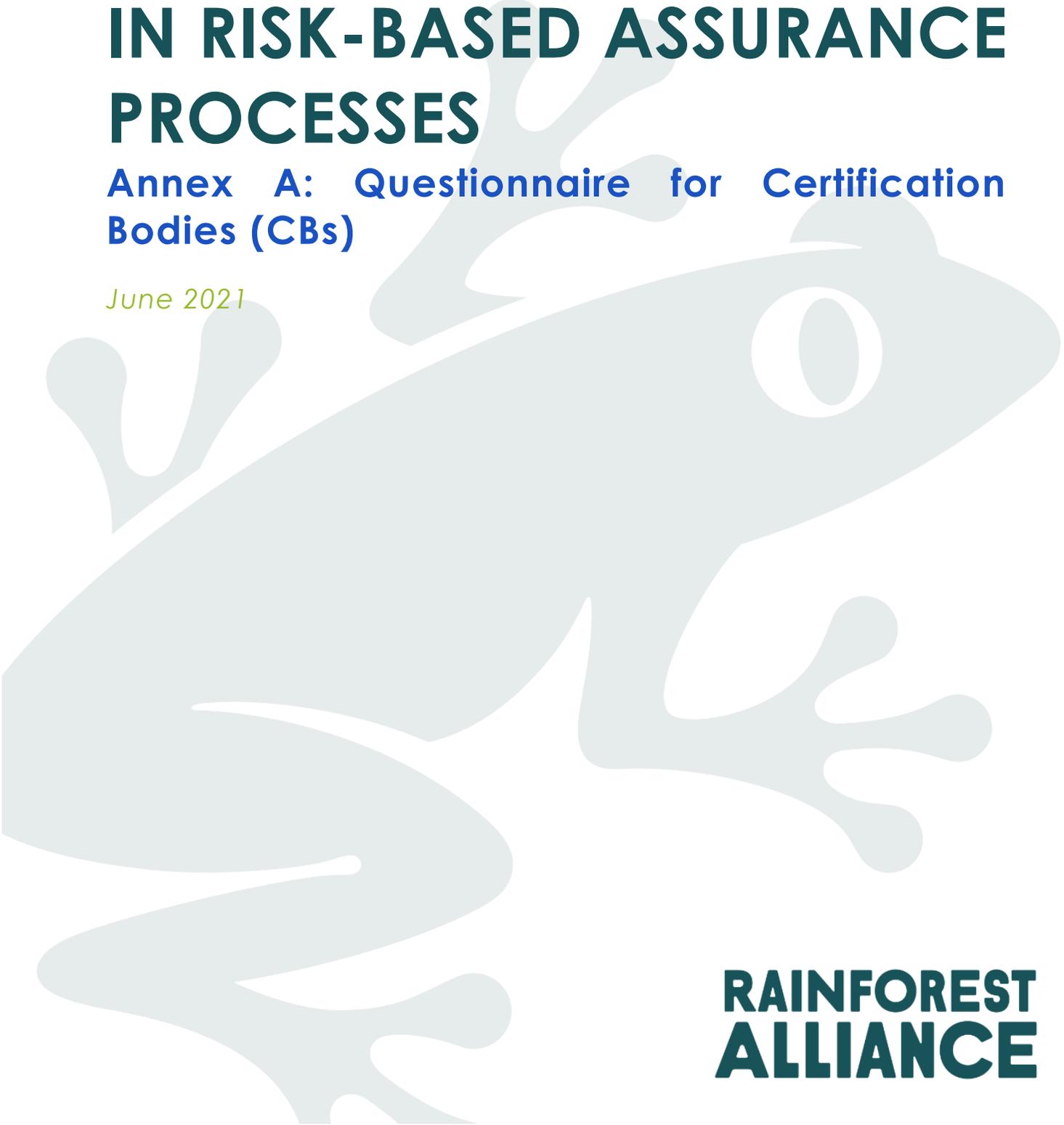


USE OF RISK MAPS FOR CHILD AND FORCED LABOR IN RISK-BASED ASSURANCE PROCESSES

Annex A: Questionnaire for Certification
Bodies (CBs)

June 2021



**RAINFOREST
ALLIANCE**



REPORTING TEMPLATE: SOCIAL RISK MAP TESTING – CB VERSION

This document is meant to guide reporting for RA staff members when conducting tests with certification bodies on the social risk maps.

After your interview (and possibly field visit), you will report back (digitally) to your colleagues. It is important to follow the template provided below, as your notes will be analyzed by (fellow) RA staff. Debrief with your team and/or contact person and update them on how the visit went. Were you able to cover all the methods and materials that you had planned? What went well, or what could have been improved? Furthermore, send your data back to your team and/or contact person, naming every file in the following format:

Date(ddmmyy)_country_certificationbody_intervieweesname(s)_topic_type of data

Example: 200220_Uganda_Konongo_Betty_CertificationRules_InterviewNotes

- Date:
- Certification body:
- Country:
- Crop:
- Type of organization:
- Names and organizational roles of participants:
- Duration of your interview or field visit:

Please have your interviewee clarify/distinguish clearly in case any of the answers are only applicable to either Child labor or only for Forced Labor. Otherwise we will assume the answers are applicable to both topics.

Note: if interviewee has content related questions, also note them down.



Topic: Understanding, classification and parameters

1. Which parts of the risk maps could be made easier to understand?
 - a. What makes them difficult to understand?
2. Do you agree with the assigned risk level for this country and crop?
 - a. With which aspects do you (dis)agree?
3. Based on previous auditing experience in this country and for this crop, do you agree with the results of the risk maps?
 - a. If not, which type of additional data/sources would you use to determine the risk level of a certain CH on child labor and/or forced labor?
4. Does the estate/ group you are auditing belong in the assigned risk level?
 - a. What makes it (not) belong?
5. Do you think other groups/estates in the area in which the CH (on which we focus in this pilot) is based fit to this risk level?
 - a. Why?
6. What other features would you like to include in the risk map, that would facilitate your use of these risk maps for auditing purposes?
7. What, if any, changes would you make to the current risk map?
8. How do you think the risk maps process impacts auditing? How could you use this information?
9. Any other suggestion?

Topic: Data for future iterations of Risk Maps

1. Do you foresee big differences in risks for either CL or FL among regions? Meaning differences that would create a difference in the level of risk? (i.e. would it make sense to create regional level risk maps for this country?) Why?
2. What type of information from CBs could be used to improve the risk maps on a regional level, e.g. through audit reports? Or any other way?
3. Can you suggest any organizations that have data on child labor or forced labor at the subnational level in this country? (for example, state, department, province, municipality-level data, research agencies)



Topic: Change of risk level CH

We also want to understand which data at CH level can support the change of the risk level for Child Labor and/or Forced Labor. In case there is a different type of performance of a CH we want to consider if that should or have any implications and which.

1. In which situation would a member be *overperforming* compared to their national average (i.e. lower risks)?
 - a. How could the CB identify this? What can the CB do to further investigation this prior the 1st physical audit? And what during the audit?
 - b. Which data/ objective evidence/ indicators at CH level can be sent to RA by the auditor to support this conclusion of 'overperformance'?

Please note: The dilemma might be that IF we would say the producer has a very detailed system in place already, this would simply mean that they are handling the countries risk very well and are performing a good implementation of the standard. Still, the risk in the country would remain the same, only that this CH is implementing well.

2. In which situation would a member be *underperforming* compared to their national average (i.e. higher risks)?
 - a. How could the CB identify this? What can the CB do to further investigation this prior the 1st physical audit? And what during the audit?
 - b. Which data/ objective evidence/ indicators at CH level can be sent to RA by the auditor to support this conclusion of 'underperformance'?

3. If we allow the risk level to be adjusted, specifically if their risk level would be reduced, what type of consequence/benefit do you think this should have for the CH?
 - a. Mandatory improvement requirements not applicable?
 - b. Additional auditing rules as per Annex 8 General, not to be applicable?
 - c. Other, please elaborate.

Please note: If mandatory improvement criteria are not applicable, this means also the smart meter is not applicable and we would not track over time the improvement of the farm and their system. Therefore, we would not have insight into the continuous improvement.

4. What risk(s) would you foresee in adjusting the risk levels of the CHs, based on audit results? And how could those be mitigated? How to ensure objectivity, same approach among all CBs?



5. If there are some CHs whose risks are lowered, how do you suggest monitoring over time that their risks aren't increased, e.g. due to change of situation/ change of management and therefore their system's performance might go down? What role could CBs play in monitoring these changes? (How) could this be feasible? Could this be done remotely?
6. Are there some CHs / context for which you suggest us NOT to adjust the risk levels? Please elaborate.
7. What should RA's role be regarding the adjustment of risk levels at CHs?
(If the interviewee doesn't have an idea, feel free to probe with the question: Should RA verify the evidence on the CHs performance sent by the CB?)

Topic: Auditing rules

In case of medium/ high risk, there are additional auditing rules (see Annex 8 of Certification and Auditing Rules) that apply. We would like to understand if you believe these additional requirements will support the CB in confirming the risks and to ensure that the A&A system is correctly working:

1. Which element of the additional auditing rules, as described in the General chapter of Annex 8 do you not fully understand? Why?
2. Which element (e.g. specific risk overview, off-site investigation, increased sample size, timing, audit team composition, audit duration) do you think would *not* contribute to obtaining either more confidence in confirming the risk / ensuring the A&A system is working? Please elaborate, why?
3. Is any other activity, that would allow you to verify these topics, missing? Please elaborate what and how this would support the auditors.

Questions on stakeholder consultation:

- What kind of additional data, information would you need to plan for the stakeholder engagement?
- Please list what are the challenges to identify those stakeholders and requesting their input?



- Which further instructions would you need in the Auditing Rules to properly perform this task?
- How much time does it take you to make a list of stakeholders?
- Could you contact one or two local stakeholder(s) and identify whether they could provide you with useful information?
- What further instructions in the Auditing Rules would you need to better perform this stakeholder engagement?
- What time does it take to contact and consult with 1 stakeholder?
- Based on this, how many conversations do you think would be needed to perform this stakeholder engagement?
- Overall observation: what other suggestions do you have regarding this process?
- Did it change the audit plan or which other elements of the audit?
- What is your feedback on the reporting template for stakeholder consultation? Our idea is that this template would be mandatory, to facilitate alignment in the way CBs report on stakeholder consultations.

Tips and tricks for note taking

Remember that the notes you take will be analyzed by someone else, or you might come back to them only at a later stage. Good practices for taking notes are:

- Be self-explanatory (free-standing)
- Focus on a single concept or observation at a time
- Identify the participants (anonymously)
- Written in the first person ("I always...")
- Checked with participant if significantly reworded

Taking notes whilst moderating an interview is very difficult, unless you are an experienced field researcher. Therefore, always try to have a note taker with you, so you can focus on the interview. If this is not possible, make sure to make audio recordings to cross check and elaborate your notes after the interview. Always try to elaborate and digitize your notes as soon as possible after an interview, this is when things are still fresh in your mind and will help improve the quality.