support is needed to manage the risk and improve performance.
- Identify any existing mechanisms, which are being or could be used to mitigate the risk.

Figure 1: Pillar 1: Minimum Core Issues



A note about 'you'

Throughout the RSS field guides we refer to 'you'. In reality 'you' is the person who is responsible for making this particular step of the RSS framework happen. This may be someone who works directly within the Implementing Entity ('your organisation'), or someone who is hired in or is working on behalf of your organisation.

Although responsibility for implementing parts of RSS may be delegated, the overall responsibility to make RSS happen remains with the lead person.



Box 1

Identifying additional core sustainability issues

There may be additional issues that are essential for responsible production of a specific commodity. You should identify such issues as early as possible in the RSS process and include them in this risk assessment. For example, water management is an essential part of responsible sugarcane production and could therefore be added as a fourth core issue.

2. Preparation

Although the risk and needs assessments are presented separately as Steps 2.a and 2.b, in practice, it may be efficient to combine them. As part of the preparation phase, discuss if and how to combine the assessments.

Organisations will enter the RSS process with variable levels of information about their smallholder supply base. The intensity of risk assessment you need to do depends on how much information you already have. During the preparation phase, assess what information is already available, and what forms of engagement already exist within and outside your organisation. The more you know about your smallholder base to start with, the more you'll be able to build on existing information and programmes. After preparation, an initial assessment and subsequent field-based risk assessment can then focus on filling the gaps.

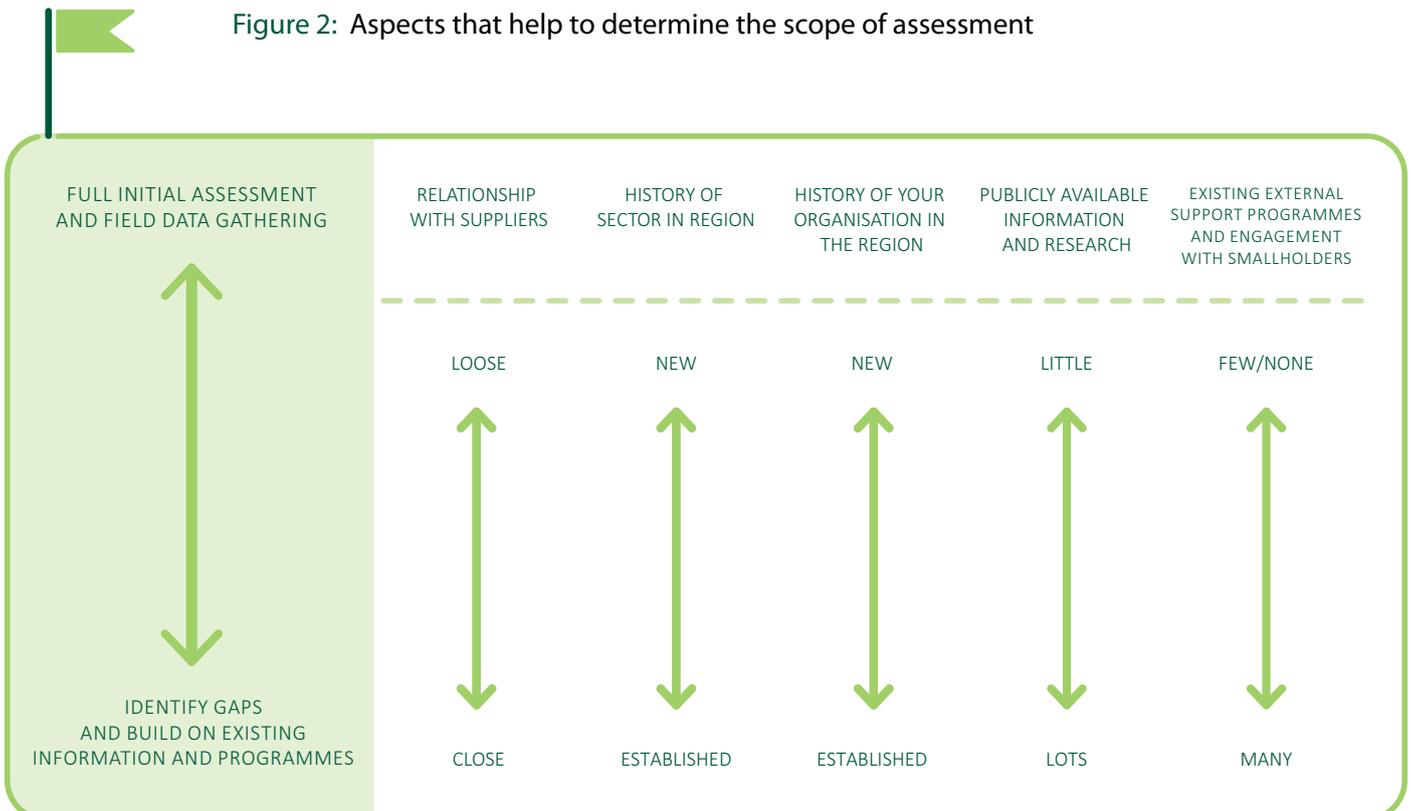
2.1 Assigning roles

The different stages of the risk assessment can be carried out by internal staff from your organisation and/or external specialists. Whoever is responsible for overseeing it needs a clear understanding of the socioeconomic and environmental issues that exist in the supply base area and must ensure that there is coordination if carried out by more than one organisation.

Decide who will carry out each stage of the assessment. This depends on:

- The size and potential impact of the smallholder supply base included in your RSS process.
- The extent, type and potential seriousness of the risks.
- Your organisation's capacity to undertake the assessment itself.

Figure 2: Aspects that help to determine the scope of assessment



2.2 Collecting baseline information – the initial risk assessment

For the initial risk assessment, collect baseline information on the three core sustainability issues (and additional issues if identified). This will help you decide which areas to focus on in the risk assessment.

The collection of information for the initial risk assessment can be 'desk-based' and can use information that is readily available to people in your organisation and key stakeholders you identified in Step 1 (or your Advisory Group if you have one). You don't need to consult widely with other stakeholders at this stage; this happens in the field-based assessment phase.

Annex 1 may be used to guide the collection of baseline information.

2.3. Identifying who to consult during the field-based assessment

The field-based risk assessment should be an interactive process involving consultation with a wide range of stakeholders. The baseline information that you gathered during the initial risk assessment provides the basis for a list of people and organisations to consult during the field-based risk assessment.

If the initial risk assessment suggests there is likely to be a risk related to a specific topic, identify stakeholders who can provide further insight on the importance of this risk. For example, if the initial

assessment suggests that there is an issue with land title or conflict, you could consult land registries, local government officers and chief of community/villages to find out the severity of the issues and how could be managed. If the baseline information suggests there are issues with workers' use of agrochemicals or sanitation, you could consult government health and agricultural bodies for advice, as well as local clinics to identify the extent of the problem.



Hints and tips

Who to consult

Try to follow these ideas on good practice:

- **Plan the field-based consultation process in advance** as much as possible, to ensure stakeholders have time to meet with you and provide appropriate inputs.
- Consult **a range of people** who can give you an accurate picture of the current situation. It is important to capture the variation in circumstances across the range of people in the RSS target group.
- Consult **women and vulnerable people**, including the old and young people. Talking only to village elites or leading farmers will not give you a balanced picture of the risks.
- Be aware that you may **identify additional people** to consult and that plans may evolve throughout the risk assessment.

RSS Step 2.a: Risk Assessment

Annex 2 provides some suggestions for organisations that can be consulted during the field visits as well as topics and types of questions that can be discussed with those organisations (see also RSS Field Guide 1 for guidance on consultation).

3. Field-based risk assessment

3.1. Scope of information

Information about risks can exist at many different levels, from national to local. For example, information about deforestation rates may be available at the national level only, while information on land title may only be available at the community or farm level. Consider which level of information is most appropriate to assess risks for each issue.

3.2. Sources of information

The field-based risk assessment should be an interactive process using your knowledge, that of your organisation, your key stakeholders, publicly available sources of information and consultation with other stakeholders and experts identified as part of your preparation.

Annex 2 sets out a series of questions and sources of information that can be used to collect field-based information to establish whether or not there is a risk. The questions and level of detail provided for each support category in Annex 2 serve as guidance and do not have to be followed systematically.

While you collect information on risks, it is also very important to gather information on existing engagement with the smallholder supply base on mitigation measures. These are activities that aim to reduce the risk of problems occurring, such as government enforcement programmes, farmer training or community initiatives. One example could be a government or company programme to introduce smallholders to the benefits of using protective equipment and to train them in its use. Another example could be a community project to monitor fires in an area facing problems with illegal burning.

This information will be important in developing the action plan in RSS Step 3.



Box 2

Jurisdictional approaches

There is a growing movement to develop initiatives at the scale of landscapes or jurisdictions (municipalities, states, districts or provinces) in some countries. In such jurisdictions or landscapes all the different actors (government, producers, buyers, communities, civil society) can work together to define shared goals, identify and implement best practice, formulate incentives, build capacity and monitor progress. Where such initiatives exist and are effective, collection of information, monitoring and planning engagement with smallholders is probably most effectively achieved by joining and supporting the initiative.

4. Assessing significance

4.1. Validating the findings

To make sure that your findings are accurate, summarise the main findings and conclusions of the risk assessment and discuss them with key stakeholders and key staff within your organisation. If possible, review the risks identified jointly with other stakeholders.

You may also need to present your finding more widely, for example to:

- Representatives of the people and organisations consulted. This will help you to confirm that risks are accurately identified before you start prioritising and planning mitigation activities.
- (Senior) management of your organisation. This will allow senior managers to understand the issues you have identified, raise any questions or concerns at an early stage, highlight their priorities, and get an idea of the scale of mitigation activities needed.

4.2. Determining significance and prioritising risks

For each risk identified, consider the significance of the risk and classify it as high, medium or low. The significance depends on:

- The likelihood of the risk occurring, i.e. the probability that poor performance is happening in the supply base; and
- The severity of the impacts, i.e. the importance of the consequences if poor performance occurs; and

- The mitigation measures already in place.

In some cases, you can arrive at a conclusion on the significance or relative importance of the risk, based on the finding of the desk-based assessment. For example, the output of the Global Forest Watch deforestation risk assessment tool already classifies risks as high, medium or low.

Example

Global Forest Watch (GFW) Palm Oil Risk methodology for deforestation

For desk-based deforestation risk assessment you can make use of readily available mapping. A useful approach to the risk assessment in palm oil is to combine 1) automated analyses online with the GFW Commodities platform¹ and 2) the use of offline analysis in GIS.

The GFW Commodities platform hosts several different analysis tools of use. These are: 1) the Palm Oil Mill Risk Assessment Tool and 2) user-defined 'custom' analyses of deforestation-related risk.

The Palm Oil Mill Risk Assessment Tool maps deforestation-related activity occurring within a 50km sourcing radius around known mill locations in the GFW database or user-defined coordinates that you can upload or input yourself. Risk indicators include:

Environmental values	Environmental threats
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- | | |
|---|--|
| <ul style="list-style-type: none"> • Protected areas • Primary forest • Peat soils • Carbon density • HCV (not yet available, expected beginning 2016) | <ul style="list-style-type: none"> • Fires • Tree cover loss |
|---|--|

RSS Step 2.a: Risk Assessment

The tool provides high, medium and low priority levels for these environmental values and threats for mills. Conducting a deforestation risk assessment of your smallholder supply base requires some knowledge of the supply base that you defined. The GFW radius approach is based on a 50 km radius circle around the mill/First Gathering Point. These can be either points in the GFW database or point locations of mills/collection centres that you upload yourself.

User-defined 'custom' analyses allow you to mark the approximate boundary of the supply base by hand on the GFW Commodities website if you don't know the GPS coordinates. This covers many of the same risks indicators as above.

Offline analysis

The GFW tools provide estimates of overall risk across the whole supply base/mill radius level, but offline analyses allow for finer-scale risk assessment that identifies specific risk areas within the whole supply base. This can be conducted offline using GIS software, but also makes use of freely available data from GFW.

¹The GFW platform is developed and maintained by the World Resources Institute (WRI), and can be found at www.globalforestwatch.org

In addition to any initial desk-based risk assessment you should discuss and seek feedback on the significance of the risk during the field-based risk assessment. If both likelihood and severity are deemed high, the risk should be considered high, and if both are low the risk is low. Where there is a combination of high likelihood and low severity, or vice versa,

the risk should be considered medium.

A number of questions can help you to decide whether the likelihood and severity are high or low.

To assess the **likelihood**, consider:

- a. If there is a risk, does it apply to all types of smallholders or just some?
For example, a supply base might include smallholders using their own community lands where the risk of issues relating to land rights is very low, but also smallholders producing on land contested between two communities where the risk of conflict is high. You may decide to separate your target group and the activities for engagement according to the risk.
- b. If an unsustainable practice is identified, is it happening regularly on a large scale or only in isolated incidents?
For example, there might be occasional reports of smallholders using child labour within an environment where children routinely attend school, in which case the risk is low. Conversely there may be systematic use of children to work on smallholdings, in which case the risk is high.

To assess the **severity**, consider:

- a. If there is poor practice, how severe are the consequences in terms of negative impacts?
- b. Is there is a system in place to mitigate the risk that is effective?

In your field-based risk assessment and discussions, you can discuss what mitigation measures or enforcement are

systems are in place and how effective they are.

For example, if there is some conflict between smallholders about land boundaries in a stable agricultural landscape with a functioning legal system for resolving any boundary disputes the impact is low. However, if there is conflict between smallholders and forest-dwelling communities in an area where there is on-going conversion of forest without any system for conflict resolution, then the potential impact is high.

Where some risk mitigation measures are already in place, it is important to understand the current situation and how effective the systems are. This will inform your own plans to address the risk (which should, where possible, build on existing initiatives).

These questions will help to identify the likelihood and severity of an issue occurring in the smallholder supply base in the RSS area.

Working with key stakeholders, you should determine the significance of each risk. This will enable you to prioritise actions to reduce or mitigate the risks as part of the action plan (RSS Step 3). It's important to do this together with key stakeholders, including smallholders' representatives, to ensure you reflect a broad perspective about which risks are important to address.

The risks can be classified as low, medium or high according to Table 1. Some risks may be high only in a specific area or for a particular group in the supply base.

Conclusion	Risk classification
Likelihood and severity are low: there is a low risk of poor performance related to the issue.	LOW
Either likelihood or severity is low, or mitigating activities are in place: there is medium risk of poor performance related to the issue.	MEDIUM
Likelihood and severity are high: there is a high risk of poor performance related to the issue.	HIGH

Table 1. Classifying risks.

It's important to identify if a risk applies to the entire supply base, or only to a subset of smallholders. This will help in the development of the action plan (RSS Step 3). Based on the results of this risk assessment, you will need to decide whether to adjust the objectives and target group that you defined during preparation and scoping (RSS Step 1).

5. Documenting findings

You can use Annex 2 to document the findings and observations gathered during the field-based risk assessment.

It is not always essential to cover each area, if it was not highlighted as a potential risk in the initial risk assessments.

However, if you decide to skip an area it is good practice to record a brief explanation of the reasons. This can be included in the summary tables in Annex 2.

Annex 1 – Initial risk assessment

Guidance for collecting baseline information and preparing consultation

Core issue	Baseline information on core issue	Stakeholders to be consulted
Land rights and conflicts	<ul style="list-style-type: none"> • According to common knowledge within your organisation, describe the situation of land rights within the supply base. Are there any problems with land rights in the area? Is it easy or not to secure unambiguous rights to land for farmers? • Is the issue the same throughout the supply base or are there differences in the land rights situations of farmers in the supply base? • Describe any knowledge or information on existing land conflicts. 	<ul style="list-style-type: none"> • List which stakeholders should be consulted to assess or verify risks. • Identify potential sources of information and organisations that can help provide further information.
Deforestation and land conversion	<ul style="list-style-type: none"> • Based on common knowledge among your colleagues describe whether agricultural production occurs on land that was recently converted from natural habitats. • Are there any protected areas or ecologically important areas within the supply base? • Are there any important waterways, rivers or sources of water in the supply base where smallholders produce? • Are there any important species under threat within the supply base area? 	<ul style="list-style-type: none"> • List which stakeholders should be consulted to assess or verify risks. • Are there any organisations that can help to provide maps, remote sensing or satellite images of the area? • Identify potential sources of information and organisations that can help provide further information.
Labour rights and working conditions	<ul style="list-style-type: none"> • According to common knowledge in your organisation, describe the working conditions and practices of smallholders in the supply base area. • Are working conditions similar throughout the supply base, or are there differences between different types of smallholder supplier? 	<ul style="list-style-type: none"> • List which stakeholders should be consulted to assess or verify risks. • Identify potential sources of information and organisations that can help provide further information.

Annex 2 – Guidance for field assessment and documentation of findings on risk

Questions to help identify risks of poor practice related to each core issue.

These are to serve as guidance and do not have to be followed systematically.

Core Issue 1: Land rights and conflicts

Assess the risk that products are produced on land where there are **serious unresolved conflicts** over rights or where the smallholders have **no legal or customary right** to produce.

Risk is considered low if:

- There are no significant land conflicts, unless conflict resolution processes are being implemented that are accepted by all of the parties involved.
- Evidence of negotiated agreements is available where there are new plantings on community land.
- There is no encroachment in national parks or other protected areas.
- Use rights to the land can be clearly defined and demonstrated e.g. evidence showing legal ownership or lease is available.
- Use rights, including legal title and/ or customary tenure, of other farmers are respected.

Guiding questions	Guidance, examples and potential sources of information ²	Stakeholders to be consulted	Existing mitigation
Use rights			
Are there any issues or problems with land title and use rights in the area?	<p>Is it common that smallholders have a land title and/or use rights? If not, what is the common situation on land rights and title?</p> <p>If land and/or use rights for farmers are not common, are there alternative documents to demonstrate use rights?</p> <p><i>For example, in many countries full legal documentation is rare but other documents are considered adequate for confirming rights. There could include official documents by a bank to obtain a loan; land applications or uncontested land registrations with government agencies or an affidavit (official declaration or sworn statement) which indicates the boundaries of the piece of land and the rightful owner).</i></p> <p>Potential sources of further information on land title and use include:</p> <ul style="list-style-type: none"> • Land registries and land offices • Native courts and customary courts <p>Other stakeholders that can be consulted are:</p> <ul style="list-style-type: none"> • Cooperatives • Chief of community/village • Interviews with smallholders or their association/group representatives • Civil society organisations 		

Guiding questions	Guidance, examples and potential sources of information ²	Stakeholders to be consulted	Existing mitigation
Use rights			
Are there any limitations on the use rights of farmers lands?	<p>Are there any requirements to set aside land as conservation units, buffer zones?</p> <p>If farmers are producing close to conservation units, are such areas as national parks (NP) and protected areas (PA) clearly marked?</p> <p>Is there general awareness within surrounding communities on areas of NP and PA?</p> <p>Source for further information include:</p> <ul style="list-style-type: none"> • Satellite images • National park agencies • Protected areas database and maps • Environmental NGOs 		
Guiding questions	Guidance, examples and potential sources of information ²	Stakeholders to be consulted	Existing mitigation
Significant land conflicts			
Are land rights of farmers in the supply base contested?	<p>Is there agricultural production by smallholders on lands claimed by communities or indigenous peoples within the RSS area? If so, is any of this production subject to serious unresolved dispute?</p> <p>What is the severity and number of conflicts? Are disputes on a small or a large scale – how many hectares, communities and/or smallholders are affected.</p> <p>Are there any organisations monitoring and reporting on agricultural expansion into contested areas?</p> <p>Possible sources of information include:</p> <ul style="list-style-type: none"> • Native courts and customary courts • Complaints committees/intermediaries • Social NGOs and local CSO • Interviews with smallholders or their association/group representatives 		

Guiding questions	Guidance, examples and potential sources of information ²	Stakeholders to be consulted	Existing mitigation
Significant land conflicts			
Are there any mechanisms in place for competing claims and/or agreements for land?	Are there any grievance mechanisms in place? Are there credible and effective mechanisms to resolve disputes? Do they provide for negotiated agreements? Potential sources of information include: <ul style="list-style-type: none"> • Land-use planning maps and permits • Local authorities • Local NGOs or similar organisations • Interviews with smallholders or their association/group representatives 		
Other relevant questions			

² This list of questions and examples serves as guidance only and it is NOT mandatory to go through all questions or sources of information.

Issue	Likelihood of poor practice	Severity of impact	Overall significance	Comments and justification
Use rights				
Significant land conflicts				

Core issue 2: Deforestation and land conversion

Assess the risk that products are produced on land that was recently converted from valuable natural habitats. Risk is considered low if:

- There is no conversion of land from natural forest or ecosystem to farmland.
- A cut-off date for conversion of land from natural forest to farmland, as defined in respective existing commodity certification standards, is respected.
- Farming activities maintain or enhance any identified high conservation values (HCVs).
- Farming activities are not in peat areas.
- No burning is used to clear land or prepare for harvest.

Guiding Questions	Guidance, examples and potential sources of information	Stakeholders to be consulted	Existing mitigation
<p>Conversion of forest and natural ecosystems</p> <p><i>Note on HCS: At the global level, discussions and work on definitions for ‘deforestation’ that refer to the concept of High Carbon Stock (HCS)’ are ongoing. As this concept of HCS and the definitions are not finalised yet, this RSS guidance document does not yet consider the concept of HCS. This will be included once international definitions are adopted or specific tools are available.</i></p>			

Guiding Questions	Guidance, examples and potential sources of information	Stakeholders to be consulted	Existing mitigation
<p>Is there a risk of conversion of forest or important natural ecosystems?</p>	<p>The initial desk-based risk assessment should give you a first indication whether your smallholders are operating in or near Intact Forest Landscapes, Protected Areas and on areas with forest cover loss.</p> <p>During the field visit, you can further verify these findings and look for signs of Protected Areas, proximity of smallholder operations near these sites.</p> <p>The following areas are considered high risk and conversion within these areas should be considered not acceptable:</p> <ul style="list-style-type: none"> • Intact Forest Landscapes- http://www.intactforests.org/data.ifl.html • IUCN Protected Area categories I-IV- http://www.iucnredlist.org/ • Deforestation areas – See World Resource Institute data of Global Forest Watch database- http://www.globalforestwatch.org/ • Wetlands of International Importance designated under the Ramsar Convention- http://www.ramsar.org/sites-countries/the-ramsar-sites • World Heritage sites designated under the UNESCO World Heritage Convention – www.whc.unesco.org/en/list • Biosphere Reserves designated under the UNESCO Man and Biosphere programme – see http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/biosphere-reserves/world-network-wnbr/wnbr/ • Other legally protected areas at national or local level. E.g. national protected areas or parks – check national park agencies or environmental NGOs 		
<p>Is there a risk of conversion of peat land?</p>	<p>Is there any peat land in or close to the smallholder supply base?</p> <p>If smallholders are farming on peat land or on recently converted peat land, this is considered high risk.</p> <p>Sources of information include:</p> <ul style="list-style-type: none"> • Satellite images; WRI Global Forest Watch Commodities database- http://commodities.globalforestwatch.org/ • Ramsar sites- http://www.ramsar.org/country-profiles 		

Guiding questions	Guidance, examples and potential sources of information	Stakeholders to be consulted	Existing mitigation
<p>Is there a risk of deforestation happening in the supply base?</p>	<ul style="list-style-type: none"> • Is there a legal requirement in place to protect forests? If so, is the system also adequately enforced? • Is there a system in place to monitor and report on deforestation? <i>For example, if adequate systems to protect forests and monitor and report deforestation are in place and enforced, risks of deforestation in the supply base is likely to be low.</i> <p>Potential sources of information include:</p> <ul style="list-style-type: none"> • Satellite images • WRI Global Forest Watch database: http://commodities.globalforestwatch.org • District forest offices • Forest departments of Universities or Research reports • Environmental NGOs • HCV Resource Network and existing HCV assessment reports: www.hcvresourcenetwork.org 		
<p>Are any of the smallholders farming on land that has been cleared from forests in the past 5-10 years?</p>	<p>Refer to the various certification schemes that have defined cut-off dates. Such a cut-off dates indicates that if any clearing of forests for farmland occurred after that specific cut-off date, it will be harder for farmers to get certified. Thus, if any smallholders are farming on land cleared after a specific cut-off date that is considered high risk.</p> <p>Cut-off dates defined in standards:</p> <ul style="list-style-type: none"> • FSC: November 1994 • SAN: 1 November 2005 • RSPO: November 2005 • Bonsucro: 1 January 2008 • RSB: 1 January 2008 for RSB EU RED Standard; 1 January 2009 for RSB Standard • RTRS: May 2009 		

Guiding questions	Guidance, examples and potential sources of information ²	Stakeholders to be consulted	Existing mitigation
Natural habitat protection			
<p>Are High Conservation Value (HCV) areas likely to be present within the area farmed by smallholders?</p>	<p>Identify if there are potentially any species listed on IUCN Red list (VU-EN-CR) or nationally important or protected species, affected by farming</p> <p>Is it likely that any rivers or water resources important for drinking/ washing/fishing are negatively affected by smallholder farming?</p> <p>Are there any resources from natural ecosystems for communities in the supply base are that are at risk due to farming practices?</p> <p>Are there areas in the supply base with Steep slope(s) where smallholders are farming?</p> <p>Does the supply base include sites or resources of cultural or spiritual importance?</p> <p>If any or more of the above questions are answered with yes, HCVs are likely to be present this should be identified as a risk.</p> <p>Sources of information include:</p> <ul style="list-style-type: none"> • IUCN Protected Area categories I-IV: http://www.iucnredlist.org/ • Guidance of Unified HCV approach for smallholders: check with info@hcvresourcenetwork.org or info@sharppartnership.org • HCV Resource Network assessments • Environmental NGOs • Ramsar sites : http://www.ramsar.org/sites-countries/the-ramsar-sites • Interviews with farmers and communities 		

Guiding questions	Guidance, examples and potential sources of information ²	Stakeholders to be consulted	Existing mitigation
Natural habitat protection			
Do smallholders use burning to clear farmland?	<p>Is fire or burning used as general practice for clearing land or harvest preparation by farmers in the supply base?</p> <p>If farmers are using burning as general production practice, this is considered higher risk. Potential sources of information on fires or smallholder production practices include:</p> <ul style="list-style-type: none"> • Satellite images • WRI Global Forest Watch database- http://commodities.globalforestwatch.org • Cooperatives • Environmental NGOs • Interviews with farmers and communities 		
Other relevant questions			

Issue	Likelihood of poor practice	Severity of impact	Overall significance	Comments and justification
Deforestation and conversion natural ecosystems				
Protection of natural habitats				

Core issue 3: Labour rights and working conditions

Assess the risk that products are produced by workers or family members working under unacceptable conditions.

Risk is considered low if:

- Workers or unpaid family members are provided with a safe and healthy workplace, including, where applicable, safe housing conditions.
- There is no use of child labour, that is harmful to the health, safety or morals of children or that improperly interferes with their schooling needs.

Additionally, for paid workers (e.g. not applicable for family members or unpaid workers), risk is considered low if:

- Workers' pay and working conditions comply with minimum legal

requirements, mandatory industry standards and collective agreements.

- The rights of workers to freedom of association and collective bargaining are respected, consistent with applicable ILO Conventions 87 and 98.
- Hiring and employment practices do not discriminate, consistent with applicable ILO Convention 111.
- There is no use of forced or compulsory labour including bonded and involuntary prison labour, consistent with ILO Conventions 29 and 105.

Guiding questions	Guidance, examples and potential sources of information	Stakeholders to be consulted	Existing mitigation
Workers' conditions			
Is there an issue with workers on farms or smallholders themselves not receiving the minimum wage for the country and/or sector?	<p>Are smallholders and workers on the farm aware of minimum wage?</p> <p>Sources of information on minimum wage issues include:</p> <ul style="list-style-type: none"> • Local union offices • Cooperatives • Government extension workers and teams • Contracts of workers • Payslips or register • Interview with workers 		
Are there any barriers for smallholders or workers related to freedom of association and collective bargaining?	For sources of information – see above		

Guiding questions	Guidance, examples and potential sources of information	Stakeholders to be consulted	Existing mitigation
Workers' conditions			
<p>Are there any risks related to safe and healthy working conditions for smallholders and/or their workers?</p>	<p>In general, is there provision of protective equipment for family members and their workers, measures against hazardous solo working, regular breaks, regular medical check-ups/access to medical care, training in case of animal/insect bites. Is there adequate housing, water quality and sanitation. Further information is likely to be available from:</p> <ul style="list-style-type: none"> • Health and safety agencies • Complaints and cases on unsafe and unhealthy conditions • Cases reported/discovered by government agencies • Local clinics (e.g. cases reported) • Interviews with workers 		

Guiding questions	Guidance, examples and potential sources of information	Stakeholders to be consulted	Existing mitigation
Forced and child labour			
<p>Is there use of harmful child labour on smallholder farms?</p>	<p>Are children on a regular basis not attending school? If so, this is considered high risk.</p> <p>Are children common use of labour in the supply base area?</p> <p>Do children carry out any activities that are harmful to their physical and mental development? If children carry out one or more of the following activities, this is considered harmful and thus high risk:</p> <ul style="list-style-type: none"> • Exposure to and working with toxic and agrochemicals, including mixing and application of fertilisers and pesticides, e.g. applying them without any form of protection (gloves, masks etc.) • Exposure to and working with sharp tools, like machetes, and machinery not designed to be used by children • Working with (too) heavy loads • Working in (too) high temperatures for too long (can result in heat exhaustion) • Exposure to extreme environmental conditions (e.g. Risk of snakebites or injuries from other animals, too high exposure to dust, etc.) <p>Information on the extent to which children are involved in labour in smallholder production, the age and conditions of children working may be available from:</p> <ul style="list-style-type: none"> • Local and national government agencies and publications • Local schools and teachers within the RSS area (e.g. records of attendance) • Religious communities and meeting places <p>This relates to compliance with ILO Conventions 138 and 182</p>		

Guiding questions	Guidance, examples and potential sources of information	Stakeholders to be consulted	Existing mitigation
Forced and child labour			
<p>Is there a risk of use of forced or compulsory labour on smallholder farms?</p>	<p>Forced labour includes bonded and involuntary prison labour</p> <p>Information should be available from:</p> <ul style="list-style-type: none"> • Local and national government agencies and publications • Local NGOs or trades unions • Religious communities and meeting places • Interviews with workers <p>If there is any possibility of this being an issue then interviews with workers may be required</p>		

Issue	Likelihood of poor practice	Severity of impact	Overall significance	Comments and justification
Workers' conditions				
Child or forced labour				

Core issue 4: Other issues identified by the implementing entity or aggregator

Guiding questions	Guidance, examples and potential sources of information	Stakeholders to be consulted	Existing mitigation

Issue	Likelihood of poor practice	Severity of impact	Overall significance	Comments and justification
Workers' conditions				
Child or forced labour				