

FACILITATION MANUAL FOR FAIRTRADE FIELD STAFF

Supporting Smallholder Farmer Organisations

Implementing Human Rights and Environmental Due Diligence (HREDD)



This is a guide for Fairtrade facilitators and staff who train farmer organisations in their HREDD journey.

Please use this together with the *"Implementing HREDD. Why and how to align your policies and processes with HREDD"* -guide, that is targeted for SPOs.

This guide is meant to be used in parallel with the stand-alone guide for smallholder farmer organisations on “Implementing Human Rights and Environmental Due Diligence (HREDD). Why and how to align your policies and processes with HREDD?”

Fairtrade works with over 1500 farmer organisations in high-risk areas. Many farmer organisations have not yet heard about HREDD – but **have for long been implementing due diligence activities** to address and remediate problems prevalent in their operating environments.

Value is distributed unequally in many global supply chains, and farmer organisations often have very limited resources for HREDD work. International HREDD guidelines recognise, that these organisations' HREDD work may be limited in scale and complexity (UNGP 14) and buyers should support this work (UNGP 22).

Fairtrade strives for impact. Therefore, instead of introducing the highest and strictest HREDD requirements, we seek to put forward **Standards, guidance and**

AUTHORS: Manon Mireille Dohmen/Knowledge & Skills, Tytti Nahi and Meri Hyske-Fischer/Fairtrade Centre of Excellence on HREDD.

OTHER CONTRIBUTORS: Abubakar Afful, Alina Amador, Richard Attibu, Christopher Bayer, Kerstin Cron, Sonia Dominica, Samantha Dormer, Keli Patricia Durán Lobos, Konstantina Geroulakou, Simone Hutter, Michael Kitetu, Päivi Kovalainen, Lilian Maina, Giovanna Michelotto, Bronwyn Page-Shipp, Aída Portillo, Naka Sokodogo, Juan Pablo Solis, Ouattara Sally Sonndia, Alison Streacker, Jon Walker, Anne Marie Yao.

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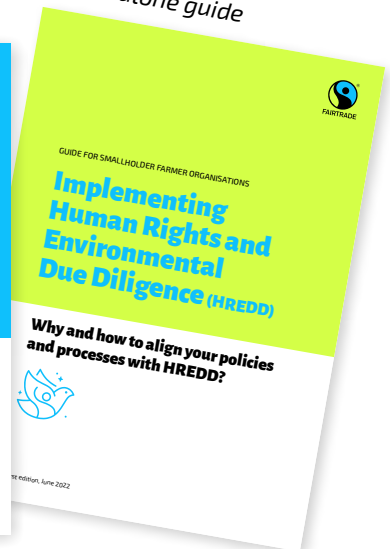
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Facilitation guide



Stand-alone guide



Please do NOT share this manual with farmer organisations. Please share the stand-alone guide.

support with the greatest possible impact on HREDD work, human rights and environmental sustainability. Hence, we want to offer advice and tools that are clear and feasible for farmer organisations to implement.

We consider the grievance mechanism and remediation as integral components of the due diligence process. We call on others to do the same.

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Using this Facilitation Manual

The purpose of this manual is to assist Fairtrade facilitators and staff to train Small-scale Producer Organizations (SPOs) in designing and implementing a HREDD Process.

You as facilitator will guide the farmer organisations to establish this process. It means that you will **NOT share** this manual with the farmer organisation. Please **share the stand-alone guide**, entitled "Guide for Smallholder Farmer Organizations. Implementing Human Rights and Environmental Due Diligence (HREDD). Why and how to align your policies and processes with HREDD? Fairtrade International".

Depending on the time you have available for the program, you will either support the farmer organisation to start strengthening each step of their HREDD process, or you explain the process and do some examples with them and leave it up to the farmer organisation to finish the rest of the steps themselves, using the stand-alone guide as support material.

Each session consists of:

- **Key information:** This is the most important information in the session and is available in the HREDD stand-alone guide.
- **Facilitating guidelines** for the facilitator, including:
 - Set up, including title, objectives, benefits, and direction
 - Discussion and decision making
 - Finish with a summary, questions, and next steps
- **Leading** practices for the implementation of certain aspects of the HREDD process, based on experiences of Fairtrade SPOs. Leading practices are available in the HREDD stand-alone guide and can be taken as examples during the workshop.

Some sessions have formats or checklists.

It is important that before kicking off with the first session, you prepare the farmer organisation for this HREDD program. Explain why Fairtrade organises this support for the farmer organisation, ask the participants about their expectations and tell what contributions are expected from them.

Facilitation tips

Irrespective of the time you have for the program, you will **facilitate** the process and **not train** your participants in the process. Your focus is **not on knowledge transfer or taking decisions for producer organisations** but rather

providing the producer organisations with information that is needed for them to take well-informed decisions. In addition, you encourage fair, transparent, and participatory decision-making processes.

Facilitation is not easy, especially if you are an expert with years of experience. When you have lots of knowledge, it would be much easier to tell the group what to do based on your experience, instead of taking them through the whole process. Try to keep in mind that imposing certain decisions will not help the group in the long term because they are the ones who need to do the actual work, not you.

In this manual, certain facilitation methods are suggested. Of course, as facilitator of this process, you are more than welcome to add any other method that can help to move the process forward. You can think about role plays, World Café, Margolis wheel, bicycle chain, games, etc.

General facilitation tips:

- Keep in mind that your task is to **GUIDE** the group and **NOT** tell them what to do.
- **Involve everyone as much as possible.** Being shy or quiet doesn't mean the person does not or cannot have any good ideas. Make room for the shy and silent people.
- **Do not avoid sensitive or difficult discussions.** Some issues might be sensitive in the communities you are working in. Although it is not easy, you should discuss these issues. It is better to have all discussions now, instead of later when the processes are implemented.
- **Do not be afraid of the "wrong" answer.** In case the group is convinced of a certain decision, it is no use to tell them that they are wrong. It might be that during a later step of the process, the group realises that their initial thought is not the best one. In addition, you can ask probing questions, for example by asking for the consequences of a certain decision.
- **Take your time.** Developing a good HREDD process will take time. Remember that Rome wasn't built in one day either.

Practical logistical advice:

- You need **walls** on which you can paste flip-sheets.
- Seating arrangements: **Only use chairs and no tables.** Because you are going to use all the walls of your venue, participants will move around (they will pick up their chair and form half a circle to face the wall where you are going to paste the flip-sheets).
- **Use permanent markers of different colour** so you can use coloured coding notes on the flip-sheets.

Program Proposal

You can facilitate the program in 1.5 days. At the end of the program, the producer organisation will understand how they can strengthen their HREDD process. If you have more time available, you can also spread the program over 3 to 5 days so that at the end, the producer organisation has almost completed their first risk assessment, and started developing a grievance mechanism, relevant policies, action plan, and tracking system.

Below you will find an indication of time you need for each session depending on your objectives for that session.

The time needed is allocated for:

- **A basic session** in which you merely introduce the topic and provide some examples but in which no real work is done. It is expected that the farmer organisations do the work after the program, using the stand-alone HREDD guide as support material.
- **An elaborated session** in which you do not only explain the topic but in which the group will work on each HREDD step.

The "time needed" are just suggestions. Depending on the group, sessions may take more time than suggested. The sessions are not deep diving into the topics. The program also does not include icebreakers and energisers but of course as facilitator you are free to add any.

Session number	Topic	Basic session	Elaborated session
		🕒 Time needed	
	Opening, introduction of trainer and participants	15 min	
1	What is Human Rights and Environmental Due Diligence	40 min	40 min
2	Step 1: Committing to human rights and environmental sustainability	1 hour and 15 min	3 hours
3	Step 2a: Doing a risk assessment	2 hours	1 day
4	Step 2b: Setting up a grievance mechanism	45 min	1.5 hours
5	Step 3a: Developing relevant policies and procedures	1 hour	3 hours + 2.5 per extra policy
6	Step 3b: Developing an action plan	1 hour	3 hours
7	Step 4: Tracking effectiveness	45 min	2 hours
8	Step 5: Communicating your efforts	35 min	35 min
9	Taking the next step	25 min	15 min
10	Evaluation	20 min	30 min
TOTAL without breaks and energisers		10 hours	3 days

Preparations

Assessing the level of the farmer organisation

Not all farmer organisations have the same capacity and capability to perform HREDD. To know if you need to facilitate a basic or more elaborated session, you need to assess the level of the farmer organisation. For instance, you can look at:

- Functioning of the staff and Board
- Involvement of SPO members
- Available time and funds for HREDD development
- Human rights and environmental risks identified, and policies developed so far
- Level of implementation of human rights and environmental policies
- Functioning of any complaints channel or grievance mechanism
- Existing tracking mechanisms and communication on human rights or environmental issues

Preparing the farmer organisation

It is very difficult to facilitate good sessions on HREDD, if none of the participants has a clue what the benefits are for them and why this program is necessary. Therefore, as part of a training strategy, you will always prepare your participants to ensure that they are ready for and interested in your program.

The first step is to discuss with the manager, chairperson, and Fairtrade contact person why Fairtrade would like to organize this program. You will talk about the new expectations, about the benefits of HREDD, etc. Most of these aspects are covered in session 1: *What is Human Rights and Environmental Due Diligence?*

Talk about what the SPO already is doing so they will notice that they already have some steps of the HREDD in place and do not have to start from scratch. In addition, ask for their expectations, challenges and fears. Discuss together how to tackle the challenges and address the fears.

Selecting Participants

Another aspect you need to discuss with the manager, chairperson, and Fairtrade contact person is who will be invited for each session. It is not always the same group of people that will be invited for the different sessions, but it can depend on the themes you are going to discuss. For each session described in this manual the SPO needs to decide who to invite. They can consider:

- Board members
- Staff
- Chairperson or members of relevant committees, including women's and/or youth committee, child labour committee, environmental committee, etc.
- Delegates or a selection of them
- Partners, including for instance buyers, suppliers, recruitment agencies, local government or local NGOs

The manager, chairperson, and Fairtrade contact person should be present during each session.

Preparing Participants

When the invitation list has been agreed, it is important that all invitees know what will be discussed, why this will be discussed, and their role during the session. This is the task of the farmer organisation, but you need to ensure they cover the why and what, and not just tell people to show up for a HREDD program.



Session 1

What is Human Rights and Environmental Due Diligence?



Key Information
is available in
the SPO guide
p. 4–5

Facilitating Guidelines for the Facilitator

Materials needed:

- ✓ Flip-sheets, markers and masking tape or gum
- ✓ Copies of the visuals (see end of this topic) indicating the steps to design a HREDD process. You should laminate the visuals so you can use them for future sessions.

Time needed:

Approximately 40 minutes

Preparations:

- ✓ Carefully read the key information and all steps of this guideline.
- ✓ For a better understanding of the topic, please watch the video on the following link: <https://www.business-humanrights.org/en/big-issues/un-guiding-principles-on-business-human-rights/>
- ✓ Prepare a flip-sheet with the following text:
HREDD = Human Rights and Environmental Due Diligence

Set up

 2 minutes

Attention: Ask what abbreviations the producer group uses that are well understood by everyone. It can be any type of abbreviation. For example, IMS (Internal Management System), IPM (Integrated Pest Management), PO (Producer Organisation), etc. Say that today you are going to add another abbreviation to their vocabulary: HREDD. Ask if anyone has an idea of its meaning. Paste the flip-sheet on the wall and say that HREDD stands for Human Rights and Environmental Due Diligence.

Title: Mention the title of the session: What is human rights and environmental due diligence (HREDD)?

Session in Short

Set up: 2 min

Delivery:

- 10 min: explanation on human rights and environmental sustainability
- 15 min: explanation on HREDD
- 10 min: explaining all steps of developing a HREDD process

Finish: 2 min



Note for the facilitator

The production and management practices of Fairtrade certified producer organisations already fulfil many due diligence expectations.

For instance, all work on social compliance, workers' rights and internal control and management systems are fully relevant here.

So, it is typical that alignment with most steps of the due diligence approach just requires refinements, instead of new actions.

Objectives: During this session, we will discuss what HREDD is, why it is important for your SPO, for whom HREDD is, and the steps to design a HREDD process.

Benefits: There are several reasons why you as SPO need a HREDD process, which we will discuss in detail. One of the reasons is that more and more traders and processors demand this from their suppliers. Therefore, it is important for market access.

Direction: We will not discuss yet how to develop a HREDD process; we will do that during later sessions.



Discussion and Decision Making

Explanation on human rights and environmental sustainability – 10 minutes

1. Say that to understand what HREDD is, we should break it down into smaller parts. Ask the following questions (collect several answers from different people before providing the answer):
 - a. *The first part is human rights. **What are human rights?*** Human rights are basic rights and freedoms of every human being, irrespective of their gender, age, religion, tribe, position in society, etc. These rights are universally agreed upon in the Universal Declaration of Human Rights from 1948.
 - b. *Can anyone give an **example** of a human right?* Examples include the right to a decent standard of living, rights of the child, equal rights for men and women, the right to clean, healthy and sustainable environment, etc.
 - c. *The second part refers to **environmental sustainability**.* What is the meaning of environmental sustainability? Environmental sustainability is the responsibility to conserve natural resources and protect global ecosystems to support health and wellbeing, now and in the future.
 - d. *Can anyone give an **example** of how we can achieve environmental sustainability?* Examples include slowing down climate change (including greenhouse gas emissions), reduction of air, soil, water and noise pollution, responsible handling of hazardous substances and waste (including disposal of chemicals), protection of forests and natural ecosystems, biodiversity, habitats and species, etc.
 - e. *Can anyone think of any **example** where harm to the environment violates human rights?* Examples: water pollution can reduce access to safe drinking water and sanitation, polluted land can reduce yields and adequate standard of living.
2. Say that there are several Fairtrade requirements concerning **human rights and environmental sustainability**. Ask the following questions to get an idea what the Producer Organisation **already does or has** in terms of actions and documents concerning protection of human rights and environmental sustainability:
 - a. *You as Producer Organisation probably take action to protect human rights and environmental sustainability.* Can someone give some examples of these

actions? Actions can include not employing children younger than XX years (add the number of years applicable in your country); advancing women's opportunities, leaving buffer zones when applying pesticides to avoid contamination of water bodies; allowing workers to form committees or join workers' organisation; ensuring that field workers have access to clean drinking water, etc.

- b. *Some farmer organisations develop different **documents and plans** related to human rights and the environment. Did your farmer organisation develop such documents? If yes, what type of documents did you develop so far? What is the main purpose of these documents and plans? What do you describe in these documents?* This can be a gender policy, action plan against child labour, procedures for workers' rights, etc.
3. *Why are you and your farmer organisation concerned about human rights and environmental sustainability? Why is it **important** for you and your farmer organisation?* Let several people respond.

Explanation on HREDD – 15 minutes

4. Say that a human rights and environmental due diligence (HREDD) process is about **revising and strengthening actions and policies** to protect human rights and environmental sustainability. **Due diligence** means that reasonable actions are taken by the SPO or your members to avoid violation of human rights and environmental sustainability.


The current Fairtrade Standards already cover several aspects of human rights and environmental sustainability. This means that your SPO **already fulfils many due diligence expectations**. For many issues, alignment with the due diligence approach just requires refinements, instead of new actions.

5. Say that the requirements in the Fairtrade Standards are a step into the right direction but Fairtrade would like to go **one step further**. Explain why farmer organisations have to develop a HREDD process (see key information under the heading "**Why is HREDD important for farmer organisations?**"), including:

- The SPO can better serve the expectations and **needs of its members**, workers, and the local community.
- HREDD is a flexible, participatory process that each producer group can design for itself by **taking charge** of identifying and responding to human rights and environmental incidences and risks.



- When an SPO has identified the main challenges and proposed solutions, the SPO and Fairtrade can better call on buyers to support these solutions.
- Having a HREDD process in place is important for market access.
- HREDD has the potential to lead to fairer prices for producers.
- The African Regional Standard (ARS) for cocoa in West Africa includes stringent HREDD requirements (only applicable for cocoa). Having a HREDD process in place is important to comply with ARS criteria.
- Fairtrade Standards include some HREDD related requirements, and these will be revised, to ensure that buyers and governments recognise Fairtrade as a sign of good practices. Developing HREDD practices is important to comply with Fairtrade requirements.

 **Explanation on the steps of a HREDD process**
– 10 minutes

6. Say that the goal of this program is to explain all steps of a HREDD process. A HREDD process consists of several steps. Paste the visual depicting the first step of a HREDD process on the wall. Say that the first step is to commit to human rights and environmental sustainability. Say that we are going to discuss how to implement this step in the next session.
7. Paste one by one the other visuals depicting all steps on the wall and tell them what step the visual depicts without going into detail (add that we will discuss the implementation of all steps in next sessions).

Finish

 **2 minutes**

Summary: Summarise what HREDD is and repeat what the 5 steps are to develop a HREDD process (refer to the visuals on the wall).

Questions: Ask if anyone has a question or comment.

Next step: Say that we are going to discuss the implementation of all these steps in the next sessions.

In case you only have 1.5 days, say that we will select one area of human rights and environmental sustainability to focus on. The rest of the areas can be developed later.

In case you have more days, say that we will implement all steps as much as possible.



Note for the facilitator

Paste the visuals with the steps on the far left of the wall in front of the group because you will need the visuals for the next sessions.

STEP 1: COMMIT



1.

**Sensitise
management and staff**

2.

**Develop and sign
a commitment**

3.

Assign responsibilities

4.

**Raise awareness among staff,
members and farm workers**



Session 2

Step 1: Commit



Key Information
is available in
the SPO guide
p. 6–7

Facilitating Guidelines for the Facilitator

Materials needed:

- Flip-sheets, markers and masking tape or gum
- Copies of the stand-alone guide or just page 7: Example of a Commitment to human rights and environmental sustainability (one for each participant)

Time needed:

1 hour and 15 minutes for basic session
3 hours for elaborated session

Preparations:

- Carefully read the key information and all steps of this guideline.

Set up

 2 minutes

Attention: We have seen what human rights and environmental sustainability are, and the steps to develop a human rights and environmental due diligence (HREDD) process. We will start with step 1 (point to the steps written on the flip-sheet).

Title: Mention the title of the session: *Committing to human rights and environmental sustainability*.

Objectives: During this session we will discuss how to commit, assign responsibilities, and raise awareness.

Session in Short

Set up: 2 min

Delivery:

- 30 min: sensitising management and staff
- 5 to 60 min: developing the commitment
- 10 min: assigning responsibilities
- 20 min: raising awareness
- 5 to 60 min: organising an action plan for awareness raising

Finish: 2 min

Benefits: The first step is always the most difficult. By committing yourself publicly to human rights and environmental sustainability, you force yourself to take the rest of the steps as well.

Direction: We will not discuss yet how you can enforce human rights and environmental sustainability, that will come in the next sessions.



Discussion and Decision Making

🕒 Sensitising management and staff – 30 minutes

1. Say that the first step is to **publicly let everyone know that you commit yourself** as SPO to human rights and environmental sustainability. You can do this by developing and signing a commitment that says that you will do certain things and that you will not do certain things. Repeat what human rights and environmental sustainability is and give some examples.

Human rights are basic rights and freedoms enjoyed by every human being. Examples are:

- Right to a decent standard of living;
- Rights of the child;
- Equal rights for men and women;
- Right to clean, healthy and sustainable environment.

Environmental sustainability is achieved when natural resources can sustain wellbeing now and in the future. Some examples to achieve this are:

- Protection of forests and biodiversity;
- Reduction of air, soil, water and noise pollution (including through disposal of chemicals);
- Reduction of climate emissions.

2. Split participants **into pairs**. Let every pair discuss what the organisation in general should do with regards to human rights and environmental sustainability. After a few minutes, ask each pair to make 1 contribution. Make notes in key words on a flip-sheet.

3. **Mix the pairs** and let everyone pair with another person. This time, every pair should discuss what the organisation in general should **not do** with regards to human rights and environmental sustainability. Again, after a few minutes, ask each pair to make 1 contribution and make notes on a flip-sheet.

4. **Distribute the example** of the commitment to human rights and environmental sustainability. Say that Fairtrade has prepared an example of a commitment. **Ask a volunteer** (meaning: you do not point someone) to read the first paragraph out loud. Then ask another participant to read the second paragraph. Continue till **all paragraphs are read out loud**.

5. Look together at the notes you have made on the flip-sheets and ask the following **questions**:

- Does the example in general cover what you discussed?*
- Is the example **more detailed** or are your ideas more detailed?* Very likely, the ideas will be more detailed.
- Is a commitment the same as **guidelines or procedures**?* No, it is not.
- What is the difference?* A **commitment** is to let everyone know that you will do everything that is within your power to protect human rights and environmental sustainability in your organisation. **Guidelines or procedures** are a description of what should be done and what should not be done.
- Should a commitment be very **detailed** or rather **more general**?* A commitment does not need to be lengthy or complicated; it is more effective to keep the key message short and simple. Guidelines or procedures need to be detailed.
- Is there anything in the example you would like **to change**?* How would you like to change it? In case the group comes to an agreement, write it on the flip-sheet.
- Is there anything you would like **to add** to the example?* In case the group comes to an agreement, write it on the flip-sheet.

🕒 Developing and signing the commitment – 5 to 60 minutes

In case you facilitate the **basic session**, and you will NOT develop the commitment together: ask the group to agree on a proposal for who could **finalize the commitment**, who needs to approve and **sign it** and **when** it could be signed. Note this on the flip-sheet. Note that the final decision will be taken by the Board or senior management of the SPO.

Skip steps 6 and 7 and continue with step 8.



6. In case you facilitate the **elaborated session**, and you WILL develop the commitment together, do the following: *Look at the changes and additions the group wants to make and develop together a new text.*

7. Ask the group to agree on a proposal for who could approve the commitment and **sign it** and **when** it could be signed. Note this on the flip-sheet. Note that the final decision will be taken by the Board or senior management of the SPO.



Note for the facilitator

In case the group is large, you can also do this step after the program with a small group of 2 to 3 people.

⌚ Assigning responsibilities – 10 minutes

8. Say that when committing yourself as organisation to human rights and environmental sustainability, it is important that the key people in your SPO commits to these rights. You can support this by **assigning responsibilities**. Ask the following questions:

- What do we mean by assigning responsibility?* It means you will involve the key people in the HREDD process and show that it is important.
- How can assigning responsibility make people **more involved**?* Being responsible means that you need to set the good example and you have to ensure that also other people respect human rights and environmental sustainability. It also means that you are partly responsible for the success or failure, which makes people more involved because they will own part of the process.
- How can we assign responsibility? Who should we make responsible?* The responsibility for oversight should be assigned to a relevant member of senior management, and the responsibility for developing and implementing the due diligence steps to relevant members of staff and/or committees. For example, operational managers and officers, Fairtrade officers or experts of risk management, social compliance, environmental management or internal control.

9. **Ask the group to agree** on a proposal for who could be assigned for oversight, and who for development and implementation. **Write the names on a flip-sheet.** (Please note that many SPOs need to take the final decision at the Board level but try to ensure that the workshop participants agree on a clear suggestion).

⌚ Raising awareness – 20 minutes

10. Say that the last item under step 1 Commit, is **to raise awareness**. Ask the following questions:

- What do we mean by raising awareness?*
Raising awareness means to inform and educate people about
 - human rights and environmental sustainability in general
 - your organisation's commitment to human rights and environmental sustainability
- What do you want **to achieve** with awareness raising?* The intention of awareness raising is to influence attitudes, behaviours, and beliefs towards protecting human rights and environmental sustainability. If people understand the issues and consequences, it might make them more perceptive to be actively involved.
- When you have your commitment, **who** should know you have signed this commitment?* All workers, committees, members, but also partners.
- How** can you let everyone know about your commitment?* For instance, you could paste the commitment on a notice board or any other visible space, present it at the General Assembly, discuss it in relevant committees and meetings, send it to your partners via e-mail, etc.
- What** specific issues do we want to raise awareness?* It's smart to mainly raise awareness about the most common and serious issues. Risk assessment will help to identify those issues.
- Among whom** do we want to raise awareness?* Among board, management, all staff, workers, members but also partner organisations.



- g. *How can you raise awareness?* Awareness raising can be done through presentations and discussions at meetings, training programmes, or distribution of posters, leaflets, and infographics. You can also use sketches and roleplays or invite someone who has been the victim of any violation to share his/her experience, etc.
- h. *Is it enough to raise awareness one time?* Awareness raising is a process and not a one-time event. The way people think about certain issues, including prejudices and perceptions, is often formed through and by the environment you have been raised in. This will not suddenly change after one event.

 **Organising an action plan for awareness creation – 5 to 60 minutes**

- 11.** In case you will NOT develop a plan for awareness raising together: Ask the group to agree on a proposal for who could **develop a plan for awareness raising** (it can be 2–3 people). Note the names on the flip-sheet. They should describe the target group, develop the key message, decide how they would like to raise awareness, and develop a time frame and budget. Skip steps 13 and 14 and continue with Finish.
- 12.** In case you WILL develop a plan for awareness raising together, discuss the following:

- *Who is the target group? Meaning: who are you going to target? Members, partners?*
- *What would be the key message? Meaning: what would you like to say?*
- *What methods would you like to use?*
- *When are you going to raise awareness?*
- *Who is going to raise awareness? Will it be field officers or someone else? In case field officers will raise awareness, how can you ensure they know what to say?*
- *How much money is needed to execute this activity?*

13. Make notes on all decisions taken on flip-sheets.

Finish

 **2 minutes**

Summary: Repeat that the first step towards a HREDD process is to commit yourself as organisation to human rights and environmental sustainability. You do this by sensitising management and staff, developing and signing a commitment and making it public, assigning responsibilities, and creating awareness on the issues and consequences of violating human rights and the environment.

Questions: Ask if anyone has a question or comment.

Next step: Repeat what has been agreed and all actions that need to be taken.

STEP 2: IDENTIFY KEY PROBLEMS



1.

Do a risk assessment

2.

Set up a grievance mechanism



Session 3

Step 2a: Identify / Risk assessment



Key Information
is available in
the SPO guide
p. 8–11

Facilitating Guidelines for the Facilitator

Materials needed:

- Flip-sheets, markers and masking tape or gum
- Copies of stand-alone guide or just Annex 3: Indicators for *Risk Assessment*

Time needed:

Approximately 2 hours for the basic program
Approximately 1 day for the elaborated program

Preparations:

- Carefully read the key information and all steps of this guideline.
- Prepare a flip-sheet with the steps of a risk assessment. Steps of a risk assessment:
 1. *Map the human rights and environmental risks and problems in your country and field of production.*
 2. *Identify and do further analysis of two or three risks or problems that are most salient for your organisation.*
 3. *Identify the people who are most vulnerable to them.*
- Prepare a flip-sheet with the risk areas of human rights and environmental sustainability. *Fairtrade groups them into the following 13 areas human rights and environmental issues*
 1. *Living income, living wage*
 2. *Working conditions (for farmers and workers)*
 3. *Health*
 4. *Freedom of association and collective bargaining*
 5. *Forced labour*
 6. *Child protection and child rights*
 7. *Gender rights*
 8. *Non-discrimination*
 9. *Self-determination*
 10. *Climate emissions and deforestation*
 11. *Water and biodiversity*
 12. *Freedom of speech, thought and public participation*
 13. *Privacy*

Session in Short

Set up: 2 min

Delivery:

- 15 min: explaining what a risk assessment is
- 30 min: explaining the use of the Fairtrade Risk Assessment tool
- 45 min: exercise on using the Fairtrade Risk Assessment Tool
- 5 min: explaining the identification of key risk areas
- 5 min: explaining the further analysis of key risk areas
- 5 min: explanation and exercise on identifying vulnerable people
- 5 hours: doing a risk assessment
- 10 min: feedback on the work done

Finish: 2 min

Set up

 2 minutes

Attention: Repeat what **human rights** and environmental sustainability are. Human rights are basic rights and freedoms of every human being. **Environmental sustainability** is the responsibility to conserve natural resources and protect global ecosystems to support health and wellbeing, now and in the future.

Title: Tell the title of the session: *Identifying the most serious and common human rights and environmental risks and problems linked to your organisation and production.* (Specify that this risk assessment is about risk and problems to people and the environment – not about risks to the SPO as business).

Objectives: During this session, we will discuss how to do a risk assessment in which we will assess what the risks are, the impact and likelihood of the risks, and who may be harmed.

Benefits: You can only manage risks and problems if you first recognise and document them. Once you have identified risks and problems, you can take action to prevent, mitigate or remediate them.

Direction: Doing a risk assessment is part of HREDD step 2: *Identify the most serious and common human rights and environmental risks and problems.* The grievance mechanism is also part of step 2, but we will discuss that in the next session.



Discussion and Decision Making

Explaining what a risk assessment is – 15 minutes

1. Start with a short discussion on the **purpose** of a risk assessment.
 - *What is a risk assessment?* During a risk assessment you identify and evaluate any challenges and problems. This **risk assessment** is about identifying and analysing human rights and environmental risks effecting the members and workers of the farmer organisation and their families and communities.
 - Say that HREDD risk assessment is wider than the assessment of non-compliance risks, which has long been expected by SPOs (requirement 3.1.2) because e.g., the farmer organisations is to consider **ALL** human rights and environmental issues.
 - Say that Fairtrade has grouped the **risk areas** related to human rights and environmental sustainability into 13 risk areas. **Paste the flip-sheet** with the risk areas of human rights and environmental sustainability (1–13) on the wall. Read the text on the flip-sheet out loud.
 - Say that some of these areas are probably familiar to participants, but some may not be – and you will soon do an exercise that clarifies how Fairtrade describes these all. For now, it's great that everybody recognises some areas.
 - Say that some farmer organisations will be **reluctant** to conduct risk assessments, because when you identify a risk, **you need to take action** to prevent and/or handle it. This could lead to extra costs and use of (human) resources, which could be a challenge for the farmer organisation. *In case a risk assessment could lead to extra costs, would it be better to not identify any risks, so you do not have to take any action?* Let several people respond to this.
 - *If you do not identify risks and problems, does that mean they do not exist?* Unfortunately not; not identifying risks and problems will not reduce risks or make them go away. You can only manage the risks and problems if you first recognise and document them.
 - *What would happen if other actors in the value chain **assume** that you as farmer organisation have certain risks, for example with regards to child labour and deforestation, and you claim that there are no risks. How would this be perceived by the other actors in the value chain?* Very likely you will be seen as part of the problem.

- *How can you avoid that you are going to be seen as part of the problem?* You should be **pro-active** and not only confirm certain risks but also inform other actors how you will **deal** with the risks.

2. Say that when doing a **risk assessment**, you need to take a few steps. Paste the flip-sheet with the 3 steps of a risk assessment on the wall and say that we are going to do all these steps together (either for one area or for all, depending on the time you have available).

Explaining the use of the Fairtrade Risk Assessment Tool – 30 minutes

3. Say that Fairtrade does not expect SPOs to work on all risk areas at once but to start with 3 or 4 key areas. However, to be able to **prioritise risk areas**, you first need to have **an overview of risks in all areas**. Therefore, in the first step of the risk assessment you need to do a **rapid assessment** of all risk areas before you decide on which areas you are going to focus.
4. Continue by saying that noticing risks and problems in each of the 13 areas might not be easy. **To avoid** that some areas are **overlooked**, Fairtrade has developed a **Risk Assessment Tool**.
5. **Distribute the indicators of the Fairtrade Risk Assessment Tool**. Say that this tool is a kind of checklist that lists potential risks and problems in each risk area. The potential risks and problems are based on the experience of Fairtrade SPOs worldwide.
6. **Ask a volunteer** (meaning: you do not point someone) to read out loud the name, description and mapping indicators of the first risk area. Then ask another participant to read the same for the second risk area. Continue till **all risk areas have been read**.
Ask if some of the areas seems unclear and clarify the meanings as well as you can.
7. Explain the difference between **mapping** and **additional** indicators:
 - **Mapping indicators:** These are key indicators which means they are the most important. Assessing the mapping indicators will give you a good idea of how urgently this risk area needs to be managed. You will focus on the mapping indicators in the rapid assessment (step 1 of the risk assessment).
 - **Additional indicators:** These indicators will help you to analyse the key risk areas in greater detail. You will use these indicators in step 2 of the risk assessment when you analyse the most urgent risk areas in detail.



8. Explain that for the rapid assessment, they need to indicate for all mapping indicators in the 13 areas:

- Whether the problem is **not common, common, or very common** in the area. Common refers to how often the issue happens and how many people are affected. For example, how often farmers need to work around-the-clock, seven days a week, or otherwise too much? Or how many workers have no written contracts?
- Whether the problem has a **low, medium, or high impact** on people or the environment in the area. Impact refers to how **serious** the problem is or **how difficult it is to reverse**? For example, children sometimes helping their parents in the field during school hours is less serious than children working with dangerous tools without supervision.

 **Exercise on using the Fairtrade Risk Assessment Tool – 45 minutes**

9. To get a better idea of **how to use** the Fairtrade Risk Assessment Tool, discuss the mapping indicators for one risk area. Ask everyone to look at the **first risk area**: *Living income, living wage*. **Read out loud the first mapping indicator** “Farmers’ incomes are too low to offer adequate food, housing, clothing, health care, schooling and small savings for emergencies”. Ask the following questions:

- *Is it not common, common, or very common that the income of your members is too low to offer adequate food, housing, clothing, health care, schooling and small savings?* Let several people give their opinion. Do not comment on any of the opinions and do not ask if others agree or not; simply let people share if they think it is not common, common, or every common.
- After several people have given their opinion, ask: *On what is your opinion based? Is it based on personal experience, do you know many people are in that situation, did you hear it from somebody, is it something that everyone believes?* Let those who gave their opinion on the occurrence of the low farmers’ income explain how they came to their conclusion if it is not common, common, or very common.

10. Say that to get a reliable picture of the risks, it is necessary to **use solid data, information and interviews** with affected people. Ask: *What data and information can you use to assess the mapping indicators?* The data and information an SPO can utilise includes:

- external statistics and indices (included in the Fairtrade Risk Assessment Tool);
- audit results;

- findings of your own internal audits;
- any studies by external experts, done with or without their involvement;
- newspaper articles;
- interviews of people with diverse backgrounds.

11. **Look again at the first mapping indicator**: “Farmers’ incomes are too low to offer adequate food, housing, clothing, health care, schooling and small savings for emergencies”. Ask: **Where can you find information about how common this is in your operating area?** The local planning, statistical or labour unit or department could have relevant data.

12. **Try to assess together based on available data** if it is not common, common, or very common that the income of members is too low as compared to the living income as set by Fairtrade. Mark the appropriate cell (do this on your own sheet and show it to all participants).

13. **The next step is to look at the impact**. Explain that we will look if the problem has a **low, medium, or high impact** on people or the environment in your area. Impact refers to how seriously the problem affects people or the environment, in other words how **deep it is or how difficult it is to reverse the problem**. Ask: *How do you know if something has a low, medium, or high impact?* To measure the level of impact, you can look at how grave or severe the impact is (for example, a child using a sharp object might be less damaging than a child applying pesticides) and how difficult it is to reverse the situation (for example it might be easier to have equal wages for men and women than to stop sexual harassment).


14. Say that impact is **more difficult to prove** than the occurrence of a problem. This is because often the impact will show in different ways. Ask: *If we talk about income, to what can we look to see if a low income has a serious impact on lives or not?* We can look at the way people live (type of housing, type of transport used) and the living environment.

15. Try to **agree together** if having an income below the living income has a **low, medium, or large impact**. Mark the appropriate cell (do this on your own sheet and show it to all participants).

16. Say that we will discuss later **who is harmed** by the risk. Add that sometimes an indicator is not applicable; in that case you mark it as “*not applicable*” and you do not have to discuss if it is common or not, or the level of impact.



17. Continue with the other mapping indicators as listed under Living income, living wages, and discuss if they are common or not, and the level of impact. Again, discuss what data or information can help to take an informed decision.

 *Explaining the identification of key risk areas – 5 minutes*

18. Explain step 2 of doing a risk assessment: *Identify three or four areas with the most serious risks or problems.* Say that the exercise we just did for the risk area of Living income, needs to be done for all 13 areas using the Fairtrade Risk Assessment Tool.


After that, the farmer organisation needs to **prioritise** which 3 or 4 areas have the most serious risks or problems. The most severe human rights or environmental negligence need to be addressed first. Ask the following questions:

- *How can we select the 3 or 4 main risk areas? What should we look at?* You can check how many mapping indicators are marked as “very common” and “high impact”.
- *Is a high-impact risk that is not common less serious than a very common high-impact risk?* In general, yes. However, risks that are very common among a specific vulnerable group (for example youth or females or migrant workers) can be important, even if they are less common among the whole community.
- *Is a very common low-impact risk less serious than uncommon high-impact risk?* The risk with a lower impact is less urgent.

 *Explaining the further analysis of key risk areas – 5 minutes*

19. Explain the analysis: *Analyse key risk areas in greater detail.* Say that when using the Fairtrade Risk Assessment Tool, you can do this with the help of the “Additional indicators” and assess how common and serious these additional problems are in your area. Read out loud the additional indicators for the risk area of Living income, but do not discuss them.

20. Say that during this step **a wider range of data and information** should be used, for example observations and farm visits, surveys, and individual or group interviews.

 *Explanation and exercise on identifying vulnerable people – 5 minutes*

21. Explain step 3 of doing a risk assessment: *Identifying vulnerable people.* Say that it is useful to identify **which**

groups of people are most influenced in a negative way by the main problems. This helps to address the problem effectively and efficiently.

22. Ask the following questions to get a **better understanding** of vulnerable people:

- *What do we mean with vulnerable?* Vulnerable means being exposed to any harm.
- *Which groups of people are vulnerable within the farmer organisations and the communities? Why are they vulnerable?* See key information for input.

23. Look again at the mapping indicators for the risk area Living income. Try together for each of the mapping indicators to **agree on who is being harmed**. Say that the SPO should do this exercise for all indicators for each prioritised risk area. Emphasize the need to think of **all** individuals and groups, including workers at SPOs.



Note for the facilitator

In case you facilitate the basic 1.5-day program, you continue with the finish.

In case you facilitate the more elaborated program, you **continue with step 24**.

 *Doing a risk assessment – 5 hours*

24. You are going to facilitate a **complete risk assessment** with the group. You can take the following steps:

25. 2 hours: Facilitate step 1 (rapid assessment of all the human rights and environmental risks).

- Divide the group into 4 sub-groups. Allocate 4 risk areas to each sub-group (you already did risk area 1 together, so no need to discuss that area again).
- Let the groups work for 30 minutes on the mapping indicators for their risk area: for each mapping indicator they need to decide the level of occurrence and level of impact.
- Discuss the results together. Encourage the use of available data and information to support the opinions in deciding whether a risk is common or not and has a high or low impact.



26. 1.5 hours: Facilitate step 2 (Identifying and analysing three or four key areas with the most serious risks or problems) in a plenary session (with the whole group together).

- Do a first round **gauging the first impression**: let everyone indicate one area where they consider risks as very serious.
- Look at risk areas with several mapping indicators that have a **high impact**.
- Look at risk areas with several mapping indicators that are **very common**. Look which of those risks have a high impact.
- Do a **second round** in which everyone can indicate another area where they consider risks as very serious. Look for areas that are mentioned by several people and focus on those areas for continuous discussions.
- Agree on 3 to 4 key areas.
- Assign a group to consider each high-risk area (for example, if the group identified 3 high-risk areas, you split the group into 3 sub-groups). Ask groups to discuss the additional indicators for their area. Again, they should try to base their discussions on existing data and information.
- Discuss the results and agree on the analysis.
- In case more data or information is necessary for certain indicators, agree on who should collect this information, how, and when.

27. 45 min: Facilitate step 3 (Identify vulnerable people).

- Again, assign a group to consider each high-risk area (for example, if the group identified 3 key areas, you split the group into 3 sub-groups). Ensure to have different groups than used for the previous exercise on step 2.
- Each group should discuss which group of people might be most affected for each indicator of their risk area.
- Discuss the results and agree on the analysis.

28. 45 min: Plan stakeholder validation

- Remind the group that during a risk assessment, organisations are expected to consult people, who are affected by its operations. This should include at least some members of staff, members, farm workers, men, women, and young and old people.
- Suggest that to complete the risk assessment, the group shares their findings with a diverse group of selected people, asks for their comments, and then makes some changes to the findings based on those comments. Then the risk assessment is complete.
- Ask the group *how they could select suitable people for this?* Write the findings on a flip-sheet.

- How would the comments be collected? It could be done for instance via individual interviews or a workshop. Write the findings on a flip-sheet.
- Remind that it is important for people to understand that it is good to disclose risks openly: The goal is to correct problems before they grow bigger.
- Ask the group to agree who will coordinate this validation and when it will be done. Write the decisions on a flip-sheet.

 **Feedback on the work done – 10 minutes**

29. Ask the **following questions** to wrap up the session:

- Was it **difficult** to do the risk assessment?*
- Did you **expect** there would be so many risks?*
- What are the most **unexpected** risks or risks you were not familiar with?*
- Which risks are affecting **lots of people**?*
- Do we see any **group of people** that is very **vulnerable** to lots of risks? Did you expect this?*
- If you want to **improve** this risk assessment, who would you ask to comment and add to your findings? Some colleague, some group of farmers, some person from a vulnerable group, community members, trade union representatives etc perhaps?*

Finish

 **2 minutes**

Summary: Summarise the three steps of doing a risk assessment and the main results of the exercises: mention some of the high risks identified and which groups are mainly affected by the risks.

Questions: Ask if anyone has a question or comment.

Evaluation: Ask the following questions:

- *What steps do we need to take when doing a risk assessment?*
- *Which vulnerable groups are most likely harmed?*
- *What are some of the high risks we identified?*

Next step: The risk assessment is only part of the way to identify human rights and environmental problems. Another tool to use is a grievance mechanism. We will discuss grievance mechanism in the next session.



Session 4

Step 2b: Identify/ Grievance Mechanism



Key Information
is available in
the SPO guide
p. 11–12

Facilitating Guidelines for the Facilitator

Materials needed:

- Flip-sheets, markers and masking tape or gum

Time needed:

Basic session 45 minutes

Elaborated session 1 hour 15 minutes

Preparations:

- Carefully read the key information and all steps of this guideline.

Set up



Attention: We just discussed the risk assessment which is part of step 2 on *Identifying human rights and environmental problems*. During this session we will discuss the second part of step 2.

Title: Mention the title of the session: *Setting up a grievance mechanism*.

Objectives: During this session, we will discuss what a grievance mechanism is and how we can set it up.

Benefits: A grievance mechanism is an early warning system that supports your risk assessment. It allows you to respond to incidents early, before the problem grows bigger, and it can bring you information about rising risks and problems, so you can consider strengthening your related policies and practices.

Direction: Very likely you already use some kind of grievance system within your SPO. Instead of starting from scratch, we will look at what you already do and how we can improve the existing system, if necessary.

Session in Short

Set up: 2 min

Delivery:

- 10 min: understanding grievance procedures
- 25 min: improving existing grievance procedures
- OR 55 min: developing a grievance procedure
- 5 min: agreeing on action

Finish: 2 min



Note for the facilitator

In case you will facilitate a basic session, explain briefly the key elements as mentioned under point 4 or 5 (depending on if the SPO has an existing grievance mechanism). In case you have more time, you can elaborate on each point and develop together a draft text for the grievance procedures.



Discussion and Decision Making

Understanding grievance procedures – 10 minutes

1. A **grievance mechanism** is a formal process for receiving and responding to complaints from members, farm workers, local community members and other individuals and groups.
2. Ask the following questions:
 - a. *If you have a problem with something or someone in your community, with whom do you discuss it?*
Probably with a relative, friend or neighbour.
 - b. *Is there a person or group of persons in the community who can interfere if there are problems?*
Very likely, there will be a group of elders or chiefs.
 - c. *How is this group (or person) of advisors formed? Are they elected?*
 - d. *How does this work? What are the (informal) rules? Can anyone bring forward any type of problem? How are problems discussed and solved? Can you submit a problem anonymously? Discuss how the system works practically, without judging it.*
3. Continue by making the link to the farmer organisation by asking the following questions:
 - a. If any of your members has a complaint, to who can they go? Can anyone bring forward any type of problem? How are problems discussed and solved? Can you submit a problem anonymously? Discuss how the system works practically, without judging it.
 - b. Are there any official procedures to deal with complaints (meaning: is there an existing grievance procedure)?
 - b. *How are the grievance procedures shared with everyone? Is everyone aware of these procedures?*
 - c. *Check together if the procedures:*
 - Allow all members, farm operators, workers, local community members, business partners and also third-parties like civil society actors or trade unions to file complaints, as individuals or groups. This should include women, youth, migrant workers and other vulnerable groups.
 - Accept complaints of any injustice, harm or fraud linked to your organisation.
 - Allow complaints to be made anonymously in local languages and also verbally.
 - Protect the complainant (person who made a complaint) from retaliation.
 - Have a clear and known process and keep both the complainant and the accused informed about progress and decisions.
 - Ensure that resolutions are made and implemented in a timely manner.
 - Where a complainant wishes to have dialogue, waiving anonymity, facilitate dialogue between parties with the goal of resolving the grievance.
 - Abide by national laws and, when relevant, report human rights violations to relevant national agencies.
 - Raise awareness about your grievance procedure among all stakeholders.

Write on a flip-sheet what **can be improved or should be revised**.

Mention that if the farmer organisation already has a procedure for handling complaints related to child labour, forced labour or gender-based violence, the SPO can decide whether to keep that process separate or integrate it into a broader grievance mechanism.

Improving existing grievance procedures – 25 minutes

If the farmer organisation has no grievance procedures, jump to point 5.

4. In case there are **existing grievance procedures**, ask someone to read them out loud. Ask the following questions:
 - a. *Are all types of workers' rights (discrimination, forced labour, etc.) covered in the existing grievance procedures?*



 **OR Developing grievance procedures**
– 55 minutes

5. In case there are **NO existing grievance procedures**, discuss all the points mentioned above. You can ask the following questions to guide the discussions:
- How can you organise the filing of complaints? What can you do to ensure that no one is scared to put in a complaint?*
 - What could be a way to handle complaints? How can complaints be discussed? Who should be involved?*
 - How can you protect workers who file complaints from retaliation?*
 - How best can you communicate the process progress and decisions to relevant people? How quickly should that be done?*

Make notes in key words on a flip-sheet to keep track of the discussion. The results can be used as **input** for the development of a grievance procedure.

 **Agreeing on action** – 5 minutes

6. In case the grievance mechanism needs to be revised or developed, agree at the end of the discussion **who** is going to do this and **when** it will be done. Add this to the flip-sheet. Check with the person(s) who will work on the procedures if they need any support.

Finish

 **2 minutes**

Summary: Repeat what a grievance mechanism is and some important elements of a good grievance mechanism.

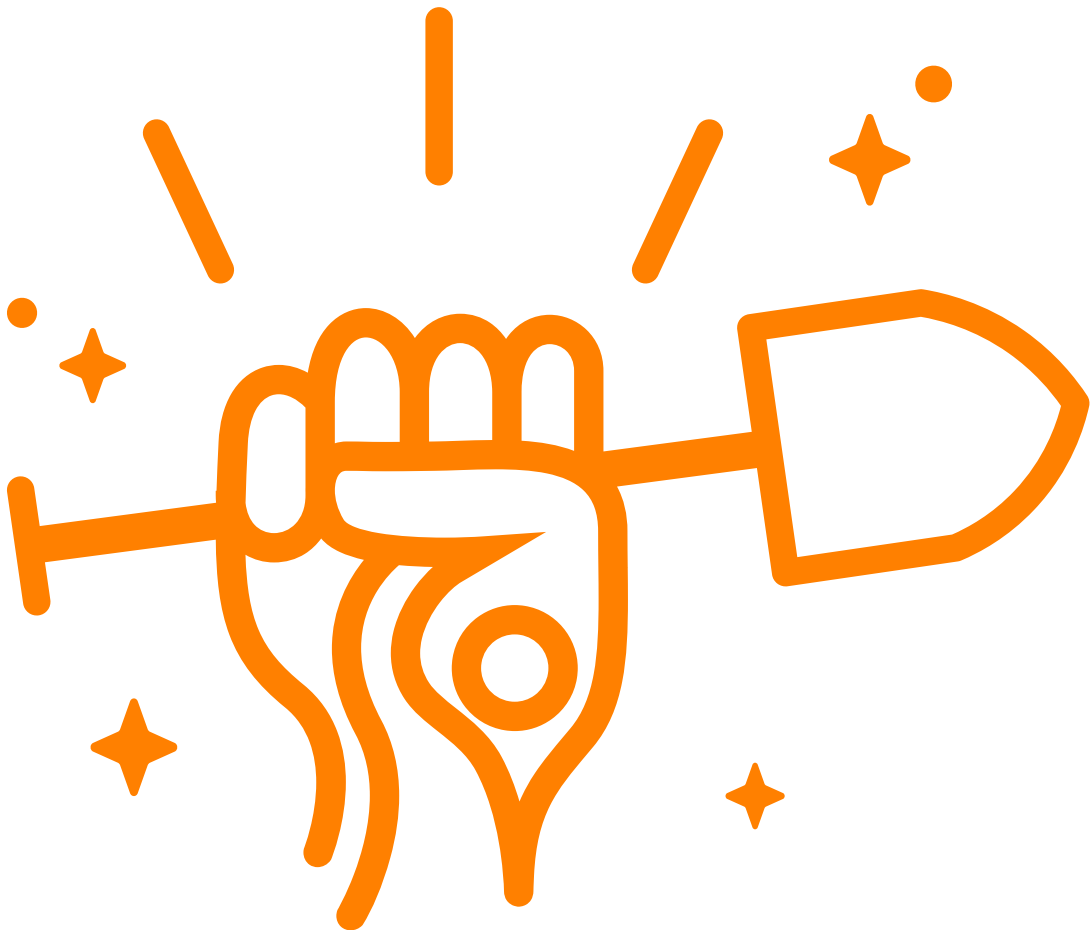
Questions: Ask if anyone has a question or comment.

Evaluation: Ask the following questions:

- *What is a grievance mechanism?*
- *What is important when we set up a grievance mechanism?*

Next step: Repeat any action to be taken.

STEP 3: ADDRESS AND REMEDIATE



1.

Develop and implement relevant policies and procedures

2.

Develop and implement an action plan

3.

Remediate



Session 5

Step 3a: Address and Remediate/ Policies and Procedures



Key Information
is available in
the SPO guide
p. 13–14

Facilitating Guidelines for the Facilitator

Materials needed:

- Flip-sheets, markers, masking tape or gum
- Copies of the stand-alone guide or just Annex 1_ Example of a Child Labour and Child Protection Policy

Time needed:

1 hour for basic session 2.5 hours for elaborated session
(and an additional 2.5 hours per extra policy)

Preparations:

- Carefully read the key information and all steps of this guideline.
- Check in advance if the PN also has additional training materials that you can use to support the conduct of this session.
- Prepare coloured cards with the elements of a policy (one card per element):
 1. Purpose
 2. Definitions
 3. General Principles
 4. Code of conduct
 5. Responsibilities
 6. Procedures
- Prepare a flip-sheet with the details of element 6:

Element 6: Procedures

- Agreeing on preventive actions
- Reporting and remediating
- Monitoring
- Sanctions

- Check in advance if the SPO already has policies. If yes, select one (preferably one that covers an area that was selected in session 3 during the risk assessment) and make copies for all participants.

Session in Short

Set up: 2 min

Delivery:

- 5 min: explaining policies
- 45 min to 2 hours and 15 min: developing or revising a policy
- 5 min: implementation

Finish: 2 min



Note for the facilitator

The way you facilitate this session, depends on if the farmer organisation already has some policy or not. In case the SPO does not have any policy, you will discuss all elements for one of the selected areas. In case the SPO has a policy, you will use that policy as a basis to discuss all elements to see if anything is missing and/or can be improved.

This session describes the facilitation steps for one policy. In case you would like to discuss more policies, you should follow the same steps again.



Set up

 2 minutes

Attention: So far, you have committed yourselves to protect human rights and environmental sustainability and you have analysed risks. The next step is to take action to address the identified risks.

Title: Mention the title of the session: *Developing policies and procedures.*

Objectives: During this session, we will focus on step 3 of our HREDD process (refer to the flip-sheet with the steps pasted on the wall). We will learn the elements of a policy and discuss the content of each element.

Benefits: A policy will provide the broad guidelines for addressing the identified most serious human rights and environmental challenges and help to develop a detailed action plan.

Direction: Developing policies and procedures is part of HREDD step 3: *Address and Remediate*. The development of an action plan is also part of step 3, but we will discuss that in the next session.

Discussion and Decision Making

 Explaining policies – 5 minutes

1. Start by explaining what **policies** are and what they are not. Mention at least the following:

- Policies describe **in general** the goals and aims of the organisation.
- Policies will help you to formulate **detailed** preventive and mitigating **measures**.
- It is advisable to develop and implement a policy for each of the salient problems. In case you already have policies on specific thematic areas, we will discuss them, and see if it is necessary to **update** them.

2. **Briefly explain the steps** of a policy by mentioning an element, pasting the corresponding card on the wall, and providing a brief explanation (do not mention any examples, that will come in a later stage):

- The purpose of the policy, the reason why the policy has been developed.*
- Definitions of terminology used in the policy.*
- General principles which guide the policy.*
- Code of Conduct with a set of rules to be followed by the SPO and its members.*

- Responsibilities for aspects covered in the policy.*
- Procedures / step-by-step instructions with steps for implementation of the policy.*

 Developing or revising a policy – 45 minutes to 2 hours 15 minutes

3. Say that we are going to discuss all elements step-by-step. We will focus on one thematic area.

- In case the organisation already has some existing policy, distribute copies among all participants.
- In case there is no existing policy, agree with the group which risk area you are going to discuss (health, child labour, gender, discrimination etc.).

4. Start with the **purpose** of the policy (element 1).

Ask: *What is the reason the policy has been developed?*

(**The stand-alone guide** provides an example of elements commonly included in a policy on **page 14**)

- For an **existing policy**, discuss what has been written and if what is written clearly describes the purpose. If not, ask for suggestions to improve it.
- For **no existing policy**, ask input on the purpose. You can start with writing down key words and then formulate a sentence using the key words. Write the final purpose as agreed on a flip-sheet.
Ask: *Does the policy **only apply** to members?* No. The policy also applies to anyone collaborating or working with (members of the) SPO. For example, if a transporter, who collects the produce from the members on behalf of the buyer, is using children during school-time to carry the heavy produce into the trucks, it means that the transporter is violating the policy. The SPO should take action, for example by reporting this to the buyer and ultimately refusing to work with the transporter.

5. Continue with element 2 (**definitions**) and element 3 (general principles) and discuss it in the same way as you discussed the first element (**purpose**). Make sure to write everything that has been agreed on a flip-sheet.

6. Continue with element 4 (**code of conduct**). Discuss one fundamental principle together as example (write it on a flip-sheet). Then split the group into 3 sub-groups. Make sure that in every group at least one person can read and write.



- a. For an **existing policy**, divide the existing fundamental principles equally over the groups and let them discuss if the principles are clear and still valid. They can add a principle if they want to.
- b. For **no existing policy** (or existing policy with no fundamental principles), each group has to formulate **3 fundamental principles** that need to be followed. Give the groups a flip-sheet and a marker to write down their results. Let the groups work for 5–10 minutes.
- 7. Discuss the results.** Let each group present their results. Discuss if there are any overlaps in the principles or if they are all completely different.
- 8.** Continue with element 5 (**responsibilities**). Ask the group to agree on a proposal for who could be responsible for
- the implementation of this policy?*
 - overseeing the implementation?*
 - handling any complaints related to this policy?*
 - revising this policy?*
- 9.** Continue with step 6 (**procedures**). Paste the flip-sheets with the steps of implementation on the wall.
- For the **basic session**: Say that procedures provide step-by-step instructions for organisational processes that are necessary to implement the policy. Skip the next point and go straight to Implementation.
 - For the **elaborated session**: continue with the next point of this guideline.
- 10.** Discuss the following points on procedures and use the questions to guide the discussions:
- a. Agreeing on preventive actions:**
- For the risk area we are focusing on, what potential activities can you identify that would prevent or reduce the risk of violations?*
 - How do you think your organisation should identify first many potential activities and then the best activities?*
 - How should the potentially affected people be consulted?*
- b. Reporting and remediating:**
- How your members, staff and other stakeholders can report witnessed, suspected and alleged violations?*
 - What is your remediation process when a case is identified? How are cases investigated, and possible remediating measures negotiated, decided, implemented and monitored?*
 - How cases are documented, and records stored confidentially?*
- c. Monitoring:**
- How will you monitor if members and stakeholders follow the policy? A well-functioning grievance mechanism is one example of a monitoring tool. Your internal inspection is another tool.*
 - How often should you monitor? Monitoring should be ongoing. In case a member or stakeholder does not follow the policy, it should be reported immediately.*
 - Who can do the monitoring? In your policy you have described who is responsible for the implementation of the policy. That person could also be responsible for monitoring.*
- d. Sanctions:**
- What do we mean with sanctions? Sanctions are consequences when a member or stakeholder violates the policy.*
 - What type of violations can happen? This depends very much on the risk area that the policy is covering. List together a few practical examples of violations. Also list examples of violations done by stakeholders.*
 - Is it possible to add specific sanctions in the policy for every type of violation? That will be very difficult and is also not necessary. In the policy you need to describe in more general terms the sanctions. For example, that members violating the policy will receive an official warning and with 3 official warnings, they could be removed from the SPO.*
 - Formulate sanctions together.
- 11.** As final step, ask the group to agree on a proposal for who could be assigned to develop a tracking system or, if the system already exists, to include due diligence related indicators into it. **Write the name and title on a flip-sheet.** Please note that senior management of the SPO needs to take the final decision. agree **who** in the SPO is responsible for ensuring that the relevant policies are developed and when it will be done. Also agree how and when to **share** it with members and stakeholders.

Implementation – 5 minutes

2 minutes

Finish

Summary: Summarize what a policy is, the purpose of policies, and the elements of a policy.

Questions: Ask if anyone has a question or comment.

Evaluation: Ask the following questions:

- What is a policy?*
- What are the elements of a policy?*

Next step: Repeat the action points to be taken.



Session 6

Step 3b: Address and Remediate/ Action Plan and Remediation



Key Information
is available in
the SPO guide
p. 15–16

Facilitating Guidelines for the Facilitator

Materials needed:

- Flip-sheets, markers, masking tape or gum
- Copies of the stand-alone guide or just Annex 2_ Example of an Action Plan

Time needed:

1 hour for basic session

3 hours for elaborated session

Preparations:

- Carefully read the key information and all steps of this guideline.
- Prepare a flip-sheet with some basic terminology:
 - Prevention: to avoid it will happen
 - Ceasing: to bring to an end
 - Mitigation: to reduce the negative impact or to reduce the likelihood that the potential negative impact will take place
 - Remediation: to correct the harm done
- Prepare a flip-sheet with suitable preventive and mitigative actions:
 - Suitable actions to prevent or mitigate risks*
 - *Having clear rules and guidelines*
 - *Raising awareness*
 - *Training*
 - *Providing tools and equipment*
 - *Improving access to information and advice, necessities*
 - *Demonstrating best practices*
 - *Supporting best practices*
 - *Supporting alternative sources of income*
 - *Implementing a monitoring and remediation system, for example on child labour, forced labour or gender-based violence*

- Prepare a flip-sheet with suitable remediation actions:

Suitable actions to remediate risks

- *End the violation*
- *Support the victim*
- *Take preventive actions*
- *Apply disciplinary measures*

- For the basic session: Select 2 risks from one the risk area you have been discussing so far. You will discuss possible actions to take for these two risks.

Session in Short

Set up: 2 min

Delivery:

- 10 min: Explaining prevention and mitigation
- 10 min: Explaining general prevention and mitigation actions
- 10 to 75 min: Formulating prevention and mitigation actions
- 10 min: Explaining remediation measures
- 10 to 60 min: Formulating remediation measures
- 10 min: Final action

Finish: 2 min



Set up

 2 minutes

Attention: The policy that they developed in the previous session is part of step 3 to address the most serious problems. The other part is to take action.

Title: Mention the title of the session: *Developing and implementing an action plan.*

Objectives: During this session, we will discuss what type of action you can take to prevent, mitigate, and remediate the identified risks.

Benefits: When you identify risks and you do not take any actions, it can affect your members and the farmer organisation very badly. With good measures you can avoid and reduce the negative impacts.

Direction: Even if you as SPO or any of your members have caused or contributed to a human rights violation, you are not alone responsible for remediation. Other stakeholders, such as state agencies and buyers or other business partners, should also be involved. Although there are no other stakeholders present at this moment, you should share the action plan with them and ask for their contribution.

Discussion and Decision Making

 Explaining prevention, mitigation and remediation – 10 minutes

1. Say that before we start our discussions, we need to understand what we are going to discuss. When you identify risks, you need to **take actions**. Ask: *Why is it important to take action?* If you do not take any actions, it can affect your members and the SPOs very badly. Not taking action will not make the problem go away.
2. Actions are to **prevent, mitigate, and remediate** the main risks. Ask the following questions:
 - a. *What is **prevention**?* Prevention means to avoid that a risk will happen.
 - b. *When does prevention take place: before the risk happens or when the risk has happened?* Prevention takes place **before** the risk happens.
 - c. *What is **mitigation**?* Mitigation means to reduce the frequency of a problem, the number of people suffering from it, or the impact on those people.
 - d. *When does mitigation take place: before the risk happens or when the risk has happened?* Mitigation takes place **before** the risk happens.
 - e. *What is **remediation**?* Remediation means to correct a harm that an individual victim or a group of victims has experienced. In short: making the wrong right again.
 - f. *When does remediation take place: before the risk happens or when the risk has happened?* Remediation takes place **after** the risk has happened.
3. Paste the **flip-sheet with the terminology** on the wall.
4. Ask for some **examples related to controlling for pests and plant diseases**. Remind participants that prevention and mitigation take place before the risk happens, while remediation takes place when the risk has happened.
 - a. You can **prevent** the risk of problems to health and biodiversity by using pest preventive and control measures other than chemical pesticides, such as pruning and hand weeding, and promoting the use of well-trained professional Spray Service Providers.
 - b. You can **mitigate** harms by using less toxic pesticides (pesticides with a green or blue toxicological band instead of a yellow or red band), ensuring members wear Personal Protective Equipment correctly, ensuring access to good quality pesticides, ensuring members use good quality application equipment, providing repetitive training on pesticide handling and application, training all workers and members on providing first aid in case of contamination, providing all workers and members with a first aid kit, and ensuring clinics in the area are aware of how to treat contamination, etc.
 - c. You can **remediate** by ensuring victims of contamination have access to a clinic where the contamination can be treated properly. Another remediation measure includes developing production methods and worker training so that excessive pesticide exposure does not happen again.



🕒 Explaining general preventive and mitigative actions – 10 minutes

5. Say that it is very likely the farmer organisation **already has some actions** to prevent or mitigate risks. Ask for some **examples**. In case the group finds it difficult to mention examples, ask questions about some specific risks, for example:

- What do you do to avoid child labour?
- What do you do to avoid discrimination?
- What do you do to ensure members treat their workers well?

6. Say that although actions depend on the risks identified, there are a few **general prevention and mitigation actions** that can be taken. Paste the flip-sheet with suitable actions on the wall and explain:

- **Clarifying the rules** and guidelines on what is allowed, expected or good practice.
- **Raising awareness** on the guidelines, solutions to a particular risk or problem, the vulnerability of a specific group of people, or human rights in general.
- **Training** on the issue, for instance environmentally sustainable production practices, labour rights, appropriate tools and practices, or ways to manage subcontractors or job brokers.
- **Providing tools**, such as templates for contracts, posters, personal protective equipment, tanks for collecting rainwater, or knapsack sprayers.
- **Improving access to** advice, clean water, toilets, medical care, kindergarten, good quality pesticides and fertilisers, etc.
- **Demonstrating best practices** through a development project. For example, a youth program can mitigate discrimination of youth, and a project to plant shade trees can show how to cease deforestation.
- **Supporting alternative practices**, such as control methods for pests and diseases other than pesticide application, skilled workers, etc.
- **Supporting alternative sources of income** to prevent child labour, malnutrition etc.
- **Establishing a monitoring and remediation system**, for example on child labour, forced labour or gender-based violence.

7. Add that sometimes it is necessary to **analyse the problem** and its root causes before you can decide on a suitable action. You can do this for example by interviewing the impacted people or experts who work on that problem.

🕒 Formulating prevention and mitigation actions – 10 to 75 minutes

8. **10 minutes:** In case you facilitate the **basic session**, it means you will NOT formulate prevention and mitigation actions for the main identified risk areas (from session 3). Instead, you will formulate prevention and mitigation actions for one or two issues.

- Select a mapping indicator from the list of Fairtrade Risk Assessment indicators, read it out loud and ask for suggestions to prevent or mitigate it. List all suggestions on a flip-sheet.
- Ask the group why it could make sense to consult various people in making an action plan? It is sensible to consult the people whose lives the action plan seeks to improve, because they have first-hand experience of the challenge and often also of previous efforts to address it.
- Ask how you could consult potentially impacted people? For instance, interviews or workshops can be conducted. If several workshops are run to collect the views of different rightsholders (children, workers, producers, PO staff), all feedback needs to be pulled together and just one report presented to the decision makers of the PO.
- Ask the group to agree on a proposal for **who could** formulate actions for the other indicators and other risk areas and when it could be done.

Skip step 9 and 10 and continue with step 11.

9. **1 hour and 15 minutes:** In case you facilitate the **elaborated session**, it means the group WILL formulate prevention and mitigation actions for the main identified risk areas. You facilitate this as follows:

- Divide the group into 2 or 3 subgroups (equal to the number of identified risk areas).
- Allocate one risk area to each subgroup.
- The subgroups need to look at the mapping and additional indicators listed for their risk area (see session 3, when you conducted a risk assessment with the *Fairtrade Risk Assessment Tool*). For each indicator (that is applicable), the subgroup has to identify **prevention or mitigation measures**. Give each group a marker and flip-sheet to write down their results. Let the groups work for 30–45 minutes while walking around to guide them.



- d. After 30–45 minutes, tell the groups **to rotate the flip-sheets** they were working on. This means that subgroup 1 will give their flip-sheet(s) with results to subgroup 2, subgroup 2 will give their flip-sheet(s) with results to subgroup 3, and subgroup 3 will give their flip-sheet(s) with results to subgroup 1. In case there are 2 groups, they should swap flip-sheets.
- e. Each group should look at what the other group wrote and can **add any action**. Let the groups work for 20–30 minutes.
- f. After 20–30 minutes, in case there are 3 subgroups, let the groups rotate their flip-sheets again and give every subgroup the chance to add actions.

10. Discuss the results

- a. Start with one risk area and paste the flip-sheets with action points for that risk area on the wall. Let the first subgroup that started working on the action points, **present the results** (including the action points added by the other groups).
- b. Ask for questions, comments, suggestions for additional actions.
- c. Look together at the list with *Suitable actions to prevent or mitigate risks* and check if no possible action is forgotten.
- d. Continue with the next risk areas and discuss in the same way.

Explaining remediation measures – 10 minutes

11. Say that we will continue with **remediation**. If a human or environmental right has been violated, the farmer organisation needs to take action to reverse or stop the damage that has been done, and if applicable, compensate the victim. Often remediation requires collaboration between the SPO and external actors, including relevant government agencies, expert human rights NGOs, buyers and other business partners.

12. Explain that when formulating remediation measures, you should think about **what needs to happen if something goes wrong**. Paste the flip-sheet with remediation actions on the wall and explain that remediation can concern:

- **Ending the violation**, for example by reversing the situation (inappropriate termination of work etc) or physically removing the victim from the situation (child labour, forced labour, sexual harassment etc).
- **Supporting the victim(s)**, for example by reimbursing costs, finding alternative employment, providing schooling/skills development, or giving financial or non-financial compensation. The aim here is to rehabilitate the victim, which means returning him/her to a good, healthy life.
- **Taking actions to prevent the violation from happening again**; look at the list on **stand-alone guide page 15**.
- In addition, remediation may include: **applying disciplinary measures against the violator(s)**, for example by giving the violator a formal warning, suspending the violator from work or membership (in case of a serious violation) etc. Note that such measures should not come as a surprise to anyone but be outlined in a relevant policy.

Add that of course, actions depend on the situation and the **gravity** of the situation. Where the violation may break the local law, the farmer organisation should report the incident to relevant authorities.

Formulating remediation measures – 10 to 60 minutes

13. 10 minutes: In case you facilitate the **basic session**, it means you will just use one indicator and discuss what remediation measures could be used if a case is reported. This exercise is meant to raise awareness among the participants.

Select one indicator and ask the following questions:

- *What could happen that is a violation of the human/environmental rights linked to this risk?*
- *If that happens, who could be the victim(s)?*
- *What can be done for this/these victim(s)?*
- *What could we do to avoid that it will happen again?*

Skip step 14 and continue with step 15.



14. 60 minutes: In case you facilitate the **elaborated session**, it means the group has time to consider potential remediation actions for the main identified risk areas.

- a. Discuss one indicator together as example. Ask the questions as listed under points 13a of this guideline.
- b. **Facilitate the rest of the indicators** in the same way as you facilitated the formulation of prevention and mitigation actions (working with subgroups and rotating flip-sheets).

 **Final action – 10 minutes**

15. When all results are discussed, discuss the **final action points**:

- a. Ask the group to agree on a proposal for who could **develop the action** plan using the results of the discussions (this can be 2–3 people).
- b. Agree how the **results** will be **shared** with members and stakeholders.
- c. Discuss how best the action plan can be **implemented**: who is responsible and how can the SPO ensure that members follow it?

Finish

 **2 minutes**

Summary: Summarise what prevention and mitigation measures are and mention the general prevention and mitigation measures (refer to the flip-sheets).

Questions: Ask if anyone has a question or comment.

Evaluation: Ask the following questions:

- *What is the difference between prevention and mitigation measures?*
- *What are some general preventive measures?*
- *What are some general mitigation measures?*

Next step: Say that everything that was written on the flip-sheets needs to be incorporated in procedures. Agree on who should do this and when. Check if this person(s) need assistance from you.

STEP 4: TRACK PROGRESS



Track:

- **Progress in HREDD activities**
- **Changes in the main challenges (becoming more or less serious)**



Session 7

Step 4: Track Progress



Key Information
is available in
the SPO guide
p. 18

Facilitating Guidelines for the Facilitator

Materials needed:

- Flip-sheets, markers, masking tape or gum
- Copies of the stand-alone guide or just the page on tracking

Time needed:

45 minutes for the basic session
2 to 2.5 hours for the elaborated session

Preparations:

- Carefully read the key information and all steps of this guideline.

Session in Short

Set up: 2 min

Delivery:

- 40 min: explaining tracking
- 1.5–2 hours: designing a tracking system (for elaborated session)

Finish: 2 min

Set up

 **2 minutes**

Attention: Say that we have arrived at the fourth step of the HREDD process.

Title: Mention the title of the session: *Tracking progress*.

Objectives: During this session, we will discuss what tracking is and how you can set up a tracking system.

Benefits: A well-functioning tracking system will complete your HREDD process and will help to implement it correctly.

Direction: Tracking is similar to evaluation. In the HREDD process, we use the word tracking.

Discussion and Decision Making

 **Explaining tracking – 40 minutes**

1. Ask the following questions for a better **understanding of tracking**:
 - a. *What is tracking?* Tracking means checking whether **actions** taken by the farmer organisation related to human and environmental risks **have been effective**.
 - b. *What does effective means?* Effective means that actions have produced the intended result.
 - c. *Why should we track?* You should track to find out if your due diligence actions are working and effective, identify and continue best practices, and change ineffective actions and policies. The focus of tracking is on reducing risks and correcting problems **BEFORE** they are identified by an auditor, or your buyers or members start complaining.
2. Explain that they need to **track two things**:
 - a. Progress in your HREDD activities.
 - b. Changes in the main human rights and environmental challenges during the past year.
3. Explain that to **check progress** in their *HREDD activities*, organisations can record such information as:
 - Awareness raising: Number and topics covered in awareness raising activities; Number of attendees, women, youth, members, farm operators, workers and family members in each activity;
 - Risk assessment: Salient risks and most vulnerable groups of people identified through risk assessment;
 - Grievance mechanism: Number and type of grievances received, solved and still open;
 - Addressing risks and problems: Policies and activities implemented to tackle the three most salient risks identified;
 - Remediating problems: Number and type of serious human rights violations identified and victims supported (without mentioning names);
 - Partnerships: Type and amount of support received for remediation work from external partners.



Say that Fairtrade International is currently developing the reporting channels and is asking farmer organisations to start documenting information on **indicators** listed in the tracking chapter of the stand-alone guide. Check if all indicators are clear.

4. To explain tracking of key challenges, use one of the identified risk areas as **example**. Look at the indicators that were used during the risk assessment (see session 3), the key points of the policy (see session 5), and the action plan (see session 6). Ask:

- What can you track to check **changes** in the main human rights and environmental **challenges**?* You check whether the main challenges (mention them) are becoming more or less serious. You can follow the same process as you have used to analyse those challenges during your risk assessment, which means you look at the indicators and check their occurrence and level of impact. You can also analyse the information you have gained via your grievance mechanism.
- Fairtrade Producer Networks may also have relevant information for you to consider, as Fairtrade undertakes continuous assessment of the human rights and environmental risks and challenges, informed by farmer and worker networks.
- Add that during these discussions, it is important that people **understand** that it is better to disclose risks openly because the goal is to avoid risks and correct problems before they are discovered by auditors or buyers start complaining.

5. Then ask: **How** can we track all these indicators? You should collect information from different sources, including observations and data from the grievance mechanism. You can use **checklists or questionnaires** with processes or practices to observe and/or interview e.g. workers and management/members, lead farmers, opinion leaders, committee members, community members, teachers, trade union representatives.

Some verification points are **easy to check**. But it will be **more difficult** to check for example, the general feeling among workers if discrimination has been reduced or if any non-reported violation has taken place. Focus group discussions and individual meetings could be one of the methods in that case.

6. Continue by asking: **Who** should track these indicators? Some indicators can easily be tracked **internally**, while others might be more sensitive and could be done by a special internal **committee or outsourced**. In addition, everyone within the organisation will have the responsibility to track and use the grievance procedures when misconduct is observed.

7. For the **basic session**: Ask the group to agree on a proposal for who could be assigned to develop a tracking system or, if the system already exists, to include due diligence related indicators into it. **Write the name and title on a flip-sheet**. Please note that senior management of the SPO needs to take the final decision. Skip step 8 and 9 and continue with Finish.

Designing a tracking system – 1.5 to 2 hours



Note for the facilitator:

As part of the **elaborated session**, you are going to **design or strengthen the organisations' tracking system** for the identified highest-risk areas. In case there are 3 identified high-risk areas, you can **discuss one area together** in a plenary session and then divide the group into two subgroups and let each subgroup work on one further risk area.

8. The following questions should be answered:

- What can you track to **track progress** in your HREDD activities?*
- What can you track to check **changes** in the main human rights and environmental **challenges**?*
- How** can we track all these indicators?
- Who** should track these indicators?

9. When all results are discussed, **agree** on **who** will put everything together in a document using the results written on the flip-sheets.

Finish

2 minutes

Summary: Summarise what tracking is, why farmer organisations should track and how to track.

Questions: Ask if anyone has a question or comment.

Evaluation: Ask the following questions:

- *What is tracking?*
- *What should we track?*

Next step: Finalise the setting up or strengthening of your organisation's tracking system.

STEP 5: COMMUNICATE



Communicate to:

- **Members**
- **Buyers and other partners**
- **Fairtrade International**



Session 8

Step 5: Communicate



Key Information
is available in
the SPO guide
p. 19

Facilitating Guidelines for the Facilitator

Materials needed:

- Flip-sheets, markers, masking tape or gum

Time needed:

35 minutes

Preparations:

- Carefully read the key information and all steps of this guideline.

Session in Short

Set up: 2 min

Delivery:

- 30 min: planning to communicate efforts

Finish: 2 min

Set up

 **2 minutes**

Attention: Say that we have arrived at the last step of the HREDD process.

Title: Mention the title of the session: *Communicating*

Objectives: During this session, we will discuss what should be communicated and to whom.

Benefits: Because of the importance that Fairtrade, buyers, and other stakeholder place in having HREDD processes, it is good to communicate your efforts clearly to your members and partners.

Direction: Of course, you first need to start implementing your HREDD process before you can communicate about it.

Discussion and Decision Making

 **Planning to communicate efforts – 30 minutes**

1. Ask the following questions for a better understanding of what we mean with **communicating efforts**:
 - a. *Why did we spend so many hours/days on the topic of human rights and environmental due diligence (HREDD)?* It helps to better serve the expectations and **needs of the members**, workers, and the local community; **buyers increasingly expect HREDD** from farmer organisations, and HREDD related requirements in **Fairtrade Standards** are strengthened step by step, etc.
 - b. *Who might be interested in knowing about your efforts concerning HREDD?* Members, their workers and communities, buyers, and Fairtrade, amongst others.
2. Say that when communicating on your efforts, you should **adapt your information to the interest of the person(s) you communicate to**. A trader is interested in different information than your members, while Fairtrade International would like you to communicate on certain indicators.
3. Start with **communication to members** and ask:
 - a. *What should be communicated to members?* List everything that is mentioned on a flip-sheet. Make sure that all points as listed in the key information are mentioned.
 - b. *What would be good ways to communicate this information to members?* List the ways on a flip-sheet. Verbally at the General Assembly is one option.
 - c. *When should it be communicated?*
 - d. *Who should be responsible for this?*



4. Continue with **communication to buyers** (or any other stakeholder that is of interest for the SPOs) and ask the same questions as mentioned above.

5. Continue with **communication to Fairtrade International** and ask the same questions as mentioned above. For the question *What needs to be communicated?* you can refer to the list of indicators on **page 18 of the stand-alone guide**.

6. Say that the person responsible for communicating needs to have **access to all information**. Ask: *How can you ensure that the person responsible for communicating efforts has access to all information?* Identify procedures to ensure this. For example, a monthly meeting between those who are responsible for tracking and those responsible for communication, sharing of information, etc.

Finish

 2 minutes

Summary: Summarise why the SPOs should communicate efforts on their HREDD process and how this can be done.

Questions: Ask if anyone has a question or comment.

Evaluation: Ask the following questions:

- *Why do you need to communicate your efforts?*
- *What should be communicated to members?*
- *What should be communicated to buyers?*

Next step: Repeat who is responsible for communicating efforts and the actions he/she needs to take.

Session 9

Taking the Next Step

Facilitating Guidelines for the Facilitator

Materials needed:

- All flip-sheets that were developed during the previous sessions

Time needed:

25 minutes

Discussion and Decision Making

1. Say that we have come to the end of this program. We only need to discuss the next step.
2. Ask the group to agree on a proposal for forming a **working group**. The working group can be responsible to:
 - a. Do a **risk assessment** covering all human rights areas (step 2 in the HREDD process).
 - b. Decide the need to develop HREDD processes and policies for **selected areas**.

Can the group agree who could be in this working group and who could be the coordinator (and thereby responsible for the work to be done)?

3. Ask:

- a. *When will you do the risk assessment?* Identify a date or time period. Depending on the results of the risk assessment, the PO will see which human rights and environmental risks and challenges are most serious and need to be addressed first.
- b. *Who will you invite to participate in this risk assessment?* Remind the group that it is important that different groups are represented.
- c. *What will be the main challenge?*
- d. *What can you do to handle this challenge?*

4. Make sure to **note** all what has been agreed on a **flip-sheet**. Agree with the group on a date that you will contact them to discuss progress. This can be just before the risk assessment is planned and/or after the risk assessment.

Session 10

Evaluation of the Program

Facilitating Guidelines for the Facilitator

Materials needed:

- None

Time needed:

20 minutes

1. Ask everyone to stand up and **form a circle**. Ask the group (anyone can answer):
 - a. *Was it difficult to understand/develop the HREDD process?*
 - b. *What will be the main challenge when implementing the process?*
 - c. *How can you motivate your members to participate in the HREDD process?*
2. You can make a tour and **ask every participant**:
 - a. *What was the most interesting thing that you learned?*
 - b. *What will you do to ensure that the SPO can implement a sound HREDD process?*

Post Session

Monitoring and Coaching

Just as farmer organisations will need to track their progress on HREDD, you will need to monitor whether your support for farmer organisations is bearing fruit. Are the supported farmer organisations making progress and developing their HREDD activities? Is further advice and coaching needed?

Indicators to track the program

Below you will find examples of indicators you can track after you have facilitated the sessions. In case your program is spread over a longer period, you can check the indicators per session before you start with the next session. The list is not exhaustive, and you can add any indicator that is applicable.

STEP	ACTIVITY	INDICATORS TO MONITOR
Step 1	<i>Commit to human rights and environmental sustainability</i>	
1.i	Sensitise management and staff	<ul style="list-style-type: none"> • Basic level training in human rights, environmental sustainability and HREDD conducted
1.ii	Develop and sign a commitment to respect human rights and environmental sustainability	<ul style="list-style-type: none"> • Letter of commitment signed • Number of partners the commitment was sent to
1.iii	Assign responsibilities	<ul style="list-style-type: none"> • List of persons with responsibilities • Description of responsibilities
1.iv	Raise awareness about human rights and environmental sustainability among staff, members and farm workers	<ul style="list-style-type: none"> • Total budget allocated to awareness raising • Number of awareness raising programs organised • Number of members reached (male/female) • Number of community members reached • Content of the key message
Step 2	<i>Identify the most serious human rights and environmental risks and problems</i>	
2.i	Do a risk assessment	<ul style="list-style-type: none"> • 2–3 main problems and risks identified • List of people / number of people consulted for the risk assessment • Vulnerable groups identified • List of information used in risk assessment
2.ii	Set up a grievance mechanism	<p>Grievance mechanism developed with the following elements:</p> <ul style="list-style-type: none"> • Allows all members, workers and partners to file complaints • Allows anonymous complaints in local language and verbally • Has a clear and known process • Protects the complainant from retaliation • Ensures that resolutions are made and implemented in a timely manner • Number of members informed about the grievance mechanism

Step 3		Address and Remediate
3.i	Develop relevant policies and procedures	<p>Number of policies and procedures developed which contain the following elements:</p> <ul style="list-style-type: none"> • The purpose of the policy • Definitions of terminology used in the policy • General principles which guide the policy • Code of Conduct • Responsibilities <p>Procedures at least on monitoring, reporting, sanctions, and review of policy</p> <p>Number of policies approved by the General Assembly</p> <p>Number of members sensitised on the policies and procedures</p>
3.ii	Develop and implement an action plan to prevent, mitigate, cease, and remediate the problems	<ul style="list-style-type: none"> • Action plan developed that includes activities to prevent, mitigate and remediate problems • Total budget allocated to complete the activities • Number of activities implemented
Step 4		Track progress
	Track progress	<ul style="list-style-type: none"> • Tracking system developed with indicators and data collection methods outlined • Number of indicators tracked
Step 5		Communicate
	Communicate to members	<ul style="list-style-type: none"> • Communication messages developed for your members • Number of members reached at least two times per year
	Communicate to buyers and other partners	<ul style="list-style-type: none"> • Number of buyers and other partners reached at least one time a year with HREDD related topics. • Commitment to human rights and environmental sustainability shared
	Communicate to Fairtrade	<ul style="list-style-type: none"> • Number of indicators tracked (see the tracking chapter of the stand-alone guide for potential indicators) • Number of success stories communicated to Fairtrade

Coaching

To give further coaching for farmer organisations, the following steps need to be implemented:

1. Assess progress by checking the above indicators.

2. Where progress is lacking, find the cause of non-performance by checking:

- Capacity: does the SPO have enough knowledge and skills to do it?
- Possibility: is it possible to do? For example, are funds and sufficient staff hours available?
- Confidence: does the SPO have confidence in the HREDD process? What are the main fears?

d. Willingness: is the SPO willing to do it? What are arguments for not doing it?

e. Commitment: has the SPO taken the first step? What is hindering the SPO from taking the first step?

3. Discuss what action to take to deal with the cause.

4. Get commitment: agree on the next step, when it will be done, who is responsible, etc.

5. Follow up (and start again at step 1).

Back cover with the same text as in the stand alone guide back cover with the following addition: Facilitation Manual for Fairtrade Field Staff

IMPLEMENTING HUMAN RIGHTS AND ENVIRONMENTAL DUE DILIGENCE (HREDD) AT A SMALLHOLDER FARMER ORGANISATION

FACILITATION MANUAL FOR FAIRTRADE FIELD STAFF

Essentially, HREDD is a process where an organisation reduces the human rights and environmental problems linked to its operations and value chains. All actors in supply chains are nowadays expected to perform HREDD.

When smallholder farmer organisations strengthen their social and environmental work and align with the HREDD process, their work should be supported by companies that utilise their produce.



FAIRTRADE