Human rights due diligence

self-assessment tool

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# Introduction

This tool addresses the key steps necessary to establish human rights due diligence – a set of procedures and practices that reduce the risk of child labour, forced labour and gender inequality affecting cocoa farms, and mining associations.

The tool is designed for use by a small management team of a cocoa cooperative or mining association, which is in the early stages of establishing and developing human rights due diligence. By answering the questions in the tool, the user can identify how to improve their due diligence over time.

The questions in the tool promote respect for human rights, especially the prevention of child labour and forced labour, and the equal treatment of women and men. The tool is gender-sensitive, and so the questions prompt the user to consider how women and girls may experience different human rights risks to men and boys, and consequently, to identify situations where women and girls are exposed to greater harm.

The HRDD self-assessment tool consists of:

* The HRDD self-assessment questions, and relevant guidance
* The risk assessment questions, and recommended mitigation measures
* Optional templates, and materials, to support HRDD activities

The self-assessment is built around the structure below.

|  |  |  |
| --- | --- | --- |
| A. | Policy Commitment | Answer (yes, no) |
|  | Template x: …….. |  |
| 1. | Do you have …. | *No* |
|  | **Notes***[Add your comments here to explain the answer given]* |  |
|  | **Guidance***[This explains why the question matters and what to do if you need to improve]* | *If you answer no….* |

# Templates

The following are designed to support the implementation of human rights due diligence, and effective record keeping informing continuous improvement.

Template 1: HRDD Commitment

Template 2: HRDD Committee terms of reference

Template 3: Vulnerable groups list

Template 4: Communication plan

Template 5: External stakeholder list

Template 6: Resources plan

Template 7: Information Collection Plan

Template 8: Mitigation Plan

Template 9: Grievance Procedure

Template 10: Grievance Record

Template 11: Remediation Plan

Template 12: Annual Monitoring Plan

Template 13: Monitoring Questions

Template 14: Monitoring Results

Template 15: Annual Reporting Plan

Awareness raising materials:

Poster about the grievance mechanism

Flipbook on human rights due diligence

# Commitment and communication

This section assesses the following aspects of developing a written commitment on human rights due diligence:

* Policy commitment
* HRDD personnel and committee
* Communication
* Resources

|  |  |  |
| --- | --- | --- |
| **A.** | **POLICY COMMITMENT** | **Answer** (Yes, No) |
|  | ***Template 1: HRDD Commitment******Materials: Poster*** |  |
| **1.** | Do you have a written policy that commits to all of the following**:*** respecting all human rights
* eliminating child labour and forced labour
* promoting gender equality and women's empowerment
* eliminating workplace violence and harassment
* promoting non-discrimination and inclusion
* conducting human rights due diligence
 |  |
|  | NOTES: |
|  | **GUIDANCE:*** Each of these commitments is important because they are the standards of behaviour the business will uphold
* Commit to respect all human rights, but also highlight priority risks of child labour, forced labour, gender inequality, workplace violence and harassment, discrimination.
* The commitment to due diligence is the practical action the business will take to implement the policy.
 | *If you answer NO (there is no policy), this means that there is no clear statement of the standards of behaviour expected at the farm or mine, and so there is a high risk of harm. Take action!* |
| **2.** | Does the policy recognise that negative human rights impacts affect women and men in different ways, and that in some situations, women can be more at risk of harm than men?  |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Taking a gender-sensitive approach to due diligence enables the business to protect both women and men from harm, and to promote situations where women and men share the same rights, responsibilities and opportunities.
* Recognising that women and men may experience impacts on human rights differently helps to inform more effective mitigation and remediation measures.
 | *If you answer NO (there is no recognition of how human rights impacts affect women and men differently), and this will mean that the risk management approach is not gender sensitive, and there is a high risk of harm. Take action!* |
| **3.** | **Does the policy promote continuous improvement and transparency?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** This due diligence tool promotes a risk-based approach, which means that problems are assessed and addressed transparently, rather than taking an overly punitive approach, that results in problems being hidden away.
 | *If you answer NO (there is no promotion of continuous improvement and transparency), it is more likely that farmers, miners and workers, will hesitate to report problems for fear of repercussions, and so there is a high risk of harm. Take action!* |
| **4.** | **Is there a commitment to communicate the policy in contracts and agreements?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Including the policy in relevant contracts and agreements with members, or business relationships, means that there is a legal agreement that the parties will uphold the standards expected.
* Contract terms usually state that the business may choose to terminate a contract where the member/business caused the violation and is not engaging in corrective actions with good will.
 | *If you answer NO (the policy is not included in contracts and agreements), there is no contractual requirement for members, and business partners, to uphold the human rights standards in the policy, and so there is a high risk of harm. Take action!* |
| **5.** | **Is there a commitment to communicate the policy in training and awareness raising?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Training equips managers and staff, and members of the cooperative or association, and relevant business relationships, with the knowledge and skills to implement the commitment and due diligence activities.
* Awareness raising conveys key messages about risks and how to get help to all employees, all members, and all workers, as well as relevant business relationships.
 | *If you answer NO (there is no commitment to communicate the policy), this means that there may not be adequate training and awareness raising, and so there is a high risk of harm. Take action!* |
| **B.** | **HRDD personnel and committee** |  |
|  | ***Template 2: HRDD Committee terms of reference*** |  |
| **6.** | **Is there a senior representative at the business who is accountable for human rights?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** This person is usually a member of the board, a director, or senior management. They may already be responsible for similar issues, such as compliance and certification.
* Ensure they have the knowledge and capacity to perform the role and understand their responsibilities.
* This person oversees the effectiveness of human rights due diligence and is accountable for failures to prevent severe human rights impacts.
 | *If you answer NO (there is no senior representative at the business who is accountable for human rights), this means that the business lacks necessary oversight and attention to the human rights program, and so there is a high risk of harm. Take action!* |
| **7.** | **Is there a manager at the business who is responsible for implementing human rights due diligence?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** This person is responsible for the day-to-day leadership and management of due diligence
* Ensure they have the knowledge and capacity to perform the role and understand their responsibilities.
* They lead and coordinate HRDD activities, with the support of the HRDD committee, and they report on progress to the person accountable.
 | *If you answer NO (there is no person responsible for HRDD), this means that the business lacks a person who will systematically coordinate and implement HRDD, so there is a high risk of harm. Take action!* |
| **8.** | **Is there an HRDD committee for human rights due diligence that includes:** * **the manager responsible for human rights**
* **knowledgeable and trusted members**
 |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The committee is led by the manager responsible for human rights
* Committee members have a good understanding of human rights risks, and are trusted by employees, farmers, miners, or workers, and women and men.
* Typical candidates include senior cooperative/association members, trainers, agronomists, etc.
* Encourage women and men to join the committee and support candidates to develop the necessary skills and experience.
* Promote the opportunity in relevant forums, such as training sessions, meetings in the community, farm or mine, women's groups, and local radio.

[Note. The HRDD committee can be merged with an existing committee, so long as it fulfils its terms of reference.] | *If you answer NO (there is no committee), this means that the person responsible for HRDD may lack support across the business to implement HRDD activities, so there is a high risk of harm. Take action!* |
| **9.** | **Is there a committee member responsible for gender equality and women's empowerment?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Identify a committee member for this role who is a woman, or a person knowledgeable about gender equality and empowerment, and motivated to lead this program of work. They may already hold a role in the business with responsibility for this topic.
* This role has responsibility for promoting a gender sensitive approach in the committee, and all HRDD activities.
* All of the committee, and management, and the member responsible for gender equality, encourage and support women candidates to develop the necessary skills and experience to join the committee, and take on this role.
 | *If you answer NO (there is no committee member responsible for gender equality), this means that HRDD activities may not be gender sensitive, so there is a high risk of harm. Take action!* |
| **10.** | **Are responsibilities for human rights due diligence activities clearly assigned to committee members, and do they understand their roles and responsibilities?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The HRDD manager agrees and assigns roles and responsibilities to each committee member.
* It is recommended to have one or more committee members who are responsible for a) the risk assessment and mitigation, and b) the grievance mechanism and remediation.
* Members understand that they coordinate with the person responsible for gender equality and women's empowerment on assigned tasks.

Note. Committee members can share responsibilities or take on more than one task**.** | *If you answer NO (there are no tasks assigned), this means that HRDD committee may not function effectively, so there is a high risk of harm. Take action!* |
| **11.** | **Are you meeting continuous improvements targets to ensure that at least 25%-50% of the HRDD Committee are women?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Approximately half of committee members should be women - this may be a goal achieved over time with continuous improvement targets.
* Ensure that the call for HRDD committee members is communicated to women, as well as men.
* Where necessary, provide training on literacy, and leadership/life skills to women so they are equipped to join the committee. Local NGOs that specialise in leadership and skills training for women in agriculture may be able to provide regular support, and the gender representative on the committee may lead this work.
 | *If you answer NO (the target is not being met), this means that women’s views and situation are less represented in HRDD, and so there is a high risk of harm. Take action!* |
| **12.** | **Have all committee members received training on human rights issues and HRDD?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Support committee members with relevant training on the knowledge and skills necessary to perform their tasks
* Committee members should understand HRDD tasks, as well as risk issues of gender inequality, child labor, forced labor, workplace violence and harassment and discrimination.
* Collaborate with local expert stakeholders, and/or the training team at the cooperative or association to provide this training.
 | *If you answer NO (members have no training), this means that they will lack the capacity to perform tasks effectively, and so there is a high risk of harm. Take action!* |
| **C.** | **COMMUNICATION** |  |
|  | ***Template 3: Vulnerable groups list******Template 4. Communication plan******Materials: Poster, flip book*** |  |
| **13.** | **Is the written policy on human rights publicly and easily available, including to people who are less literate?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Post a copy of the written policy statement on the business website (if there is one).
* Post a copy of the written policy statement in a visible, busy location e.g. at the cooperative/association office, weighing stations, payroll, entrance/exit
* Use posters alongside the policy with pictures and images that convey the standards of behaviour that the policy promotes.
 | *If you answer NO (the policy is not publicly and easily available, including to those who are less literate), this means that members and workers, and business partners may not be aware of the commitment, and so there is a high risk of harm. Take action!* |
| **14.** | **Has the HRDD Committee identified any groups or persons who may be particularly at risk or vulnerable to human rights impacts?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Vulnerable groups include people who are disadvantaged, marginalised or excluded from society. As a result, they are less resilient to exploitation, especially child labour and forced labour, and can also find it more difficult to report problems and get help.
* It’s important to identify groups who are vulnerable, so that special arrangements can be made to ensure they are included in awareness raising and training, and in activities to assess and address risk, and provide remedy.
 | *If you answer NO (members of vulnerable groups are not identified), this means that they may not be included in HRDD, and so there is a high risk of harm. Take action!* |
| **15.** | **Does the HRDD Committee provide training, and run awareness programs, on human rights for management and staff, and all members, including women and vulnerable groups?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Training on HRDD and human rights risks should be provided at least once a year to management and staff. It may be part of an annual update on progress achieved.
* Awareness raising on human rights risks, and how to report problems, is regular and ongoing among all staff, all members and workers, and in the community.
* Special attention is paid to ensuring that women (members, wives, community), and members of vulnerable groups are included and able to attend training and awareness raising
 | *If you answer NO (training and awareness raising is not provided), this means that people will be unaware of the standards of behaviour required in the policy, and so there is a high risk of harm. Take action!* |
| **16.** | **Does the HRDD Committee record the number of participants in training and awareness raising activities, including the number of women and men, and people from vulnerable groups?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the Communication Plan to record the total number of participants in training sessions and in awareness raising activities, and the number of women and men, and persons from vulnerable groups, who participate
* Record the arrangements made to invite women and vulnerable groups, and to make it easy for them to participate
 | *If you answer NO (training and awareness raising is not monitored), this means there is no oversight, and so there is a high risk of harm. Take action!* |
| **D.** | **RESOURCES**  |  |
|  | ***Template 5: Stakeholder list******Template 6: Resources plan*** |  |
| **17.** | **Has the HRDD Committee identified stakeholders who can support due diligence with human rights expertise and/or financial resources?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** External stakeholders - people and organisations - can provide expert support for HRDD activities (e.g. charitable organisations and NGOs, local government officials, professional experts)
* Expert support can be extremely useful for mitigation and remediation measures, for training and awareness raising activities, and the promotion of gender equality
* Identify what knowledge and expertise, or resources, the stakeholder can share and plan areas of potential collaboration.
* Use the Stakeholder List to help identify relevant people or organisations
 | *If you answer NO (stakeholders are not identified), this means there is a lack of external support for HRDD, and so there is a high risk of harm. Take action!* |
| **18.** | **Has management set aside a budget and resources as part of annual planning for the HRDD process?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Identify what internal capacity can be used to support HRDD, and what alternative resources are available, from external stakeholders or volunteer participation.
* Estimate costs and plan a budget to support the HRDD manager, and the HRDD Committee members in their activities, particularly on mitigation and remediation.
* Ensure that where members or workers support the committee and its activities on a voluntary basis, they do not lose income/wages, and are remunerated for costs.
* Use the Resources Plan to help your resource planning
 | *If you answer NO (there is no budget), there may be a lack of resources to support HRDD implementation, and so there is a high risk of harm. Take action!* |

# Risk assessment and mitigation

This section assesses the following aspects of assessing risks of child labour, forced labour and gender inequality, and responding to those risks through mitigation.

* Preparation
* Conducting the risk assessment
* Implementing mitigation measures
* Continuous improvement

|  |  |  |
| --- | --- | --- |
| **E.** | **RISK ASSESSMENT - PREPARATION** |  |
|  | ***Template 7. Information Collection Plan******[Review Resources Plan, Vulnerable Groups, Stakeholder List]*** |  |
| **19.** | **Is a member of the HRDD Committee assigned responsibility for the risk assessment and mitigation, and have they received training on how to do this?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** A member of the HRDD committee coordinates the risk assessment and mitigation activities, under the leadership of the HRDD manager. One or more people on the committee may share this responsibility.
* The person responsible requires knowledge about human rights risks, as well as a good understanding of the farm or mine operations.
* The person responsible requires the skills to analyse documents, data, and sites, as well as to conduct interviews with women and men who are farmers, miners, and workers, or community members.
 |  |
| **20.** | **Is there a team to support work on the risk assessment and do they understand their roles and responsibilities?** |  |
|  | NOTES: |  |
|  | GUIDANCE:* Consider who across the cooperative/association has the local knowledge and experience to help answer the risk assessment questions. For example, senior farmers, miners, trainers, agronomists, or union members.
* Make sure that everyone understands the plan of work and their role in collecting information and answering the risk assessment questions.
* Ensure that all volunteers are reimbursed for costs, or working time lost
 |  |
| **21.** | **Are you meeting continuous improvements targets to ensure between 25%-50% of the risk assessment team are women?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Ensure that women are represented in the risk assessment team, with meaningful roles.
* Consider barriers to women’s participation in the committee, or as a volunteer on the risk assessment team, and facilitate their involvement.
* Your goal should be to have approximately 50% of team members who are women.
 |  |
| **22.** | **Have you identified what information is needed and available to answer the risk assessment questions? (Use the Information List)** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the Information Checklist for examples of information that can inform the risk assessment and adapt the list to your situation.
* Where possible, it is recommended to collect information from three types of sources: a) documents – records of activities and procedure and data, b) places - observation of sites, situations, and behaviour c) people – interviews and discussions with relevant people
 |  |
| **23.** | **Have you planned to engage people from vulnerable groups so that they are represented in the risk assessment? (**Vulnerable Groups List) |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the Vulnerable Groups List completed by the HRDD Committee . This list identifies persons or groups who are disadvantaged, excluded, or marginalised in some way, and are therefore more exposed to human rights risks than other farmers or miners.
* Additional measures may be necessary to communicate with persons from vulnerable groups, for example, they may speak a different language, live in a separate community, or have lower literacy skills.
* Including vulnerable groups is critical because by identifying the risks they face, the farm or mine can take action to protect them, by mitigating those risks.
 |  |
| **24.** | **Has management set aside a budget and resources for the risk assessment and follow-up mitigations? (Use Resources Plan)** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the initial Resources Plan developed by the HRDD committee.
* Assess what resources are necessary in more depth.
* Some HRDD tasks may be integrated into existing activities, and are performed by existing staff or members, with additional support by volunteers.
* Some HRDD activities such as mitigation and remediation may be implemented with external expert stakeholder support.
* Some HRDD activities may require new resources, and so it is important that management allocates sufficient budget for these activities**.**
 |  |
| **25.** | **Have you reviewed what expert stakeholders may support mitigation? (Use Stakeholder List)** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the initial Stakeholder Plan developed by the HRDD committee
* One of the tasks of the HRDD committee is to identify external stakeholders (experts and organisations) with the expertise and resources to support local efforts to prevent child labour, forced labour, and gender inequality.
* Discuss and agree what people or organizations may be needed to support mitigation measures, once the risk assessment is complete.
 |  |
| **F.** | **RISK ASSESSMENT – IMPLEMENTATION** |  |
|  | ***Risk Assessment tool.*** |  |
| **26.** | **Have you completed the community risk assessment?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The community assessment identifies risk indicators of child labour, forced labour and gender inequality at a community-wide level. It is conducted at least once a year.
* The risk assessment has four parts: community risks, child labour risks, forced labour risks, and gender inequality risks.
 |  |
| **27.** | **Have you completed the child labour risk assessment for the farm or mine?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The child labour assessment identifies risk indicators of child labour, at a farm or mine. It is conducted at least once a year.
* The risk assessment has four parts: community risks, child labour risks, forced labour risks, and gender inequality risks.
 |  |
| **28.** | **Have you completed the forced labour risk assessment for the farm or mine?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The forced labour assessment identifies risk indicators of forced labour, at a farm or mine. It is conducted at least once a year.
* The risk assessment has four parts: community risks, child labour risks, forced labour risks, and gender inequality risks.
 |  |
| **29.** | **Have you completed the gender inequality risk assessment for the farm or mine?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The gender inequality assessment identifies risk indicators of gender inequality at a farm or mine. It is conducted at least once a year.
* The risk assessment has four parts: community risks, child labour risks, forced labour risks, and gender inequality risks.
 |  |
| **30.** | **Did you engage with management, members/workers, women and men, and persons from vulnerable groups when answering the risk assessment questions?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** To adequately represent risk issues at the farm or mine, the assessment includes information shared by management, members or workers
* Answers to the risk assessment reflect the situation and comments of women and men
* Persons from vulnerable groups are more exposed to human rights risks and are included in the risk assessment in order to understand how best to protect them from harm.
 |  |
| **31.** | **Have you reported the results of the risk assessment to the HRDD committee?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The risk assessment team is part of the HRDD committee, and may involve some of its members, or all of its members.
* The person/s coordinating the risk assessment reports regularly to the HRDD committee, including the management representative, on all aspects of the work required, including preparation, conducting the assessment and the results.
 |  |
| **32.** | **Are the results of the risk assessment shared with the person on the board/senior management who is accountable for human rights?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The HRDD committee provides regular reports on the HRDD process, including the risk assessment, to the senior person in the organisation who is accountable for human rights. They need to be kept updated because they are responsible for oversight of the whole HRDD system.
 |  |
| **G.** | **MITIGATION MEASURES - IMPLEMENTATION** |  |
|  | ***Template 8. Mitigation Plan*** |  |
| **33.** | **Has the HRDD Committee agreed on practical mitigation measures for each risk identified including:****- child labor****- forced labor****- gender inequality** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Each risk question has appropriate mitigation measures that must be implemented. Measures can be adapted to suit local circumstances, but any changes must be recorded with an explanation.
* Use the Mitigation Plan to record each measure and how it will be delivered
 |  |
| **34.** | **Has the HRDD Committee identified the priority mitigation measures that will be addressed first?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The HRDD Committee discuss and agree which risks would result in the most severe harm to people, including women and men, and vulnerable groups. To identify the most severe risks, consider: how many people will be affected, the degree of harm caused (e.g. physical injury, psychological trauma, loss of freedom, financial loss), and how difficult it is to put right any harm done.
* Priority mitigation measures are addressed first, although all mitigation measures must be implemented.
* Use the Mitigation Plan to record each priority measure and how it will be delivered
 |  |
| **35.** | **Has the HRDD Committee engaged external stakeholders to support mitigation measures?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Committee members, with management support, engage the stakeholders identified in preparation, and collaborate with them to address specific mitigation measures.
* Use the Mitigation Plan to record stakeholder support for specific measures.
 |  |
| **36.** | **Has the HRDD Committee made a plan to implement each mitigation measure and recorded relevant information in the Mitigation Plan?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the Mitigation plan record the priority mitigation measures agreed, who they benefit, who delivers them, what resources/stakeholder support is used, and when they will be completed.
* Share the Plan with management, so there is oversight of mitigation, and so these measures are integrated into business-wide plans.
* Create opportunities for the member responsible to report regularly on activities, progress and challenges, to the HRDD committee.
 |  |
| **H.**  | **CONTINUOUS IMPROVEMENT** |  |
|  | **Template 8. Mitigation Plan** |  |
| **37.** | **Is data recorded to verify the implementation of mitigation measures and to assess outcomes, to inform continuous improvement?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Record the activities completed and who benefits from, or participates in, mitigation including women and men, and persons from vulnerable groups
* Assess the outcomes of mitigation, for example, whether participants understand training, or whether children are more likely to go to school.
* Use the Mitigation Plan to record this data for each mitigation measures
 |  |
| **38.** | **Is data about mitigation reviewed by management and the HRDD committee to inform continuous improvement?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The purpose of reviewing data on the implementation of mitigation, and the outcome of measures, is to assess whether it is effective.
* Key issues for oversight include:
* Is mitigation addressed and provided in line with agreed timelines
* Are mitigation measures, and priority measures agreed with the HRDD committee and manager
* Do committee members engage and consult members and workers, and stakeholders, about mitigation measures
* Do mitigation measures protect all members and workers, including women and men, and persons from vulnerable groups
* Is mitigation stopping, or reducing the likelihood of child labour, forced labour and gender inequality
 |  |

# Grievance mechanism

This section assesses how to establish and manage an operational level grievance mechanism, where anyone can report risks, or experience of child labour, forced labour and gender inequality. The assessment reviews the following aspects:

* Preparation
* Implementation
* Continuous improvement

|  |  |  |
| --- | --- | --- |
| **I.** | **GRIEVANCE MECHANISM - PREPARATION** |  |
|  | **Template 9. Grievance Procedure** |  |
| **39.** | **Is a member of the HRDD Committee responsible for the Grievance Mechanism, and have they received training on how to do this?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** A member of the HRDD committee is assigned responsibility for the grievance mechanism. A member can have more than one area of responsibility or can share responsibilities with other members.
* Coordinating and implementing the grievance mechanism requires knowledge about human rights risks, the grievance procedure, and the situation at the cooperative or association.
* The person/s responsible for the grievance mechanism must be trusted and respected by management, staff, members and workers.
 |  |
| **40.** | **Has the HRDD Committee appointed a grievance team to receive, investigate and verify complaints or grievances against the cooperative or association and members?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The Grievance Procedure sets out the tasks and expectations of the members of the grievance team.
* Members of the grievance team are individuals who are trusted and respected by management, staff, members and workers, for example, senior members, or staff, or local experts.
* All team members are trained on the Grievance Procedure and the key principles of handling complaints and remediation.
 |  |
| **41.** | **Does the grievance team include at least the committee members responsible for the grievance mechanism, remediation, and gender equality?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The Grievance Procedure sets out the tasks and expectations of the members of the grievance team.
* The grievance team includes the committee members responsible, and the member responsible for gender equality.
* The grievance team includes adequate representation of women and men

Not all members have to be from the HRDD committee. They can be recruited from the cooperative or association, local community or experts on remediation issues. |  |
| **42.** | **Are all members of the HRDD committee and the grievance team trained in the grievance procedure and their own role in this process?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** All committee members, including members of the team handling grievances and remediation, are trained on the Grievance Procedure and the key principles of handling complaints and remediation.
* Committee members may have a role because they are directly involved in handling grievances or facilitating remedy, as part of the grievance team, or through oversight of the procedure and remediation.
 |  |
| **43.** | **Have you taken action to ensure that members of the grievance team understand that women may be disproportionately affected by human rights impacts?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The committee member for gender equality, or external stakeholders supporting on this issue, raise awareness with the grievance handling team about the types of human rights impacts that affect women and men, and how, in some situations, women and girls can be disproportionately harmed.
* The gender equality representative is always consulted when handling grievances reported by women, or affecting women
* Examples of key risks affecting women and girls, and examples of how to handle such cases and provide remedy, are included in training that is given to all HRDD committee members, and any persons supporting the committee’s work.
 |  |
| **J.** | **GRIEVANCE MECHANISM - IMPLEMENTATION** |  |
|  | **Template 9. Grievance Procedure****Template 10. Grievance Record** |  |
| **44.** | **Have you adopted a Grievance Procedure explaining relevant steps such as: safeguarding, investigation and verification, timelines, confidentiality, and regular communication with the affected parties.** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the Grievance Procedure template and adapt to the local situation where necessary
* Review the terms of reference for the grievance team, and the procedure for handling grievances.
* All committee members are trained on the procedure when they join and they understand how it operates, and their role in this process.
 |  |
| **45.** | **Does the Grievance Procedure explain clearly what issues are, and are not, admissible?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the Grievance Procedure which explains what issues are admissible and why.
* Explain what complaints are admissible in awareness raising activities. It should be easy for people and organisations to understand what grievances can be considered, otherwise they may have expectations that cannot be satisfied.
* Typically, a complaint is admissible if it is made by any person, and is about being negatively affected by the actions, rules or policies of the cooperative/association, or their subcontractors or service providers.
 |  |
| **46.** | **Are there multiple ways by which a grievance can be reported confidentially or anonymously, including consideration for how women and girls, and any vulnerable groups, can report?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the Grievance Procedure to review a checklist of ways for people to report and mark and add what applies to the cooperative or association.
* Provide the easiest methods for people to contact the grievance mechanism, such as a phone number, suggestion boxes, talking to supervisors or management, workplace and community meetings, or approaching other stakeholders in the community.
* Raise awareness about how to contact the grievance mechanism
* Consult women and girls, and other vulnerable groups, such as people who are illiterate, or migrant workers who speak a different language, to identify the easiest ways for them to report concerns.
 |  |
| **47.** | **Do you engage in dialogue with members, workers, and the community, including women, children and vulnerable groups, about the easiest ways for them to report a concern?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** For the grievance mechanism to be effective, it must be trusted and easily accessible for all users and so it is important to engage management, members and workers, and the community
* Persons from vulnerable groups are the most exposed to human rights risk, and the least likely to report exploitation, so dialogue should include identifying how to make it easy for them to get help.
 |  |
| **48.** | **Do you regularly raise awareness about the grievance mechanism with members, and workers, and with the community, including women, children, and vulnerable groups?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The Grievance Procedure notes that the grievance team is responsible for raising awareness about the grievance mechanism.
* Key messages in awareness raising should include how to report a grievance, what to report, and how the procedure works.
* For people to trust the grievance mechanism, it is essential to explain that:

- reporting is encouraged and helps the business improve, - anyone reporting a problem will be protected from retaliation- personal information is confidential, and not shared without the worker’s consent. * Awareness raising is regular, using various methods (e.g. member or worker meetings, posters, radio adverts, community events, women’s groups, dedicated awareness raising activities) and includes women and men, and vulnerable groups.
 |  |
| **49.** | **Do you respond to each grievance in a timely and transparent manner, following the grievance procedure to address and verify each complaint?** |  |
|  | NOTES: |  |
|  | **GUIDANCE*** Use the Grievance Record to note the completion of each step in the grievance procedure for each complaint made.
* Note explanations for any delays
 |  |
| **K.** | **CONTINUOUS IMPROVEMENT** |  |
| **50.** | **Do you record data about grievances received, and how they are handled to inform continuous improvement?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the Grievance Record to note how each grievance received is processed, to verify that timelines are respected, and all relevant steps are followed.
* Add relevant data about the grievance to the Remediation Plan.
* Data recorded about grievance reports is gender disaggregated so that it is possible to assess how grievances are handled for women and men, and where possible, reports by persons from vulnerable groups are noted.
* Data recorded about grievances is kept confidential and the personal information of those reporting problems is not shared without their consent.
 |  |
| **51.** | **Is data about grievance handling reviewed by management and the HRDD committee to inform continuous improvement?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The purpose of reviewing data on the grievance procedure, and reports made to the mechanism, is to assess whether the mechanism is being used and is effective.
* Key issues for oversight include:
* Is the team trained and equipped to respond to grievances
* Does everyone know and trust the mechanism, and feel comfortable using it, including women and vulnerable groups
* Are reports received and addressed on time
* Is there good communication between the grievance team and those reporting problems
* Is data kept confidential
* What issues are being reported and remediated
 |  |

# Remediation

This section assesses how to remediate cases where a grievance is verified, and individuals have experienced impacts relating to child labour, forced labour and gender inequality. The assessment reviews the following aspects:

* Preparation
* Implementation
* Continuous improvement

|  |  |  |
| --- | --- | --- |
| **L.** | **REMEDIATION - PREPARATION** |  |
|  | ***Template 9. Grievance procedure*** |  |
| **52.** | **Is a member of the HRDD Committee responsible for coordinating remediation, and have they received training on how to do this?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** A member of the HRDD committee is responsible for remediation. A member can have more than one area of responsibility and can share responsibilities with other members.
* Coordinating and implementing remediation requires knowledge about human rights risks, the grievance procedure, and the situation at the cooperative or association.
* The person responsible for remediation should understand what measures can put right any harm experienced and is ready to collaborate with other stakeholders who have relevant expertise.
 |  |
| **53.** | **Is there a grievance team which is responsible responding to grievances and facilitating remedy for grievances that are verified?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The Grievance Procedure sets out the tasks and expectations of the members of the grievance team.
* Members of the grievance team are individuals who are trusted and respected by management, staff, members and workers, for example, senior members, or staff, or local experts. The grievance team includes women and men.
* All team members are trained on the Grievance Procedure and the key principles of handling complaints and remediation.
 |  |
| **54.** | **Does the grievance team include at least the committee members responsible for the grievance mechanism, remediation, and gender equality?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The Grievance Procedure sets out the tasks and expectations of the members of the grievance team.
* The grievance team includes the committee members responsible, and the member responsible for gender equality.
* Not all members have to be from the HRDD committee. They can be recruited from the cooperative or association, local community or experts on remediation issues.
 |  |
| **55** | **Are all members of the HRDD committee and the grievance team trained in how a case is remediated, and their own role in this process?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** All committee members, including members of the team handling grievances and remediation, are trained on the Grievance Procedure and the key principles of handling complaints and remediation.
* Committee members may have a role because they are directly involved in handling grievances or facilitating remedy, as part of the grievance team, or through oversight of the procedure and remediation.
 |  |
| **56.** | **Have you taken action to ensure that members of the grievance team, and any stakeholders involved in remediation understand that women may be disproportionately affected by human rights impacts?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The committee member for gender equality, or external stakeholders supporting on this issue, raise awareness about the types of human rights impacts that affect women and men, and how, in some situations, women and girls can be disproportionately harmed.

Examples of key risks affecting women and girls, and examples of how to handle such cases and provide remedy, are included in training that is given to all HRDD committee members, and any persons supporting the committee’s work. |  |
| **57.** | **Have you reviewed the Stakeholder List to identify experts and organisations to support remediation?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** One of the tasks of the HRDD committee is to identify external stakeholders (experts and organisations) with the expertise and resources to support local efforts to prevent child labour, forced labour, and gender inequality.
* Use the Stakeholder List to inform what people or organizations will provide support for remediation measures.
 |  |
| **M.** | **REMEDIATION - IMPLEMENTATION** |  |
|  | ***Template 11. Remediation Plan***  |  |
| **58.** | **Have you identified practical remediation measures that include immediate measures to stop the harm, and root cause measures to prevent repetition, in consultation with the person affected.** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Remediation measures are developed in agreement with the person affected and in line with the grievance procedure
* Actions to address immediate harm include steps such as removing a child from doing hazardous tasks, or an adult from forced labour, or paying late wages.
* Measures to address root causes and prevent repetition can include longer-term activities, such as, engaging with households to facilitate school attendance, or training to improve practices at the association/co-operative, for hours or wages.
 |  |
| **59.** | **Have you developed an implementation plan for each remediation measure and recorded details in the Remediation Plan, such as timelines, resources, and people who are responsible?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Record the remediation measures agreed, person responsible and timelines in the Remediation Plan so there is oversight of remediation activities.
* Create opportunities for the member responsible for remediation to report regularly on remediation activities, progress and challenges
* Identify costs as well as internal and external resources that will be necessary to implement the remediation activity.
 |  |
| **60.** | **Have you coordinated with the stakeholders you identified to support remediation efforts?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** In the Remediation Plan, record what stakeholders are assisting on remediation measures.

Stakeholder support is especially relevant to longer-term work to address root causes which may benefit from a wider program of activity, for example, supporting livelihoods, or school attendance.  |  |
| **61.** | **Have you taken action to communicate progress to the persons affected and to protect their confidentiality?** |  |
|  | **NOTES:** |  |
|  | **GUIDANCE:*** Establish regular ways to communicate with the person affected and to inform them about progress
* Ensure that personal information is kept confidential and is only shared when necessary for the purpose of remediation, and with the affected person’s consent.
* Ensure that when the Grievance Procedure or Remediation Plan is shared for oversight purposes that it does not contain personal information
 |  |
| **N.** | **CONTINUOUS IMPROVEMENT** |  |
| **62.** | **Does the grievance team record data about who receives remediation, and how cases are handled, to inform continuous improvement?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The Remediation Plan and Grievance Record are used to record what remediation activities are implemented and when, and to verify that timelines are respected, and all relevant steps in the procedure are followed.
* Data is recorded about who receives remediation, including gender, age and the issue reported, and whether the case involves a person from a vulnerable group.

Data recorded about people receiving remediation is kept confidential and their personal information is not shared without their consent. |  |
| **63.** | **Is data about remediation reviewed by management and the HRDD committee to inform continuous improvement?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The purpose of reviewing data on how remediation is handled, and the outcome of measures, is to assess whether remediation is effective.
* Key issues for oversight include:
* Is remediation addressed and provided according to the timelines agreed in the procedure
* Is everyone able to access remediation, without discrimination
* Are remediation plans developed in consultation with the affected persons
* Is there regular, transparent communication between those handling remediation and those receiving it
* Is data kept confidential and not shared with consent

Are the immediate or root causes measures stopping, or reducing the repetition of harm |  |

# Monitoring

This section assesses monitoring of the HRDD system and key activities, and human rights risks. It reviews the following aspects:

* Preparation
* Implementation
* Continuous improvement

|  |  |  |
| --- | --- | --- |
| **O.** | **MONITORING - PREPARATION** |  |
|  | ***Template 12. Annual Monitoring Plan*** |  |
| **64.** | **Is a member of the HRDD Committee responsible for coordinating monitoring and have they received appropriate training?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** A member of the HRDD committee is assigned responsibility for monitoring. A member can have more than one area of responsibility or can share responsibilities with other members.
* Coordinating and implementing monitoring requires knowledge about human rights risks, the HRDD approach, and the situation at the cooperative or association.
* The person/s responsible for monitoring shares similar tasks to the person who conducts the risk assessment
 |  |
| **65.** | **Does annual monitoring include a review of the HRDD system, and activities implemented?**  |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the HRDD self-assessment tool to assess the HRDD system and identify areas of improvement
* Use the records kept during due diligence (based on the templates provided) to assess implementation of planned HRDD activities
 |  |
| **66.** | **Does annual monitoring include regular monitoring of human rights risks informed by the risk assessment?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the risk assessment to inform what issues are monitored, and the intensity and frequency of monitoring
* Use the Monitoring Plan and other planning documents to organise regular and ongoing observation by monitors of risks identified in the risk assessment
* Use the Monitoring Questions to prepare relevant questions for monitors who conduct interviews as part of monitoring visits
 |  |
| **67.** | **Has the HRDD committee developed an annual monitoring plan, about what is being monitored, how, and when, and resources?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:**Use the Monitoring Plan to explain * - what risk issue is being monitored and what activities have been implemented to address that risk
* Who or what is being monitored
* The monitoring team and training received
* Resources needed such as volunteer reimbursements
* Expert stakeholder support
* When monitoring will occur - the intensity of monitoring reflects the severity of the risk of these issues at the cooperative/association.
* What activities were completed, and any outcomes recorded
 |  |
| **68.** | **Are there an appropriate number of monitors with adequate representation of women and men?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The number of monitors required depends on the severity of the risks at the cooperative/association as well as the methods you are going to use for monitoring, and the geographic area you are covering.
* Engage members, workers and community members as monitors, provide all monitors with training, and reimburse volunteers for their costs and expenses
* Recruit women and men as monitors and aim to have between 25%-50% of monitors as women.
 |  |
| **69.** | **Have you identified stakeholders who can support the monitoring efforts?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** It may be useful to engage local trusted stakeholders in the cooperative/association or in the community to support on specific aspects of monitoring where they have relevant roles, knowledge and expertise.
* Review the Stakeholder List and those already engaged in training, mitigation, and remediation to identify potential support.
 |  |
| **70.** | **Have you ensured that monitoring includes risks to all members and workers including women and girls, and vulnerable groups ?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Review methods used in other HRDD activities to engage and include women and girls, and persons from vulnerable groups.
* Ensure that households, locations and activities selected for monitoring reflect high risks to all members and workers.
* Ensure that all monitors receive training or awareness raising about a gender-sensitive approach to identifying human rights risk
 |  |
| **71.** | **Have all the monitors received training on how to monitor, and the procedure to follow if they identify any instances of child labour or forced labour, discrimination or workplace violence and harassment, and gender inequality?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Monitors should receive training at least on interviewing, data collection, and the grievance mechanism
 |  |
| **P.** | **MONITORING - IMPLEMENTATION** |  |
|  | ***Template 12. Annual Monitoring Plan******Template 13. Monitoring Questions*** |  |
| **72.** | **Do monitors visit high risk locations, activities, and households according to the annual monitoring plan?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the Monitoring Plan to record monitoring activities completed
* Monitors should visit agreed high risk locations, activities and households and their visits should involve conversations and interviews with members and the community.
 |  |
| **73.** | **Do you monitor the risk of child labour?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the Monitoring Plan to record monitoring activities completed
* For many cooperatives or association child labour is a high-risk issue and it can have severe impacts on children’s development and future, so it requires intense monitoring. Use the Monitoring Questions and adapt to the local situation.
* Where child labour is severe, it may be useful to conduct the Child Labour Monitoring System as well.
 |  |
| **74.** | **Do you monitor the risk of forced labour?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the Monitoring Plan to record monitoring activities completed
* Forced labour may not be as widespread as child labour, but the impacts are very severe, and it requires intense monitoring. Use the Monitoring Questions and adapt to the local situation.
 |  |
| **75.** | **Do you monitor the risk of gender inequality, discrimination and workplace violence and harassment?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use the Monitoring Plan to record monitoring activities completed
* Gender inequality, discrimination and workplace violence have severe impacts on women and persons from vulnerable groups and may also increase the risk of child labour and forced labour. These issues require intense monitoring. Use the Monitoring Questions and adapt to the local situation.
 |  |
| **76.** | **Do you monitor the implementation of human rights due diligence, especially training and awareness raising, the grievance procedure, mitigation and remediation measures?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Complete the HRDD self-assessment tool every year
* Use the templates provided to review HRDD functionality, and activities implemented.
* Analyse continuous improvement data
 |  |
| **Q.** | **CONTINUOUS IMPROVEMENT** |  |
| **77.** | **Is monitoring data gender-disaggregated?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Ensure that monitors in the field observing human rights risks conduct interviews with men and women, and collect data that is representative of all members or workers
* Ensure that HRDD members responsible for the HRDD plans (communication, mitigation, grievance and remediation) record data about women and men, so that it is gender disaggregated.

  |  |
| **78.** | **A summary of monitoring findings is prepared for internal and external reporting** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Use Template 14 Monitoring Data to record a summary of key data
* Summarise key findings of

- the HRDD self-assessment - implementation of HRDD activities (training, awareness raising, mitigation, remediation)- human rights risks monitored* Share this information with the HRDD committee, and person responsible for reporting
 |  |
| **79.** | **Is monitoring data regularly reported back to the HRDD Committee, and management, to inform continuous improvement?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The purpose of reviewing monitoring data is to assess whether HRDD activities are effective in reducing human rights risks.
* Key issues for oversight include:

- is the HRDD system and all its elements functional- are HRDD activities implemented and effective at reducing risk- Are risks of child labour, forced labour, gender inequality, discrimination and workplace violence and harassment the same, increasing or reducing |  |

# Reporting

This section assesses steps taken to report on the work done in the year, including the HRDD system, key activities and progress made in addressing human rights risks. It reviews the following aspects:

* Preparation
* Implementation

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| --- | --- | --- |
| **R.** | **REPORTING - PREPARATION** |  |
|  | ***Template 14 Monitoring Data******Template 15 Annual Reporting Plan*** |  |
| **80.** | **Is a member of the HRDD Committee responsible for reporting and have they received appropriate training?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** A member of the HRDD committee is assigned responsibility for reporting. A member can have more than one area of responsibility or can share responsibilities with other members.
* Leading the reporting process requires understanding of the HRDD process and human rights, as well as monitoring outcomes. Reporting and monitoring may be led by the same person.
 |  |
| **81.** | **Has the summary of monitoring findings been completed, discussed by the HRDD committee, and shared with the reporting person?** |  |
|  | NOTES |  |
|  | **GUIDANCE:*** The person responsible for monitoring shares the key findings about the HRDD system, activities and risks with the reporting person
* The HRDD committee discuss the monitoring findings and their conclusions inform the annual report
* Use Template 14 on Monitoring Data to inform analysis of key trends
 |  |
| **82.** | **Is data gender-disaggregated?** |  |
|  | NOTES |  |
|  | **GUIDANCE:*** To effectively analyse progress achieved, data must explain the inclusion of both women and men in HRDD activities, and how they are affected differently by human rights issues
* All templates remind you to collect gender disaggregated data during HRDD activities and monitoring
 |  |
| **83.** | **Have relevant audiences been identified for reporting?** |  |
|  | NOTES |  |
|  | **GUIDANCE:**The annual results of HRDD are shared with different audiences so it is helpful to consider which ones are relevant, and how these results can be communicated most effectively, especially to those who are less literate:* customers in the supply chain, certification bodies
* management for oversight purposes
* stakeholders who have supported HRDD activities
* members and workers at the cooperative and association
* women who are spouses of members, family farmers and workers
* persons from vulnerable groups
 |  |
| **S.** | **REPORTING – IMPLEMENTATION**  |  |
|  | ***Template 14 Monitoring Data******Template 15 Annual Reporting Plan*** |  |
| **84.** | **Does the HRDD committee/manager report regularly to senior management on priority risks identified and mitigated, as well as any cases identified and remediated?** |  |
|  | NOTES |  |
|  | **GUIDANCE:*** To fulfil their role, the person who is accountable for human rights must have ongoing oversight of HRDD and there should be regular communication between them and the HRDD committee, and especially the manager responsible for human rights.
* They should receive regular updates on the key risks affecting workers, and implementation of mitigation measures, as well as a summary of any actual human rights cases identified, and remediation.
 |  |
| **85.** | **Does the HRDD committee report at least annually in public on** * **the operation of the HRDD system**
* **implementation of HRDD activities, and how effective they have been at reducing risk**
* **Risks of child labour, forced labour, gender inequality, discrimination and workplace violence and harassment**
 |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** The HRDD committee produces a summary report of its activities and progress achieved once a year
* This report is informed by monitoring, and using the continuous improvement data collected in all HRDD activities
* The report is a record of HRDD work done, and it is also a framework for future activities and areas of improvement
* The report is shared with the audiences identified, using methods relevant to their situation and needs
 |  |
| **86.** | **Does the HRDD committee communicate the results of HRDD to stakeholders who support HRDD?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Keep stakeholders who support HRDD – or may support it in the future - informed about monitoring results and share the annual report with them.
 |  |
| **87.** | **Does the HRDD committee communicate the results of HRDD to members and the community?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Report on the outcomes of your HRDD work to the community and members so they understand what the HRDD Committee does and why and recognise the value of this work for the success of the cooperative/association. This is another awareness raising opportunity.
 |  |
| **88.** | **Does the HRDD committee take steps to communicate the results of HRDD to female members, spouses of members, and female stakeholders in the community?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Women may face obstacles in attending public events about reporting and are more likely to be less literate. Take extra measures to ensure that women are invited to events where you explain the key findings of the report, and to ensure that results are communicated effectively.
 |  |
| **89.** | **Does the HRDD committee present gender-disaggregated data in its reporting?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Ensure that the data you publish in the report is about both men and women so that it is possible to understand how impacts affect men and women
* Never publish personal information about people who have received remediation.
 |  |
| **90.** | **Does the HRDD committee communicate the results clearly and adapt the delivery where necessary for an audience that is less literate?** |  |
|  | NOTES: |  |
|  | **GUIDANCE:*** Keep the report and the data clear and simple
* Be inventive in how you communicate results recognising the varying levels of literacy and education in your audience and try where possible to incorporate visual representation of your results, and stories of what has been done.
* Never publish personal information about people who have received remediation.
 |  |
|  | **THIS IS THE END OF THE SELF-ASSESSMENT!** |  |

# Glossary

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| --- |
| *Adapted from Rainforest Alliance 'Glossary'* |
| Term | Meaning |
| Child | Any human being below the age of 18 years (UN CRC Article 1) |
| Child labour | Work that deprives children of their childhood, their potential, and their dignity, and that is mentally, physically, socially, or morally dangerous and harmful to children. It includes work that interferes with their schooling by depriving them of the opportunity to attend school or obliging them to leave school prematurely; or requiring them to attempt to combine school attendance with excessively long and heavy work. This includes:▪ The worst forms of child labor: including all forms of slavery or practices similar to slavery, such as the sale and trafficking of children, debt bondage and serfdom, and forced or compulsory labor, including forced or compulsory recruitment of children for use in armed conflict; the use, procuring or offering of a child for prostitution, for the production ofpornography or pornographic performances; the use, procuring or offeringof a child for other illicit activities.▪ Hazardous work: The worst forms of child labor also include hazardous work, which by its nature or the circumstances in which it is carried out, is likely to harm the health, safety, or morals of children. This includes but is not limited to carrying heavy loads, work in dangerous locations, in unhealthy situations, at night, or with hazardous substances or equipment,or work over long hours or at height. Countries which have signed the ILO Convention 182 are required to develop a national list of tasks that are considered hazardous for children. Where available, these national lists of hazardous tasks apply. In the absence of national lists of hazardous tasks, advice may be sought from competent national authorities such asDepartments of Labor, Agriculture, Child Welfare etc) and/or the nationalILO office.▪ Underage child labor: Work that is conducted by children younger than 15 years of age for the farm, group, or group members, that interferes with their schooling, exceeds 14 hours a week, or is not considered “light work or family work”. In case national law has set the minimum work age at 14 years this age applies. In case national law has set the minimum work age at a higher age than 15, the national minimum age for entering employment applies.*ILO Convention, Worst Forms of Child Labour Convention, 1999 (No. 182)ILO Convention, Minimum Age Convention, 1973 (No. 138)* |
|
| Child work | Children’s or adolescents’ participation in work that does not affect their health and personal development or does not interfere with their schooling, is generally regarded as being something positive. This includes activities such as helping their parents around the home, assisting in a family business or earning pocket money outside school hours and during school holidays. These kinds of activities contribute to children’s development and to the welfare of their families; they provide them with skills and experience and help to prepare them to be productive members of society during their adult life. This includes:1) Regular employment/work: From the age of 15 (in developing economies14) children can start general employment or work not exceeding 48 hours per week. In countries where the minimum age is higher or the number of permitted hours of work is lower, the national set minimum age and maximum hours apply. Children’s work should be non-hazardous but should be safe and age-appropriate and not interfere with compulsoryeducation.2) Light work: Work that is not harmful to the health and development of a child, does not interfere with their schooling or training, is under the supervision of an adult, and does not exceed 14 hours a week. In line with ILO Convention 138, children aged 12-14 may perform light work in countries with developing economies. In countries where national law does not allow children to perform light work, the national minimum age for entry into employment applies.3) Family work: Farming activities performed by children on their small-scale family/household farms that consist of light, age-appropriate duties that give them an opportunity to develop skills, do not classify as child labor provided that the activities are not harmful to their health and development, do not interfere with schooling, and are under the supervision of an adult.  |
|
| Debt bondage (bonded labour) | The status or condition arising from a pledge by a debtor of his or her personal services or of those of a person under his or her control as security for a debt. Debt bondage occurs if the value of those services as reasonably assessed is not applied towards the liquidation of the debt, or the length and nature of those services are not limited and defined. Debt bondage (also known as bonded labor) can manifest in several different ways. It is a form of forced labor. |
| Discrimination | Any distinction, exclusion or preference made based on race, colour, ethnicity, gender, sexual orientation, religion, political opinion, national extraction or social origin, and others which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation. Discriminatory practices include, but are not limited to, unequal pay for equal work, unequal access to better-paid jobs and management positions, compulsory pregnancy tests during hiring procedures or at any other moment in the work process.*ILO Convention Discrimination (Employment and Occupation) Convention, 1958 (No. 111)* |
| Due diligence | An ongoing risk management process that a company needs to follow in order to ensure responsible compliance with all relevant laws and regulations and avoid negative impacts on the environment or human rights caused directly or indirectly through its operations or those of its supply chain. Due Diligence is exercised through a process to identify, prevent, mitigate, and account for how it addresses adverse human rights and environmental impacts of a company’s operations. It includes four key steps: assessing actual and potential impacts, integrating and acting on the findings, tracking responses, and communicating about how impacts are addressed.*definition from: https://www.ungpreporting.org/glossary/human-rights-due-diligence/* |
| Employment contract | A written agreement between the employer such as farm management, group management or company management and the worker. The Employment contract should include information on the job description, working hours, pay rate, overtime regulation, benefits and deductions, annual paid vacation leave, protection from loss of pay in the cases of illness, disability, or accident, and the notice period for contract termination. |
| Family worker | A person (of any gender) who helps another member of the family to run an agricultural holding or other business, provided they are not considered as employees and have common household interests. |
| Forced labour | All work or service required of any person under the menace of any penalty and for which the said person has not offered herself or himself voluntarily.A person is classified as being in forced labor if they are engaged in work that is involuntary (without the free and informed consent of the worker) and is exacted through threats, penalties, or some form of coercion.Forms of involuntariness can include, but are not limited to:• Recruitment through a transaction such as slavery or bonded labor• State-imposed labor, such as by the military, that does not meet theexceptions provided in ILO Convention 29• Involuntary prison labor• Unpaid or extremely low-paid work• Changes to working conditions (employer, wages, hours, nature of work,conditions/hazards/exposures, time period) without the worker's consent• Degrading working or living conditions imposed by employer or recruiter• Involuntary and excessive overtime• Limited freedom to terminate the work contract or agreementForms of coercion can include, but are not limited to:• Physical or sexual violence• Physical confinement• Restrictions on movement or communication• Fines or other financial penalties• Deprivation of food, water, toilets, sleep, or other basic needs• Isolation• Forced use of drugs or alcohol• Debt bondage or manipulation of debt, including manipulation ofadvances and loans• Requiring monetary deposits, financial or collateral guarantees, or personalpossessions as a condition of employment• Withholding or delay of wages or other benefits• Retention of identity or other important documents without the worker’sconsent and/or without providing workers easy access to them• Threats of dismissal, deportation, legal action, or reporting to authorities |
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| Gender | Socially constructed characteristics of women and men, such as norms, roles, and relationships of and between groups of women and men. It varies from society to society and can be changed. While most people are born either male or female, they are taught appropriate norms and behaviours – including how they should interact with others of the same or opposite sex within households, communities, and workplaces.9 Gender Identify is not restricted to male and female as people may identify themselves as both man and woman or as neither. |
| Gender equality | The equal rights, responsibilities, and opportunities of women and men and girls and boys. Equality does not mean that women and men will become the same but that women’s and men’s rights, responsibilities and opportunities will not depend on whether they are born male or female. Gender equality implies that the interests, needs, and priorities of both women and men are taken into consideration, recognizing the diversity of different groups of women and men. Gender equality is not a women’s issue but should concern and fully engage men as well as women.Equality between women and men is seen both as a human rights issue and as aprecondition for, and indicator of, sustainable people-centred development.*UN Women, Concepts and Definitions https://www.un.org/womenwatch/osagi/conceptsandefinitions.htm* |
| Gender sensitive | Gender norms, roles, and relations are considered, and actions are taken on the basis of that understanding to address gender inequality and men’s and women’s specific needs, transform harmful gender norms, roles, and relations and promotechanges in power relationships between women and men |
| Grievance | A grievance is a complaint or concern by any person about another person’s or organization’s actions or about its rules and policies that have negatively affected the complainant. |
| Grievance mechanism | A process through which individuals, workers, communities, and/or civil society organizations (including whistle-blowers) can raise their complaints of being negatively affected by specific farm or business activities and/or operations. A grievance mechanism may be formal or non-formal, legal or non-legal. It includes the steps of submission of the complaint, treatment, remediation, and monitoring. |
| Labour provider | An agency, subagent or individual that offers labor recruitment and placement services such as supplying permanent, temporary or seasonal workers to farms or production facilities. Labor providers can take many forms, whether for-profit or non-profit. |
| Migrant worker | A person who is migrating within a country and/or across international borders for work |
| Permanent worker | A person with a work contract that does not have a predetermined end date toemployment. |
| Piece work | Work paid based on the unit performed instead of the time spent working. |
| Risk | A risk is a threat that potentially negatively influences the compliance with the standard and reaching the sustainability outcomes. Risk mitigation measures are actions to be implemented to prevent or diminish the influence of these threats and/or deal with their effects. |
| Risk assessment | A systematic process to identify the issues that could prevent the producers fromcomplying with the Rainforest Alliance Sustainable Agriculture Standard requirements and reaching the expected sustainability outcomes. The Rainforest Alliance has developed a tool to support this analysis (Annex 3 Risk Assessment Tool). The tool consists of a basic risk assessment, to be conducted in the preparation phase, covering the main topics of the standard, and an in-depth risk assessment to be conducted in the first year of certification. The in-depth risk assessment is for the improvement requirements that refer to this assessment, such as gender equality and assess-and address. An in-depth climate change risk assessment can be carried out as a self-selected improvement. Both the basic and in-depth risk assessment are to be repeated at least once every three years. The risk assessment tool provides an overview of measures that can be taken to mitigate the risks. |
| Sexual harassment | Sex-based behaviour that is unwelcome and offensive to its recipient. For sexual harassment to exist these two conditions must be present:▪ ‘Quid Pro Quo’ when a job benefit - such as a pay rise, a promotion, or evencontinued employment - is made conditional on the victim acceding todemands to engage in some form of sexual behaviour▪ A hostile working environment in which the conduct creates conditions thatare intimidating or humiliating for the victimBehaviour that qualifies as sexual harassment:▪ Physical: violence, touching, unnecessary proximity▪ Verbal: Comments and questions about the appearance, lifestyle, sexualorientation, offensive phone calls▪ Non-Verbal: Whistling, sexually-suggestive gestures, display of sexual materials*ILO, Sexual Harassment at Work Factsheet (https://www.ilo.org/wcmsp5/groups/public/---ed\_norm/---declaration/documents/publication/wcms\_decl\_fs\_96\_en.pdf)* |
| Temporary worker | A worker with a contract, or expected work period, of fewer than 12 months. |
| Vulnerable group | Groups that experience a higher risk of poverty and social exclusion than the general population. Ethnic minorities, indigenous populations, migrants, disabled people, isolated elderly people, women and children often face difficulties that can lead to further social exclusion, such as low levels of education and unemployment or underemployment. |
| Workplace violence and harassment | The term “violence and harassment” in the world of work refers to a range of unacceptable behaviours and practices, or threats thereof, whether a single occurrence or repeated, that aim at, result in, or are likely to result in physical,psychological, sexual or economic harm, and includes gender-based violence and harassmentThe term “gender-based violence and harassment” means violence and harassment directed at persons because of their sex or gender, or affecting persons of a particular sex or gender disproportionately, and includes sexual harassment *ILO Convention Violence And Harassment Convention, 2019 (No. 190)* |
| Young worker | A child between the minimum age of employment (15 years/in some countries 14 years) and 17 years, performing non-hazardous and age-appropriate work, in line with ILO Conventions 138 and 182. |